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GUIDELINES

OUTCOME AND IMPACT ORIENTATION

in the Projects and Programmes of Welthungerhilfe

Part III: Instruments and Methods

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List of abbreviations

BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Co-operation and Development)
DAC	Development Assistance Committee (OECD)
DFID	Department for International Development
M&E	Monitoring and Evaluation
MDG(s)	Millennium Development Goal(s)
NGO	Non-governmental organisation
OECD	Organisation for Economic Cooperation and Development
PPM	Project planning matrix

1 Introduction

1.1 Background

Since the international community committed itself to achieving common development goals within the framework of the "Millennium Declaration" and the "Paris Declaration 2005", impact orientation has played an increasingly important international role in development co-operation. More than ever before, the donor community and non-governmental organisations (NGOs) are called upon to reliably prove that they use the provided funds effectively and that they make an obvious contribution towards development efforts in their partner countries. To be able to provide this proof, explicit orientation towards outcome and impact is necessary when programmes and projects are planned, and outcomes and impacts have to be subsequently documented.

In its concept paper "Impact-oriented evaluation of overseas co-operation by Deutsche Welthungerhilfe" in 2003, Welthungerhilfe described its intention to monitor the outcomes and impacts and effectiveness of its project work by means of an outcome and impact-oriented evaluation. The guiding principle of Welthungerhilfe's outcome and impact-oriented evaluation is to learn from successes and failures, to draw conclusions from mistakes and to continuously improve the outcomes and impacts of development co-operation with partners and target groups.

A Welthungerhilfe working group was commissioned to promote the process of implementing outcome and impact-oriented planning, monitoring and (self-) evaluation at Welthungerhilfe. The group's main task was to draw up guidelines defining Welthungerhilfe's understanding of outcome and impact and to offer practical assistance with the implementation of outcome and impact orientation during planning, monitoring and evaluation phases in Welthungerhilfe projects.

To make the process as practice-oriented as possible, four projects were selected from Welthungerhilfe's portfolio and planned and implemented in accordance with outcome and impact-oriented criteria¹. Both the experience gained in this pilot process and the existing know-how of programme managers, heads of project and partner organisations were incorporated in these Guidelines.

1.2 Structure of guidelines

The Guidelines are divided into three parts:

- **Part I** explains the **terms and background conditions** of outcome and impact-oriented project planning and **localises outcome and impact orientation within the Welthungerhilfe project cycle**.
- **Part II** is a practice-oriented document which describes the outcome and impact-oriented procedure in individual project phases **step by step** on the basis of a specific project example. Possible methods which may be used during implementation of the respective project phase – depending on type of project – are listed but not described in detail.
- **Part III** contains a list of instruments and **methods of carrying out outcome and impact orientation**, and it describes the advantages and limitations of the respective instruments. The selection is based for the most part on experience gained in Welthungerhilfe projects.

The Guidelines will be improved and added to on a continual basis. Part III, in particular, should be seen as a dynamic document which is updated and extended constantly.² If, for example, a partner organisation or project achieves positive results by applying new or different methods to those mentioned here, we are glad to add these methods to our Guidelines.

¹ The planning workshops for the pilot projects (Pakistan, Madagascar, Peru, Congo) were documented in detail. If you are interested in reading these documents, the workshop documentation is available on a CD-Rom from Welthungerhilfe's head office.

² The Knowledge Innovation Consultancy Unit at Welthungerhilfe's head office is responsible for maintaining and updating the guidelines and documenting "best practices".

In this way, all those responsible for projects at Welthungerhilfe and its partner organisations can make use of the latest practice-oriented instructions promptly and in turn introduce their own practical experience.

1.3 Recipients of guidelines

The guidelines are intended primarily for the staff of Welthungerhilfe and partner organisations as well as external experts on short-term contracts who have been appointed to prepare and manage new projects or new phases in existing projects.

Secondly, they help decision-makers at Welthungerhilfe, such as members of management, the Board of Directors and Project Advisory Committees as well as external consultants who have been appointed to carry out an evaluation. The Guidelines represent an important point of reference, indicating whether and to what extent project planning, implementation, monitoring and evaluation (M&E) and reporting are outcome and impact-oriented.

Indirect recipients are also Welthungerhilfe's institutional donors and people interested in impact-oriented development co-operation, who can find out from the guidelines about relevant Welthungerhilfe processes and products and if applicable use these in their own work.

2 Collection of methods at a glance

In Part III of the Guidelines, the methods that can be used in outcome and impact-oriented planning, monitoring, data collection or data analysis as well as evaluation are systematically compiled and structured. These are basic concepts, simple individual methods or instruments, and more complex methodologies which combine several methods.



For the sake of clarity Part III of the Guidelines is divided into nine subsections. The methods are presented in the order in which they are mentioned in Part II in accordance with the individual planning phases. This produces the following structure:

- Situation analysis methods;
- Preliminary planning methods;
- Initial phase methods;
- Information on outcome and impact monitoring;
- Survey aids and tools;
- Non-indicator-based methodologies;
- Sector-based checklists for planning and monitoring.

Each method is accompanied by a fact sheet containing information about the goals for which the method is suitable, how much time is required, the nature of results, etc. Application and procedure are then described and sources in literature and the internet quoted.

All methods mentioned in Part II of the Guidelines are described here in detail. Other methods, such as the different participatory methods for the situation analysis prior to planning and at the start of the project, are only roughly outlined because they have been documented at length in other manuals.

General notes about methods












 Goal	Basis for the choice of methods for outcome and impact orientation
 Note	All methods can be modified and combined with other methods! All methods can be used at the start of the project and for monitoring. If individual methods are used repeatedly during the course of the project, data can be effectively compared.

2.1 Proposed outcome and impact orientation methods during the project cycle













Stage of project cycle	Possible methodology or methods	Page
A-B Situation analysis, preliminary planning and project planning	✓ Context analysis	12
	✓ "Do no harm" analysis/conflict analysis	13
	✓ Livelihood analysis	14
	✓ Stakeholder analysis	16
	✓ Stakeholder mapping	18
	✓ Rapid needs assessment	30
	✓ Household food economy survey	19
	✓ Problem tree / objectives tree	22
	✓ Problem-objectives matrix	24
	✓ Preparation of results chains	59
	✓ Develop project planning matrix	62
	✓ Develop indicators	64
	✓ Examine project planning matrix	68
C-D Initial phase, detailed planning or review of planning and implementation	✓ Define monitoring system	77
	✓ Reference data and baseline	74
	✓ Sampling procedure	88
	✓ Operational planning	69
	With reference data:	
	✓ Sampling procedure	87
	✓ Interviews	89
	✓ Guidelines for semi-structured interviews	91
	✓ PRA methods	19
	✓ SWOT	26
	✓ NGO designed participatory impact monitoring (PIM)	28
	✓ Focus group discussions	92
	Without reference data:	
	✓ PALSA	14
	✓ MAPP	95
✓ Checklists for individual sectors	102	

3 Situation analysis methods before the start of the project and in the initial project phase







3.1 Context analysis






 Goal	Reappraisal of project context helps clarify initial situation. Possible external disruptive factors can be detected early on.
 Type of results	Geographic, economic, legal and historic conditions should be documented in the form of mind-maps or a matrix. Results can be quantitative and qualitative.
 Duration	Depending on availability of data, two days to one week.
 Material	Secondary data about the region; national poverty analyses, documents from other organisations or projects which have already been carried out.
 Actors	Planners: interviews with experts for the region, local authorities or other organisations
 Comments	If possible, planners should combine the context analysis with a "do no harm" analysis. This combination becomes binding if a conflictive environment is suspected.
 Procedure	In the phase before the project, the planners clarify the following questions using available secondary literature and information gained from talks with experts: Which overriding strategies or concepts exist on the subject (e.g. national poverty alleviation strategies, development plans in the region etc.)? What happened before the project (e.g. end of civil war)? What are the geographical conditions? How are economic conditions in the region? Document results of the analysis using a mind-map. In the initial phase, the context analysis can be refined by carrying out interviews and workshops.
 Advantages	Can be carried out quickly; documentation is simple.
 Restrictions	Presupposes sufficient knowledge of the underlying situation, i.e. the context analysis is only as comprehensive as is made possible by the available data.
 Literature	http://www.pm-handbuch.com/vorprojektphase.htm#1
 Examples	http://www.pm-handbuch.com/vorprojektphase.htm#1

3.2 "Do no harm" analysis








 Goal	To identify outcomes and impacts of projects that may intensify the conflict and to determine the influence of the environment on the project.
 Type of results	Specific areas of conflict; specific monitoring-observation fields. Possible areas of intervention to reduce conflicts and reinforce peace processes. Results are qualitative.
 Duration	1-2 days preparation, 1-2 days implementation, two days follow-up work.
 Material	Guidelines for presentation of the discussion, paper, pen, visualisation material.
 Actors	Selected representatives of target groups (approx. 6-10); moderator, observer, person taking minutes.
 Comments	Can be used BEFORE, DURING and AFTER a project. The discussion during the workshop therefore becomes a monitoring instrument.
 Procedure	Moderated workshop: see Welthungerhilfe orientation framework "Conflict-sensitive approach to work abroad" (2007).
 Advantages	Sensitises interviewers to the fact that interventions are never neutral. Considers options for peace-promoting measures. Favourable basis for situation analysis.
 Restrictions	Restricted to conflict-managing and peace-promoting factors.
 Contact person	margrit.roehm@welthungerhilfe.de
 Literature	Welthungerhilfe guidelines "Conflict-sensitive approach to project work" (2007) Collaborative for Development Action: http://www.cdainc.com/
 Examples	Ask contact person





3.3 Livelihood analysis / PALSA methodology

 Goal	Comprehensive analysis of the problems of the target group
 Type of results	<p>Based on the assumption that the population is affected by many problems, data is provided on the following:</p> <ul style="list-style-type: none"> ✓ Natural capital (e.g. land, water, environmental resources) ✓ Financial capital (e.g. income and expenses, savings balance, loans, exchange relationships, etc.) ✓ Physical capital, especially basic infrastructure (e.g. housing, transportation, energy, means of communication, production equipment, etc.) ✓ Human capital (skills, knowledge, labour power, health) ✓ Social capital (membership of groups, social relationships, access to other organisations, etc.) <p>The individual points are not seen in isolation but in their relationship to each other.</p> <p>The analysis also provides information about risks to which the target group is exposed and which impede implementation of potentials.</p> <p>Nature of results: qualitative.</p> <p>Can be used as basic data for monitoring. If repetitions occur in the monitoring procedure, the methods help determine changes.</p>
 Duration	<p>Depending on scope of the analysis and the planned instruments, between four and eight weeks; individual surveys per village/community: approx. four to five days</p> <p>Use in monitoring: once or twice every two years</p>
 Material	Visualisation material for village workshops
 Actors	Project staff (team of 2-4 persons), target groups, possibly external consultants.
 Comments	<p>Comprehensive analysis concept, which is not monosectoral, but which pursues a systemic approach.</p> <p>To obtain more accurate information, the qualitative analysis can be combined with the collection of quantitative information, such as statistical data about the food situation, health status, access to state services, literacy rates. This information should be collected if it is not available.</p> <p>If data is inexact, the livelihood analysis can help gain a more precise insight into the living conditions of people in a region.</p> <p>Necessary data can be collected with the participatory methods described in these Guidelines.</p>











 Procedure	<p>If used in phases B and C for the situation analysis:</p> <p>Step 1: Determine what information is needed on the basis of DFID's livelihood approach</p> <p>Step 2: Determine sample tests for the survey region</p> <p>Step 3: Collect livelihood factors in the village/community (four participatory exercises: timeline, matrix on livelihood factors, prioritisation of livelihood factors, trend analysis of livelihood factors). Gender differences should always be taken into account in these stages. Analysis is carried out by the project team.</p> <p>For use in Phase D for monitoring:</p> <table border="1" data-bbox="499 584 1396 855"> <thead> <tr> <th data-bbox="499 584 968 680"><i>When situation analysis has already been carried out:</i></th> <th data-bbox="968 584 1396 680"><i>When situation analysis has not yet been carried out:</i></th> </tr> </thead> <tbody> <tr> <td data-bbox="499 680 968 855">Implementation of Steps 1-3: then helps examine changes, e.g. amendment to timeline or question about which livelihood factors have changed</td> <td data-bbox="968 680 1396 855">Implementation of Steps 1-4</td> </tr> </tbody> </table> <p>Step 4: Outcome or impact of certain project activities on the livelihood factors selected in Step 3 is determined.</p> <p>Step 5: Documentation of results.</p>	<i>When situation analysis has already been carried out:</i>	<i>When situation analysis has not yet been carried out:</i>	Implementation of Steps 1-3: then helps examine changes, e.g. amendment to timeline or question about which livelihood factors have changed	Implementation of Steps 1-4
<i>When situation analysis has already been carried out:</i>	<i>When situation analysis has not yet been carried out:</i>				
Implementation of Steps 1-3: then helps examine changes, e.g. amendment to timeline or question about which livelihood factors have changed	Implementation of Steps 1-4				
 Advantages	<p>Implementation of individual instruments on village/community level is feasible within the framework of project work.</p> <p>Method leaves scope for new results (no predetermined analysis framework).</p> <p>Method can be adapted to complex situations.</p>				
 Restrictions	<p>Method requires very good moderating skills.</p> <p>Method has to be very well prepared.</p> <p>Method requires longer training period for project staff.</p>				
 Literature	<p>Weingärtner et al. 2005. Poverty and Food Security Monitoring in Cambodia. SLE, Berlin;</p> <p>Participatory Livelihoods Monitoring Linking Programmes and Poor People's Interests to Policies: ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf</p> <p>Other Livelihood tools incl. participatory tools: SEAGA – Socio-Economic and Gender Analysis Programme: Field Level Handbook. FAO, Rome 2001 - http://www.fao.org/sd/seaga/4_en.htm</p> <p>Livelihood approach of DFID: http://www.livelihoods.org/info/info_guidancesheets.html#1</p>				
 Examples	<p>Outcome and impact monitoring of Welthungerhilfe Millennium Villages – also involves a combination of qualitative and quantitative methods – Examples available from mathias.mogge@welthungerhilfe.de</p>				

3.4 Stakeholder analysis







	Goal	"Stakeholders" are individuals and groups which can be influenced either positively or negatively by a project or which can themselves positively or negatively influence a project. The aim is to identify negative outcomes and impacts as early as possible and to plan possible countermeasures.
	Type of results	Identification of groups and their interests, strengths and weaknesses. Part of this interest group is the subsequent target group.
	Duration	Depending on the degree of detail and extent of data needed in the preliminary planning phase, approx. one to two days; in the initial phase, depending on information required up to two weeks.
	Material	Secondary data about the project region; possibly results from surveys (see following methods).
	Actors	<p>The analysis can be developed in a participatory way but also individually. The staff of Welthungerhilfe, partner organisations, potential participants in the (planned) project, possibly target group representatives if known. These may further enhance the target group analysis.</p> <p>Possibly moderation – if planned as a workshop.</p>
	Comments	<p>Stakeholder analyses that are carried out systematically and carefully make it possible to identify target groups more accurately. These analyses usually highlight potential areas of conflict. It is imperative that these are considered when the project is planned.</p> <p>A stakeholder analysis before the start of a project is usually carried out only very roughly. It is vital that it is repeated in the initial phase of the project. Particular attention should be paid to the identified target groups. If the available information is not sufficient, additional surveys should be carried out to identify target groups more accurately.</p>
	Procedure	<p>Firstly, draw up a rough list of all interest groups, organisations, projects, etc. from the project region.</p> <p>Find out whether sub-groups can be identified. Are men and women considered equally?</p> <p>Divide participants into project beneficiaries, contributors and affected parties (with and without opposition potential). This is where the first possible conflicts can be identified – cf. "Do no harm" approach.</p>


		List systematically per group of participants:																																																	
		<table border="1"> <thead> <tr> <th>Participants</th> <th>Interests/wishes</th> <th>Problems</th> <th>Potentials</th> <th>Benefit gained by project</th> <th>Loss incurred by project</th> <th>Possible opposition</th> </tr> </thead> <tbody> <tr> <td>Direct beneficiaries</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Women</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Men</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Indirect participants / contributors:</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Consultancy service</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>District head</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Determine which external factors can influence the analysed areas (possible factors that should be observed during the course of the project).</p> <p>Identified strengths and weaknesses create the basis for the selection of target groups. These criteria must be named in the internal project document.</p> <p>The analysis can be refined with further questions in the planning or initial phase, depending on requirements.</p>	Participants	Interests/wishes	Problems	Potentials	Benefit gained by project	Loss incurred by project	Possible opposition	Direct beneficiaries							Women							Men							Indirect participants / contributors:							Consultancy service							District head						
Participants	Interests/wishes	Problems	Potentials	Benefit gained by project	Loss incurred by project	Possible opposition																																													
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District head																																																			
	Advantages	<p>Provides a useful basis for the planning process.</p> <p>Helps consciously select target groups.</p> <p>Creates a basis so that the analysis can be consolidated in the initial phase.</p> <p>Helps direct attention towards other possible actors in the initial phase.</p>																																																	
	Restrictions	<p>Usually only produces a rough analysis in the run-up to the project because anything else would be very time-consuming.</p> <p>If information is missing, this can often only be obtained in the initial phase of the project.</p>																																																	
	Literature	<p>Guidance Note on How to do Stakeholder Analysis of Aid Projects and Programmes. Overseas Development Administration. Social Development Department. July 1995; auf www.euforic.org/gb/stake1.htm</p>																																																	
	Examples	<p>http://www.toolkitsportdevelopment.org/html/resources/67/6720BDF3-E98A-4FBF-A021-9903DAEBE430/01%20Stakeholder%20analysis.pdf</p>																																																	




3.5 Stakeholder mapping

	Goal	To supplement stakeholder analysis.
	Type of results	Relationships between interest groups become apparent.
	Duration	Depending on available information, approx. 1/2 day in the preliminary planning phase; approx. 1 day in the initial phase.
	Material	Results from secondary data and surveys of interest groups.
	Actors	Project staff, target group representatives, representatives of authorities, representatives of organisations, planners.
	Comments	<p>Stakeholder analyses that are carried out systematically and carefully make it possible to define target groups more accurately. When these analyses are carried out, potential areas of conflict usually become apparent. It is imperative that these are considered when the project is planned.</p> <p>A stakeholder analysis before the start of a project is usually carried out only very roughly. It is vital that it is repeated in the initial phase of the project. Particular attention should be paid to the identified target groups. If the available information is not sufficient, additional surveys should be carried out to identify target groups more accurately.</p>
	Procedure	<p>First of all, list all interest groups, organisations, projects, etc. from the project region and visualise unsystematically.</p> <p>Relationships between the groups are indicated with arrows and symbols. The symbols are explained next to the diagram.</p>
	Advantages	<p>Supplements stakeholder matrix.</p> <p>Interrelations between participants can be made visible.</p> <p>Quick and easy to prepare.</p>
	Restrictions	<p>Not very meaningful for planning phase without additional stakeholder matrix.</p> <p>Can be confusing if too many participants are represented.</p>
	Examples	http://www.dadalos-d.org/frieden/grundkurs_4/methode_5.htm












3.6 HFES - Household Food Economy Survey

 Goal	<p>HFES produces an effective overview of the causes of chronic undernourishment in individual households.</p>
 Type of results	<p>The analysis provides detailed data on food availability, access to and usability of food, patterns of income and expenditure and the vulnerability of various wealth groups of a population. This can help improve interventions and strategies in the field of food security and analyse needs for the further project planning and prioritisation of project goals.</p>
 Duration	<p>Approx. 3-6 weeks (medium-term): Example: 1st week: preparatory training and division into Food Economy Zones (FEZ), 2nd week: fieldwork (data acquisition, interviews), 3rd week : data analysis, documentation and coverage</p>
 Material	<p>Visualisation material for village workshops.</p>
 Actors	<p>Experienced and qualified expert (external) who trains the interviewers (project staff and local partners).</p>
 Procedure	<p>The analysis of the food situation in households focuses on food availability and patterns of income and expenditure.</p> <p>This survey is subdivided into the following steps:</p> <ul style="list-style-type: none"> • Appointment of a qualified and experienced expert (consultant): The consultant is responsible for training participants, introducing the survey and the professional implementation and presentation of results. He/she should have methodical and technical know-how and be familiar with the region (usually local person). • Division of survey region into Food Economy Zones (FEZ): This is based upon socio-economic and agro-ecological factors. The survey region is divided into zones which are as homogeneous as possible, for example, highland zone, medium altitude zone. • Definition of wealth categories: In cooperation with the target groups (using group discussions) the categories rich – middle – poor are defined with corresponding criteria, for example, ownership of oxen, land. • Random sample: In contrast with representative household surveys, relatively few persons – as key persons – are surveyed. These are chosen so that all wealth categories are represented (small sample, 10-20 surveys). • Conducting interviews: when the chosen persons are surveyed, different PRA methods are used (e.g. guided interview, group discussion, questionnaires). Such issues as food availability, sources of income and expenditure patterns are examined (see below). • Evaluation/data analysis • Documentation and coverage/presentation <p>Comments</p> <p><i>Food availability (e.g. on local markets)</i> Food availability does not automatically mean that members of a household are appropriately fed. Issues such as access to and usability of available food are also of great importance and must be examined. To address the aspect of quality, the survey finds out what members of a household eat and how much and how often they eat per day. The following factors have a direct impact on food security:</p>











	<p>Origin of food:</p> <ul style="list-style-type: none"> • Own production: what food is produced? • Purchase: what food is purchased additionally? • Food aid: what role does free distribution play, Food for Work (FfW)? <p>Access to and usability of available food:</p> <ul style="list-style-type: none"> • Can the households afford food? • Local market: to what extent are staple foods affected by seasonal fluctuations (vegetable/animal origin)? How does this affect food prices (terms of trade)? • Do members of households eat a balanced or an unbalanced diet? • Animal products (milk, meat etc.): What percentage? • How many meals are eaten a day? <p>Diversity and number of meals are useful indicators that help determine the extent to which the surveyed households have access to food and the necessary income (see WFP: Dietary Diversity, Number of Daily Eating Occasions).</p> <p>Sources of income</p> <p>The relevance of potential sources of income, which may be of agricultural or non-agricultural origin, are surveyed for the individual households.</p> <p>For access to potential sources of income, influencing factors on agricultural activities play a special role, as do the size of farmable land, cultivation conditions, labour power available in the household, the availability of animal feed, productivity (dependent on soil quality, among other things) as well as market access and demand.</p> <ul style="list-style-type: none"> • Sale of part of own output • Sale of livestock (what kind, what percentage, seasonality) • Cash crops (crops intended for sale) <p>Non-agricultural activities should not be neglected when analysing food security. Such activities can make up for or alleviate potential risks associated with agricultural production.</p> <ul style="list-style-type: none"> • Sale of processed products • Trade with non-agricultural products (firewood, arts and crafts) • Casual labour (work migration) • CfW programmes <p>Expenditure pattern</p> <p>Food expenditure almost always exceeds other expense items. How high these costs are depends above all on household size, the number of children and young adults living in the household and on the requirements of the members of the household (i.e. how varied food is). The expenditure pattern can be divided into the following items:</p> <ul style="list-style-type: none"> • Food • Health (sanitary products, medicine etc.) • Education • Clothing • Household utensils • Agricultural production (animal feed, fertiliser etc.) • Non-agricultural sources of income
 Advantages	<p>HFES is very useful in quasi-continual emergency situations because the income, livelihood and coping strategies of households are analysed in depth.</p>

 Restrictions	Preliminary definition of a household (who belongs to it?) is sometimes difficult. If interviews are in written form (questionnaires), the degree of literacy of the target group must be considered. Interpreting qualitative data is very complex.
 Contact persons	Joachim Schwarz, gaa.bahr@ethionet.et Hendrik Smid@welthungerhilfe.de
 Literature	Save the Children, 2008 "The Household Economy Approach" http://www.savethechildren.org.uk/en/54_4200.htm










3.7 Problem tree

 Goal	To analyse problems and their causes. Prepare basic principles to determine project goals.
 Type of results	Cause and effect relationships of problems in project region are represented. Results are qualitative.
 Duration	Half a day to two days, depending on intensity and degree of detail.
 Material	Visualisation material (paper, pens, pinboards, flipcharts)
 Actors	Depending on planning phase either in a team or individually. Preliminary planning: member of project staff of an ongoing project, representatives of partner organisations, experts for the project region, possibly a moderator; if prepared by an individual person, an examination by experts for the project region is advisable.
 Comments	Problem trees can also be used with the target group. It is helpful here to explain the logic of the objectives tree: trunk (initial or central problem), roots (causes) and branches (outcomes and impacts). At the start of the initial phase, a prepared problem tree should be examined once again: Is it complete and are cause and effect correlations correct? The problem tree offers an initial impression of cause and effect relationships and can be transformed into an objectives tree (see description of the method "objectives tree").
 Procedure	First of all, collect problems and write them down on cards. Look for "initial problem": What is the central problem from the point of view of planners? Which problem has to be solved in order to bring about a change in behaviour or in the living conditions of the target group? Starting with this problem, bring all collected problems into a cause-effect logic and arrange as a diagram on a pinboard. The questions to be asked are: What are the causes of a problem? What are its outcomes and impacts?
 Advantages	Facilitates analysis and assessment of problems. Thanks to its logical structure, the different solution approaches can be assessed quickly.
 Restrictions	Usually requires moderation or trained staff. Is linear and shows no interactions. Time-consuming and requires strictly logical procedure.
 Literature	http://www.toolkitsportdevelopment.org/
 Example	In these Guidelines and http://www.toolkitsportdevelopment.org/

3.8 Objectives tree








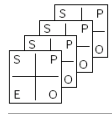

 Goal	To analyse goals. Create basis for further outcome and impact analyses and project planning.
 Type of results	Means-end relationships to achieve possible goals are presented. Results are qualitative.
 Duration	Half a day to one day, depending on intensity and degree of detail.
 Material	Visualisation material (paper, pens, pinboards, flipcharts).
 Actors	Depending on planning phase either in a team or individually. Preliminary planning: member of project staff of an ongoing project, representatives of partner organisations, experts for the project region, possibly a moderator. If prepared by an individual person, an examination by experts for the project region is advisable.
 Procedure	Re-formulate the problems listed in the problem tree in a positive way. In this way, they become goals. Examine objectives tree to ensure that "if-then" relationships are logical. If necessary, make amendments. Then discuss which of the goals imply changes for the target groups and which of the goals can be achieved by the project. The possible achievements and activities of the future project can be identified.
 Advantages	Represents "if-then" relationships. Visualised form provides quick overview. Initial introduction to the results chains.
 Restrictions	Usually requires moderation or trained staff. Is linear and shows no possible negative side-effects. Requires strictly logical procedure.
 Literature	http://www.toolkitsportdevelopment.org/
 Example	In these Guidelines and http://www.toolkitsportdevelopment.org/



3.9 Problem-goal matrix

 Goal	To analyse problems and their causes. Work out possible project goals.															
 Type of results	Possible project goals and possible activities for a project which is to be planned. Results are qualitative.															
 Duration	Half a day to one day.															
 Material	Visualisation material (paper, pens, pinboards, flipcharts).															
 Actors	Depending on planning phase either in a team or individually. Preliminary planning: member of project staff of an ongoing project, representatives of partner organisations, experts for the project region, possibly a moderator. If prepared by an individual person, an examination by experts for the project region is advisable.															
 Comments	The problem-goal matrix is an alternative to the problem/objectives tree. It takes less time and does not require the same methodical rigidity as the problem tree.															
 Procedure	<p>Identify the problem complexes which have to be analysed and enter into first column of the matrix. Do not use keywords but describe the negative condition: "Target group does not follow advice."</p> <p>Then enter the causes of the identified problems in the second column and the effects of the problem in the third column.</p> <p>The fourth column describes the condition that should be achieved after the problem has been solved.</p> <p>In the last column, enter possible measures and means of achieving the goal.</p> <p>Example:</p> <table border="1" data-bbox="502 1310 1396 1758"> <thead> <tr> <th>Problem complex</th> <th>Causes of the problem</th> <th>Consequences of the problem</th> <th>Ideal / target situation (goal)</th> <th>Possible measures</th> </tr> </thead> <tbody> <tr> <td>Target group does not follow advice</td> <td>Needs assessment is not sufficient. Consultants do not properly address the needs of the target group ...</td> <td>Increase in output is not achieved. Target group ignores consultants</td> <td>Advice is followed</td> <td>Train consultants Carry out needs assessment Prepare revised content ...</td> </tr> <tr> <td>...</td> <td>...</td> <td>...</td> <td>...</td> <td>...</td> </tr> </tbody> </table>	Problem complex	Causes of the problem	Consequences of the problem	Ideal / target situation (goal)	Possible measures	Target group does not follow advice	Needs assessment is not sufficient. Consultants do not properly address the needs of the target group ...	Increase in output is not achieved. Target group ignores consultants	Advice is followed	Train consultants Carry out needs assessment Prepare revised content
Problem complex	Causes of the problem	Consequences of the problem	Ideal / target situation (goal)	Possible measures												
Target group does not follow advice	Needs assessment is not sufficient. Consultants do not properly address the needs of the target group ...	Increase in output is not achieved. Target group ignores consultants	Advice is followed	Train consultants Carry out needs assessment Prepare revised content ...												
...												
 Advantages	Facilitates analysis and assessment of the problem. Can be put into practice relatively quickly. Problems and solutions in one matrix.															
 Restrictions	Problems and goals can only be listed. Does not show problems in their cause-effect relationship.															








- 4 Further methods of carrying out the situation analyses in the preliminary planning phase, collecting reference data in the initial phase and implementing outcome and impact-oriented monitoring





4.1 SEPO/SWOT

 Goal	To contribute towards situation analysis and monitoring.																							
 Type of results	Strengths, weaknesses, opportunities and risks. Potential strengths and weaknesses of the target group and possible internal or external opportunities and risks for their actions.																							
 Duration	Approx. 1/2 to 1 day per group, depending on degree of detail.																							
 Material	Sheets of paper, cards, pens.																							
 Actors	Target group, moderator, person taking minutes.																							
 Comments	Used at different times and with different groups, SWOT/SEPO is an effective monitoring instrument. Can be used for general questions but also for specific aspects, such as the development of a village committee but also project interventions in a certain region.																							
 Procedure	<p>Draw SWOT/SEPO grid:</p> <div data-bbox="491 1025 1007 1301" style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">Rückblick in die Vergangenheit</td> <td style="width: 34%; text-align: center;">↔</td> <td style="width: 33%; text-align: center;">Vorausblick in die Zukunft</td> </tr> <tr> <td style="border: 1px solid black; padding: 5px;">1 Succès Erfolge</td> <td style="text-align: center; vertical-align: middle;">POSITIV</td> <td style="border: 1px solid black; padding: 5px;">3 Potentialités Möglichkeiten</td> </tr> <tr> <td style="border: 1px solid black; padding: 5px;">2 Echecs Misserfolge</td> <td style="text-align: center; vertical-align: middle;">NEGATIV</td> <td style="border: 1px solid black; padding: 5px;">4 Obstacles Hindernisse</td> </tr> </table> </div> <p>Enter information in SWOT/SEPO grid and ensure that all experiences are included. Stick to S-W-O-T/ S-E-P-O order.</p> <p>Participants comment on their contributions.</p> <p>Collective point of view is documented, conflicting opinions are then discussed.</p> <p>For monitoring: comparison over time or of different groups</p> <div data-bbox="491 1653 1284 1832" style="margin: 10px 0;"> <p style="text-align: center;">Vergleich</p> <table style="margin: auto;"> <tr> <td style="border: 1px solid black; padding: 5px;">S P E O</td> <td style="margin: 0 10px;">→</td> <td style="border: 1px solid black; padding: 5px;">S P E O</td> <td style="margin: 0 10px;">→</td> <td style="border: 1px solid black; padding: 5px;">S P E O</td> <td style="margin: 0 10px;">→</td> <td style="text-align: center;">Ziel</td> </tr> <tr> <td style="text-align: center;">t₁</td> <td></td> <td style="text-align: center;">t₂</td> <td></td> <td style="text-align: center;">t₃</td> <td></td> <td style="text-align: center;">t</td> </tr> </table> <p style="text-align: center;">and/or</p> <div style="display: flex; align-items: center;"> <div style="margin-right: 20px;"> <p style="text-align: center;">t₁</p> </div> <div style="text-align: center;">  <p style="text-align: center;">t</p> </div> </div> </div> <p style="font-size: small; margin-top: 10px;">Several groups are compared with each other at the same time. When repeated, a comparison can be made for monitoring.</p> <p style="font-size: x-small; margin-top: 5px;">Regelmässig wird ein gemeinsames Synthese-SEPO erarbeitet</p>	Rückblick in die Vergangenheit	↔	Vorausblick in die Zukunft	1 Succès Erfolge	POSITIV	3 Potentialités Möglichkeiten	2 Echecs Misserfolge	NEGATIV	4 Obstacles Hindernisse	S P E O	→	S P E O	→	S P E O	→	Ziel	t ₁		t ₂		t ₃		t
Rückblick in die Vergangenheit	↔	Vorausblick in die Zukunft																						
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S P E O	→	S P E O	→	S P E O	→	Ziel																		
t ₁		t ₂		t ₃		t																		
 Advantages	Target group's strengths and weaknesses can be quickly ascertained. Can be used with the target group. Can also be used as an instrument of self-evaluation for projects and methods.																							











 Restrictions	Not a planning instrument! This is an analysis instrument. If used with the target group, moderation is vital in order to stimulate discussions.
 Literature	http://www.daretoshare.ch/en/Dare_To_Share/Knowledge_Management_Toolkit/media/SEPO%20full%20text%20E.pdf

4.2 NGO-designed participatory impact monitoring (PIM)











 Goal	Improved project monitoring and plan adjustment during the project implementation phase, improved reflection about outcome and impacts, promotion of team capacities.
 Type of results	Mainly qualitative but also quantitative results.
 Duration	A three-day training course for staff is recommended at the beginning, and rather than moderation, "supervision" of the process when PIM is introduced into an organisation. Experience: meeting with a project team every three to six months for a duration of approx. 1.5 days. It is easier if projects have PRA experience and experience with surveys and data analysis.
 Material	Sheets of packaging paper, cards, pens.
 Actors	Target group, moderator, person taking minutes.
 Comments	PIM is a 20-step method, it can be adapted flexibly to different projects. Depending on available time / number of staff, the team can begin on a small scale (approx. 3-4 members of staff) and test tools during regular field visits and continually develop PIM or introduce these into the existing M&E system. There are also "ready made" tools on select outcomes and impacts in the field of "watersheds" and "self-help group approach" with appropriate indicators which only have to be adapted in the projects/regions.
 Procedure	<u>PIM - STEP BY STEP APPROACH – AN OVERVIEW</u>
	1. PHASE: PREPARATION OF MONITORING
	STEP 1: Deciding on programmes to be monitored STEP 2: Identifying impacts of the programmes STEP 3: Clarifying key terms and agreeing on the meaning of the impacts STEP 4: Deciding on impacts to be monitored
	2. PHASE: REFLECTION ON THE BACKGROUND OF THE IMPACTS
	STEP 5: Investigating the relationship between project activities and impacts STEP 6: Investigating the relationship between other (external) factors and impacts STEP 7: Examining existing M&E activities concerning the impacts
	3. PHASE: DEVELOPMENT OF INDICATORS
	STEP 8: Drafting indicators STEP 9: Consulting resource persons for indicator development STEP 10: Selecting the most appropriate indicators STEP 11: Defining survey units and deciding on the sampling procedure STEP 12: Elaborating questionnaires and other data collection tools STEP 13: Elaborating data processing and analysis sheets STEP 14: Pre-testing indicators, methods and data analysis STEP 15: Determining targeted achievements
	4. PHASE: MEASUREMENT
	STEP 16: Preparing the impact measurement STEP 17: Collecting and processing data
	5. PHASE: ANALYSIS

	<p>STEP 18: Analysing and pre-assessing results</p> <p>STEP 19: Drawing conclusions in joint reflection with the target group</p> <p>STEP 20: Elaborating recommendations for future monitoring</p>
 Advantages	Systematic and flexible methods.
 Restrictions	The organisation has to be interested in and willing to learn PIM. Introducing PIM involves more work in a project. A good prerequisite is experience with PRA and data collection and its evaluation/conclusions at regular meetings.
 Contact person	Dr. Axel Weiser (axel.weiser@dwhh.org), Dr. Heinz Peters (heinz.peters@welthungerhilfe.org), Anke Schürmann (anke.schuermann@welthungerhilfe.org)
 Literature	<p>SCHÜRMAN, A, (2006): Participatory Impact Monitoring of Self Help Groups and Watersheds. Edition 2006, Bangalore/India (manual in English, based field experience with MYRADA in India)</p> <p>IFAD, IIRR, ANOG, MYRADA and others (2001): Enhancing Ownership and Sustainability, a Resource Book on Participation. Philippines http://www2.gtz.de/dokumente/bib/96-2007_IV.pdf http://www.fakt-consult.de/modern/info/index_info.html</p>

4.3 Rapid nutrition assessment

 Goal	Basis for project planning.
 Type of results	Extent of emergency is known. Overview of situation in endangered regions and affected sections of the population. Nature of results: quantitative and qualitative.
 Duration	Approx. two weeks, maximum of three weeks.
 Actors	Interdisciplinary team.
 Comments	The RNA is extremely relevant in acute emergency situations. It is NOT a SUBSTITUTE for in-depth food studies.
 Procedure	Evaluation of secondary data Interviews with key persons Discussions with target groups Transects Measurement of anthropometric indicators Evaluation of data in the fieldwork phase Documentation Decision about interventions
 Advantages	Fast and direct information about an emergency in a region. Sensible if neither time nor resources are available for standard surveys.
 Restrictions	Time pressure Not representative Selective choice of participants leads to distortions
 Contact person	
 Literature	http://www.methodfinder.net/index.php?page=methods&methodID=52&cat=briefdescription http://www.dppc.gov.et/downloadable/reports/Early_warning/ENCU/Guiding%20Principles%for%Rapid%20Nutrition%20Ass..pdf http://www.fakt-consult.de/modern/info/index_info.html








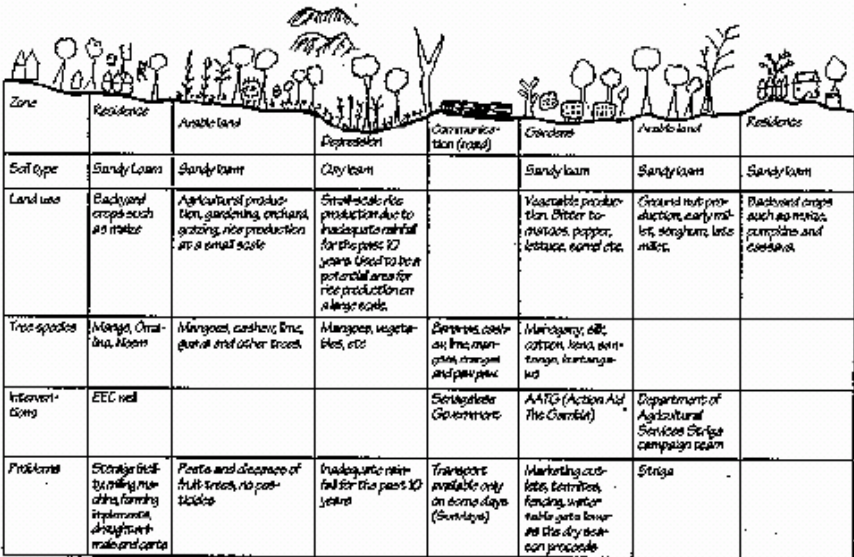


4.4 Rapid appraisal methodology



 Goal	To provide qualitative information about the perception of target groups.
 Type of results	Basic information for situation analysis and original data for monitoring. Results are often of good quality but provide information for formalised and detailed data collections.
 Duration	Four to six weeks, depending on degree of detail.
 Material	Visualisation material, local materials, paper, pens.
 Actors	Project staff, staff of partner organisations, target group representatives.
 Procedure	Combination of several methods: Interviews with experts, focus group discussions, observation, surveys;
 Advantages	Can be carried out relatively quickly. Offers basis for the implementation of formal studies. Provides sufficient information for management decisions. Allows flexibility in data collection. Makes it possible to discover new aspects (e.g. unexpected positive outcomes or impacts or undesired side-effects).
 Restrictions	Difficult to make generalisations on the basis of the data because this is usually specific to a certain group or survey region. Data is less reliable than data from formal surveys and is often called into question. Qualitative data is more difficult to analyse and requires high level of analytical competence.
 Literature	http://www.fao.org/docrep/W3241E/w3241e09.htm http://www.fao.org/Participation/ft_refs.jsp?ID=3781
 Examples	SONDEO: http://cru.cahe.wsu.edu/CEPublications/wrep0127/wrep0127.html

5 Participatory methods of collecting and discussing data









5.1 A – Geographical information












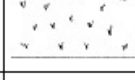

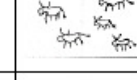


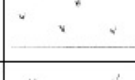

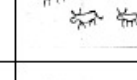
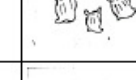


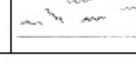
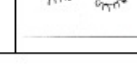












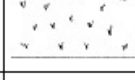

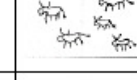


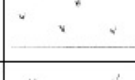

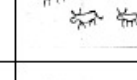
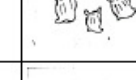


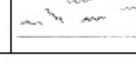
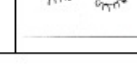












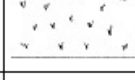

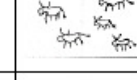


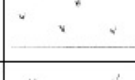

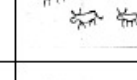
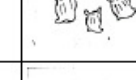


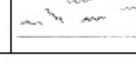
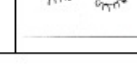





5.1.1 Transect

 Goal	<p>To collect information about geographical conditions.</p> <p>To find out about practices and local technology.</p>																																																
 Type of results	<p>Shows natural resources, land use, vegetation, private land, public land, visualised in a cross-section diagram.</p> <p>Results are qualitative.</p>																																																
 Duration	<p>2-3 hours in a village.</p>																																																
 Material	<p>Paper, pens, possibly camera.</p>																																																
 Actors	<p>Two persons from one survey team, accompanied by local resource persons.</p>																																																
 Comments	<p>Can be combined with resource maps, social maps and seasonal calendars.</p>																																																
 Procedure	<p>First of all, the route to be taken is laid down with local resource persons (guidelines are provided by special land use, difficult situations, etc.). Then walk along pre-defined route. Document all important characteristics along the way, such as land use, buildings etc. With the local resource persons, discuss changes in characteristics. Always ask questions about resources, problems, land use, animal husbandry, who lives in the appropriate sections, etc.</p> <p>After the route has been completed, prepare a cross-section diagram of the route and record characteristics.</p> <p>Example: Young Men and Women's Transects, Misera, The Gambia</p>  <table border="1" data-bbox="539 1317 1396 1794"> <thead> <tr> <th>Zone</th> <th>Residence</th> <th>Arable land</th> <th>Depressions</th> <th>Communication (road)</th> <th>Gardens</th> <th>Arable land</th> <th>Residence</th> </tr> </thead> <tbody> <tr> <td>Soil type</td> <td>Sandy loam</td> <td>Sandy loam</td> <td>Clay loam</td> <td></td> <td>Sandy loam</td> <td>Sandy loam</td> <td>Sandy loam</td> </tr> <tr> <td>Land use</td> <td>Backyard crops such as maize</td> <td>Agricultural production, gardening, orchard, grazing, rice production on a small scale</td> <td>Small-scale rice production due to inadequate rainfall for the past 10 years. Used to be a potential area for rice production on a large scale.</td> <td></td> <td>Vegetable production. Better for mustard, pepper, lettuce, corn etc.</td> <td>Orchard, rice production, early millet, sorghum, lime, maize</td> <td>Backyard crops such as maize, pumpkins and cowpeas</td> </tr> <tr> <td>Tree species</td> <td>Mango, Citrus, Neem</td> <td>Mangoes, cashew, Eucalyptus and other trees</td> <td>Mangoes, vegetables, etc.</td> <td>Pineapples, coconuts, lime, mangoes, orange and papaya</td> <td>Mangoes, all cotton, lime, date, mango, karamansi</td> <td></td> <td></td> </tr> <tr> <td>Interventions</td> <td>EEC well</td> <td></td> <td></td> <td>Senegalese Government</td> <td>AAR (Action Aid The Gambia)</td> <td>Department of Agricultural Services Senegal campaign team</td> <td></td> </tr> <tr> <td>Problems</td> <td>Storage facilities, farming implements, drought-resistant crops</td> <td>Plots and clearance of fruit trees, no pesticides</td> <td>Inadequate rainfall for the past 10 years</td> <td>Transects available only on some days (Sundays)</td> <td>Marketing outlets, fertilizers, funding, water, maize price lower at the dry season</td> <td>Storage</td> <td></td> </tr> </tbody> </table> <p>Source: SEAGA Field Level Handbook, S. 56</p>	Zone	Residence	Arable land	Depressions	Communication (road)	Gardens	Arable land	Residence	Soil type	Sandy loam	Sandy loam	Clay loam		Sandy loam	Sandy loam	Sandy loam	Land use	Backyard crops such as maize	Agricultural production, gardening, orchard, grazing, rice production on a small scale	Small-scale rice production due to inadequate rainfall for the past 10 years. Used to be a potential area for rice production on a large scale.		Vegetable production. Better for mustard, pepper, lettuce, corn etc.	Orchard, rice production, early millet, sorghum, lime, maize	Backyard crops such as maize, pumpkins and cowpeas	Tree species	Mango, Citrus, Neem	Mangoes, cashew, Eucalyptus and other trees	Mangoes, vegetables, etc.	Pineapples, coconuts, lime, mangoes, orange and papaya	Mangoes, all cotton, lime, date, mango, karamansi			Interventions	EEC well			Senegalese Government	AAR (Action Aid The Gambia)	Department of Agricultural Services Senegal campaign team		Problems	Storage facilities, farming implements, drought-resistant crops	Plots and clearance of fruit trees, no pesticides	Inadequate rainfall for the past 10 years	Transects available only on some days (Sundays)	Marketing outlets, fertilizers, funding, water, maize price lower at the dry season	Storage	
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 Advantages	<p>Can be carried out relatively quickly.</p> <p>Includes local perspectives.</p>																																																
 Restrictions	<p>Requires good moderation and interview techniques.</p>																																																

 Literature	CARE 2002. Household Livelihood Security Assessments: A Toolkit for Practitioners SEAGA – Socio-Economic and Gender Analysis – Field Level Handbook
 Examples	http://www.fao.org/sd/seaga/4_en.htm , SEAGA Field Level Handbook, S. 56








5.1.2 Resource maps

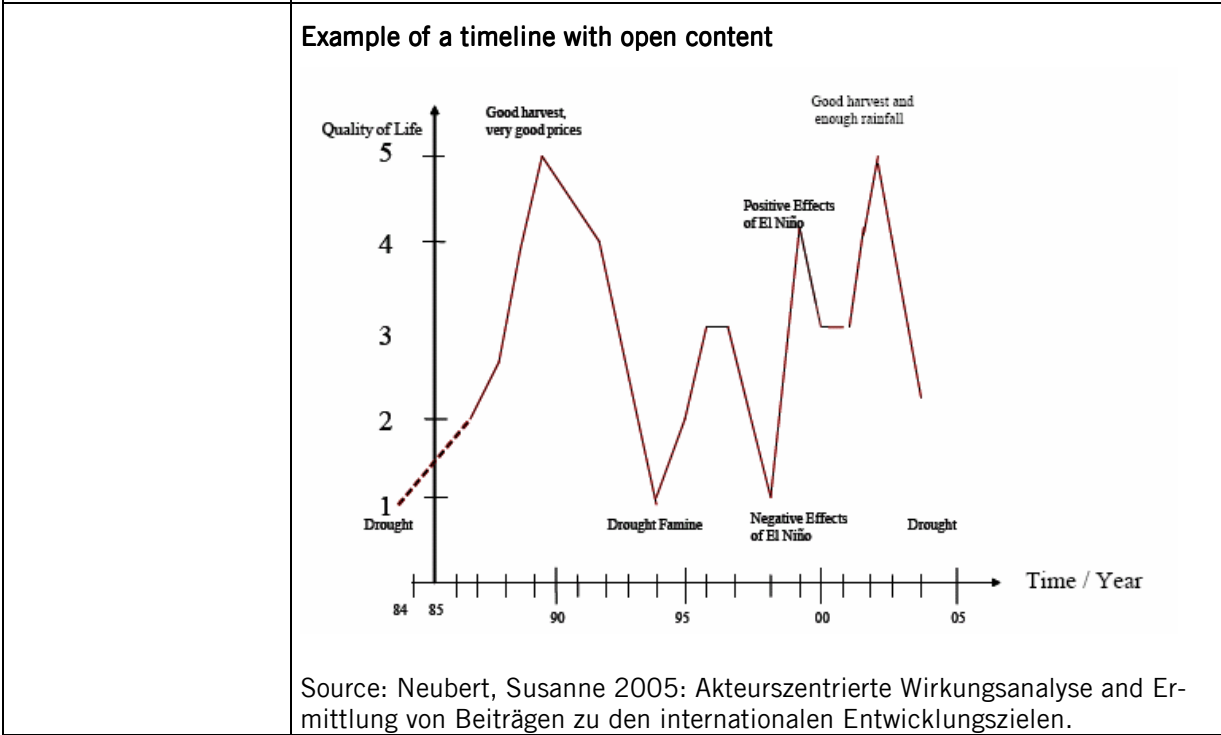
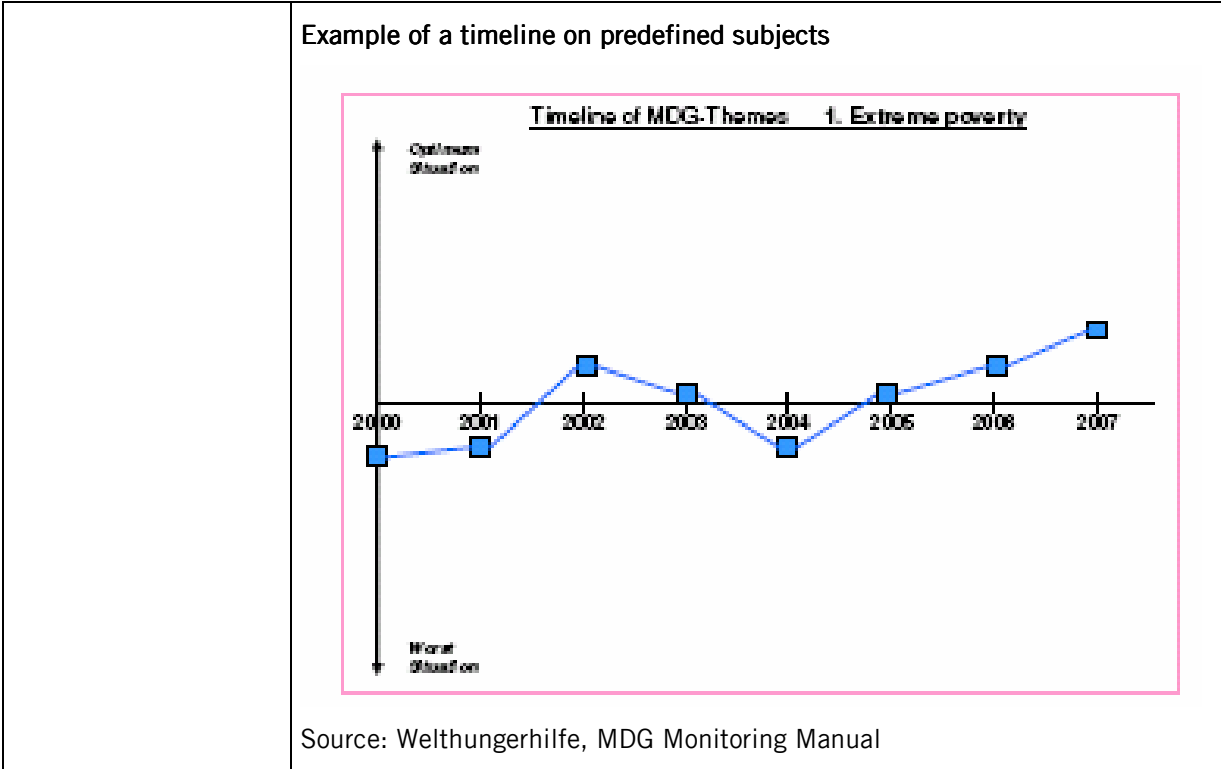
 Goal	To record resources in a village.
 Type of results	Shows access to and availability and use of infrastructure, sources of water, land distribution, markets, health centres etc., shows notable topographical features from the perspective of the target group. Results are quantitative and qualitative.
 Duration	Approx. 2-3 hours
 Material	Paper, pens or drawings on ground
 Actors	Carried out with a group of actors in a village. It is important that all socio-economic groups are represented!
 Comments	Can be combined with transects, social maps and seasonal calendars. Can also be used historically. In this case, reference is made to specified resources and these are surveyed over a defined period of time.
 Procedure	<p>Identify the groups who will help draw up map. Maps can be prepared simultaneously, for example, with men and women, young and old people, so that different perspectives and problems are highlighted.</p> <p>Define with the groups the limits of the map (e.g. boundaries of a watershed or village, etc.).</p> <p>Then ask groups to draw in roads, houses, fields, etc. Offer assistance by asking questions.</p> <p>The map serves as a basis for further discussions with the groups, e.g. about crops, land use, etc., depending on project focus.</p> <p>Some important questions are:</p> <ul style="list-style-type: none"> ✓ Which resources are available in abundance and which are scarce? ✓ What differences are there in terms of the access of individual houses or social groups to land? ✓ Who makes decisions about access to land, woodland etc.? ✓ Where do the people obtain water and firewood? ✓ Who collects water and firewood? <p>The map prepared with the target groups remains in the village. The map can be copied or photographed for the project.</p> <p>It is important that the discussions are recorded throughout the discussion process so that important information does not go missing.</p>
 Procedure	If used as a historical map, it is usual to start with the present time and ask how a certain resource is used today. Interviewees are then asked about this particular resource a certain time ago. The interviewed group often defines the period in the past. Comparing the two maps serves as a basis for a discussion about how the resource has changed over time.


	<p>Example of a historical resource map:</p> <table border="1"> <thead> <tr> <th></th> <th>FOREST</th> <th>AGRI LANDS</th> <th>WATER</th> <th>LIVESTOCK</th> <th>YIELD</th> </tr> </thead> <tbody> <tr> <td>1940</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1950</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1970</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1985</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>1989</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Source: MYRADA, PRA – PALM Series No. 2, S. 18</p>						FOREST	AGRI LANDS	WATER	LIVESTOCK	YIELD	1940						1950						1970						1985						1989					
	FOREST	AGRI LANDS	WATER	LIVESTOCK	YIELD																																				
1940																																									
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 Advantages	<p>Enables target groups to discuss aspects relating to their living conditions. Quick documentation of infrastructure and topography is possible. Good basis for further discussions and surveys and for a comparison of the different perceptions of resources.</p>																																								
 Restrictions	<p>Requires good moderation skills. Requires good analytical skills if used as a monitoring instrument. Maps are geographically limited (they provide no information about more extensive rural areas).</p>																																								
 Literature	<p>SEAGA – Socio-Economic and Gender Analysis – Field Level Handbook</p>																																								
 Examples	<p>http://www.fao.org/sd/seaga/4_en.htm, SEAGA Field Level Handbook, S. 51</p>																																								

5.2 B – Time-based information


5.2.1 Timeline

 Goal	To detect changes in different aspects over a period of time.
 Type of results	Positive and negative developments in a village become apparent. Results are qualitative.
 Duration	Approx. 2 hours
 Material	Paper, pens or drawings on the floor and use of local materials
 Actors	Carried out with a group of actors in a village. It is important that all socio-economic groups are represented! If possible, villagers who can remember what the situation was like over a longer period should be interviewed.
 Comments	Good basis for identifying aspects for a trend analysis. Is used as an introductory tool for impact and outcome monitoring in Millennium Villages.
 Procedure	<p>The period of time to be studied is selected, e.g. five or ten years, preferably as far back as the participants can remember. If possible, the participants should be asked.</p> <p>Alternatively, a subject or organisation can be chosen and its history studied (in the case of thematic timelines).</p> <p>The group is asked what it can remember from this time. This information is visualised using a scale of 1-5 (1= poor, 5 = very good). Questions about distinctive external events are useful. The events that directly influenced the lives of the participants are then discussed.</p> <p>The timeline then reveals shortages and helps stimulate discussions about how conditions have changed.</p> <p>Timelines can be carried out with pre-defined aspects, as is the case in the outcome and impact monitoring of the Millennium Villages, but they can also be open in terms of content, as is the case in Welthungerhilfe's ex-post-evaluations.</p>




 Advantages

Stimulates a discussion about positive and negative changes.
Is easily understandable for the target groups.

 Restrictions








Provides general data, and data may have to be reviewed using existing secondary data.
Requires trained moderation.





 Contact person

Mathias.mogge@welthungerhilfe.de








 Literature	Neubert: http://www.uni-saarland.de/fak5/stockmann/akepol/meetings/00000014/PAPERNeubert_AKEPOL0605.pdf Welthungerhilfe: MDG Monitoring Manual
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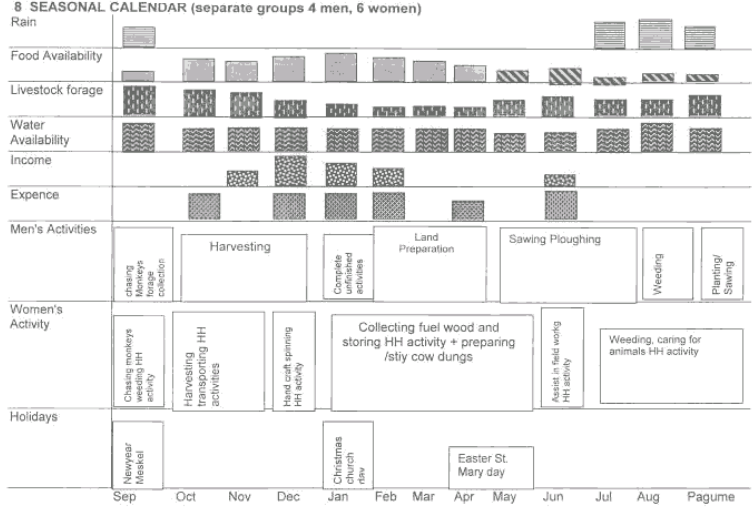




5.2.2 Trend analysis

 Goal	To determine changes in predefined aspects over a period of time.
 Type of results	<p>Positive and negative trends in a village become apparent.</p> <p>The result is often a group discussion about phenomena, which would not otherwise be apparent, such as soil degradation or population growth.</p> <p>Results are qualitative.</p>
 Duration	3-4 hours
 Material	Paper, pens or drawings on ground and use of local materials.
 Actors	Carried out with a group of actors in a village. It is important that all socio-economic groups are represented! If the tool is used with different social groups, it helps to examine different perceptions of the same aspect (e.g. different trends among women and men).
 Comments	<p>Used for impact and outcome monitoring in Millennium Villages.</p> <p>Is part of an ex-post-outcome and impact evaluation by Welthungerhilfe.</p>
 Procedure	<p>Decide which aspects to discuss. Aspects often arise from the use of a timeline (a ranking system is often useful here – cf. description in these Guidelines). But they can also be compiled with the help of participants, e.g. with the question: What does well-being mean to you? Responses such as "household incomes", "means of transport", "schooling" etc. are the aspects that are examined.</p> <p>Enter the aspects that are to be discussed in the first column of a prepared matrix.</p> <p>On a scale of 0 to 5 (0= poor, 5 = very good) every aspect is assessed over a time scale (proceed per row). The reasons for the assessment must also be documented.</p>

	<p>Example:</p> <p>⋯ Best situation</p> <p style="text-align: center;"><u>Trend Analysis</u></p> <p style="text-align: right;">Village : Angkor Chey Ti Th Commune : Khlong Thong District : Kampong Trach</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th></th> <th>97</th> <th>98</th> <th>99</th> <th>00</th> <th>01</th> <th>02</th> <th>03</th> <th>04</th> <th>05</th> </tr> </thead> <tbody> <tr> <td>Rice production /ha</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> <td>⋯</td> </tr> <tr> <td>Good road</td> <td></td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> <tr> <td>Animal possession</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> <tr> <td>Cash availability</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> <tr> <td>Education</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> <tr> <td>Human health</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> <tr> <td>Farmers being organised</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Credit availability</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> <td>•</td> </tr> </tbody> </table> <p>Source: Strele et al. 2006: Participatory Livelihoods Monitoring, S. 12</p> <p>The discussion participants then discuss the results of the analysis. Relationships are established.</p>		97	98	99	00	01	02	03	04	05	Rice production /ha	⋯	⋯	⋯	⋯	⋯	⋯	⋯	⋯	⋯	Good road		•	•	•	•	•	•	•	•	Animal possession	•	•	•	•	•	•	•	•	•	Cash availability	•	•	•	•	•	•	•	•	•	Education	•	•	•	•	•	•	•	•	•	Human health	•	•	•	•	•	•	•	•	•	Farmers being organised										Credit availability	•	•	•	•	•	•	•	•	•
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 Advantages	<p>Reveals positive and negative trends in a village and makes it possible to compare trends for various aspects.</p> <p>Raises target groups' awareness of these trends.</p> <p>Various points of view within a village can be made apparent.</p>																																																																																										
 Restrictions	<p>Is not easy for the participants to understand.</p> <p>Requires a lot of explanation.</p> <p>Participants have to concentrate.</p> <p>Good moderation is needed to ensure everyone participates.</p>																																																																																										
 Contact person	<p>Mathias.mogge@welthungerhilfe.de</p>																																																																																										
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5.2.3 Seasonal calendar

 Goal	<p>To detect seasonal patterns in the living conditions of the target group and to correlate them.</p>
 Type of results	<p>Seasonal change in crop yields, household incomes, workload, food availability, illnesses, etc., information about free work capacities and possible times for additional activities.</p> <p>Results are qualitative.</p>
 Duration	<p>Approx. 2 hours</p>
 Material	<p>Paper, pens, or drawing or making models on the ground</p>
 Actors	<p>Is carried out with the target group, approx. 10-15 participants per group, moderation.</p>
 Comments	<p>In contrast to timeline and trend analyses, the seasonal calendar does not reveal aspects that follow on from each other but cyclically recurring changes.</p>
 Procedure	<p>Ask discussion participants to draw a line. This line usually represents a year. Ask the participants to divide the line into units which they consider useful (can be months, weeks etc.).</p> <p>The interview can start with a question about the rainy season. Participants discuss the severity of rainfall and demonstrate this using stones or the thickness of lines on the matrix (per month or chosen unit).</p> <p>Depending on interests and focus, the participants' activities throughout the year can then be discussed. For every activity, a new line is drawn and participants show how the activities or discussed aspects are distributed throughout the year.</p> <p>To double-check, the moderator can always refer to the rainfall and ask if the details are correct. The causes should also be examined and discussed (Important: remember climate change!).</p> <p>In the course of the discussion, a matrix is created that reveals various aspects of the living conditions of the target groups.</p>








	<p>Example:</p>  <p>8 SEASONAL CALENDAR (separate groups 4 men, 6 women)</p> <p>Rain</p> <p>Food Availability</p> <p>Livestock forage</p> <p>Water Availability</p> <p>Income</p> <p>Expenditure</p> <p>Men's Activities</p> <p>Women's Activity</p> <p>Holidays</p> <p>Sep Oct Nov Dec Jan Feb Mar Apr May Jun Jul Aug Pagume</p> <p>Expenditures in June are for seed and food. Most expenses are done Dec - Feb (tax, school fees, clothing etc.) just after harvest. No information is provided by the PRA on the reason for higher expenditure in October. The participating community members reported 42 main church days (officially not allowed to work) and 7 main fasting periods (different in duration) in this Gott.</p> <p><i>Profile Gendassa Göt, Akuri Dill 022 Kabelle, Lalo Mama Woreda, North Shewa Zone, Amhara Region</i></p>
 Advantages	<p>Provides an overview of seasonal patterns relatively quickly.</p> <p>Is suitable for a situation analysis at the start of the project.</p>
 Restrictions	<p>Can only be used as a monitoring instrument to a limited extent because seasonal patterns usually change only slightly.</p> <p>Requires experienced moderation.</p> <p>The climate change is making it more difficult to divide seasons into rainy and dry periods.</p>
 Contact person	<p>Mathias.mogge@welthungerhilfe.de</p>
 Literature	<p>Chars Livelihoods Programme Design. Diversity and Livelihoods Assessment. Fieldwork Guide. Draft. 15th January 2002 at http://siteresources.worldbank.org/INTTOPPISOU/Resources/Sec4413_Draft_DVLA_field_guide.pdf</p> <p>Participatory Tools and SEAGA Questions for Planning & Monitoring Livestock Initiatives auf http://www.sarpn.org.za/documents/d0001803/6-Livestock_FAO_2005_Part3.pdf</p>

5.3 C – Ranking systems

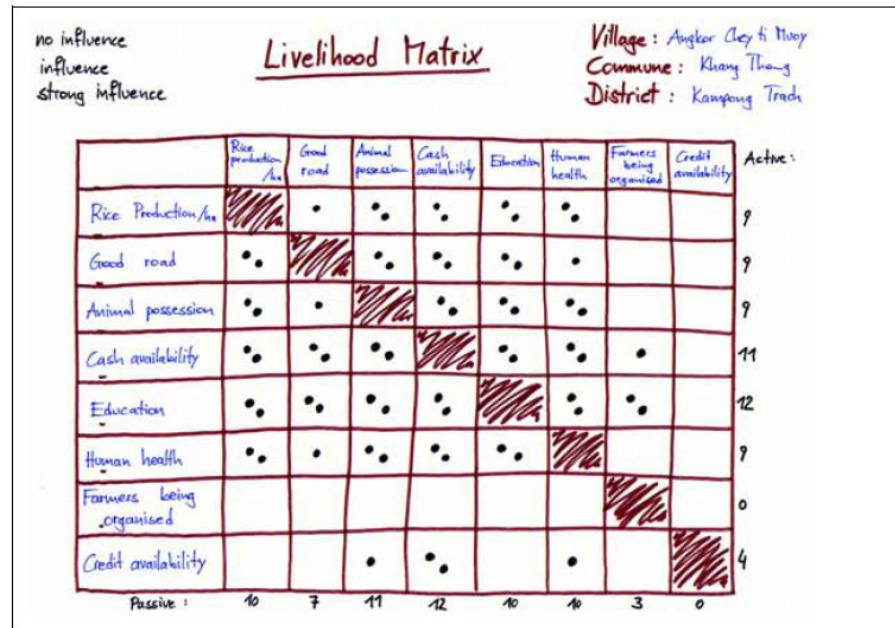
5.3.1 Simple ranking





 Goal	To identify priorities and facilitate decisions.																																																																									
 Type of results	Comparison of certain options and decision of a group. Results are qualitative.																																																																									
 Duration	Approx. ½ - 1 hour																																																																									
 Material	Paper, pens or local materials																																																																									
 Actors	Approx. 10-15 discussion participants, moderation																																																																									
 Comments	Simple ranking is usually only suitable for monitoring to a limited degree but it is useful for planning processes with the target group. Is used in Welthungerhilfe's MDG monitoring as a step towards selecting factors for the trend analysis.																																																																									
 Procedure	<p>The options (problems, potentials, projects etc.) to be assessed are written down in a list or illustrated with symbols.</p> <p>Using stones or seeds (number of stones per person is the same), the effectiveness of measures, for example, can be assessed. For example, each person receives five stones (0 = not very effective, 5 = very effective).</p> <p>When everybody has made their decision, the elements are ordered according to the number of points they receive.</p>	<p>Example from Welthungerhilfe MDG Monitoring Manual</p> <table border="1" data-bbox="837 1019 1380 1780"> <thead> <tr> <th colspan="4">MDG-Factor Ranking according MDG-Theme</th> </tr> <tr> <th colspan="4">1. Extreme poverty</th> </tr> <tr> <th>MDG Factors</th> <th>Points/Votes</th> <th>Total</th> <th>Rank</th> </tr> </thead> <tbody> <tr> <td>Efficient family planning in practice</td> <td>○○○○○○○○ ○○○○○○</td> <td>14</td> <td>2</td> </tr> <tr> <td>Access to high quality seeds</td> <td>○○○○</td> <td>4</td> <td>6</td> </tr> <tr> <td>Access to jobs for inhabitants</td> <td>○○</td> <td>2</td> <td>8</td> </tr> <tr> <td>Access to agricultural technical equipment</td> <td>○○</td> <td>2</td> <td>8</td> </tr> <tr> <td>High quality education including professional courses</td> <td></td> <td>0</td> <td>10</td> </tr> <tr> <td>Modern agriculture techniques in practice</td> <td>○○○○○○ ○○○○○○</td> <td>11</td> <td>3</td> </tr> <tr> <td>Protection from natural disasters</td> <td>○○○○○○</td> <td>5</td> <td>5</td> </tr> <tr> <td>Access to fertile land/ soil</td> <td>○○○○○○○○ ○○○○○○○○</td> <td>16</td> <td>1</td> </tr> <tr> <td>Improvement of health</td> <td>○○</td> <td>2</td> <td>8</td> </tr> <tr> <td>Short and goodways/ roads to markets</td> <td></td> <td>0</td> <td>10</td> </tr> <tr> <td>Access to the services for population (drugs, etc., communication, etc.)</td> <td>○○○</td> <td>3</td> <td>7</td> </tr> <tr> <td>Good trade relations</td> <td>○</td> <td>1</td> <td>9</td> </tr> <tr> <td>Stable prices of (food) products</td> <td>○○○</td> <td>3</td> <td>7</td> </tr> <tr> <td>Access to micro credits with low interest rates</td> <td>○○○○○○○○○○</td> <td>9</td> <td>4</td> </tr> <tr> <td>Total</td> <td></td> <td>72</td> <td></td> </tr> </tbody> </table>	MDG-Factor Ranking according MDG-Theme				1. Extreme poverty				MDG Factors	Points/Votes	Total	Rank	Efficient family planning in practice	○○○○○○○○ ○○○○○○	14	2	Access to high quality seeds	○○○○	4	6	Access to jobs for inhabitants	○○	2	8	Access to agricultural technical equipment	○○	2	8	High quality education including professional courses		0	10	Modern agriculture techniques in practice	○○○○○○ ○○○○○○	11	3	Protection from natural disasters	○○○○○○	5	5	Access to fertile land/ soil	○○○○○○○○ ○○○○○○○○	16	1	Improvement of health	○○	2	8	Short and goodways/ roads to markets		0	10	Access to the services for population (drugs, etc., communication, etc.)	○○○	3	7	Good trade relations	○	1	9	Stable prices of (food) products	○○○	3	7	Access to micro credits with low interest rates	○○○○○○○○○○	9	4	Total		72	
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Total		72																																																																								
 Advantages	Quickly provides an overview.																																																																									
 Restrictions	Little to no transparency about selection criteria. Participants can be swayed in their choice by the choice of others.																																																																									
 Literature	Welthungerhilfe: MDG Monitoring Manual																																																																									

5.3.2 Paper computer








 Goal	Identification of relationships, cause and effect relationships.
 Type of results	Results are qualitative.
 Duration	2-3 hours
 Material	Paper, pens or local materials
 Actors	Approx. ten group participants, moderation
 Comments	<p>In the monitoring process, the paper computer makes it possible to compare different options at different times.</p> <p>In Welthungerhilfe's MDG monitoring, a paper computer is used to analyse how the nine MDG issues influence each other.</p>
 Procedure	<p>A matrix is laid out. The individual items are entered both horizontally and vertically.</p> <p>The individual items are then assessed according to the extent to which they can be influenced and can themselves influence others. We start in the first row and ask: How does Option 1 influence Option 2? Responses are given on a scale of: 0 = no influence, 1 = moderate influence, 2 = strong influence.</p> <p>Participants go through all rows until the influence of all positions on others has been assessed.</p> <p>So-called active and passive sums are created. From left to right, the sum of the assessment is created per line and produces an active sum. This indicates how strongly one position influences another.</p> <p>The passive sum is formed in every column. This shows how strongly the position is influenced by the other positions.</p> <p>Further plans and new project activities can be based on the active factors. If it is possible to change these, changes can be expected in the system as a whole. After the factors change, the matrix has to be changed at a later time if the tool is repeated.</p>

Example from Strele et al. 2006, p. 12 – Livelihood factors are compared with each other

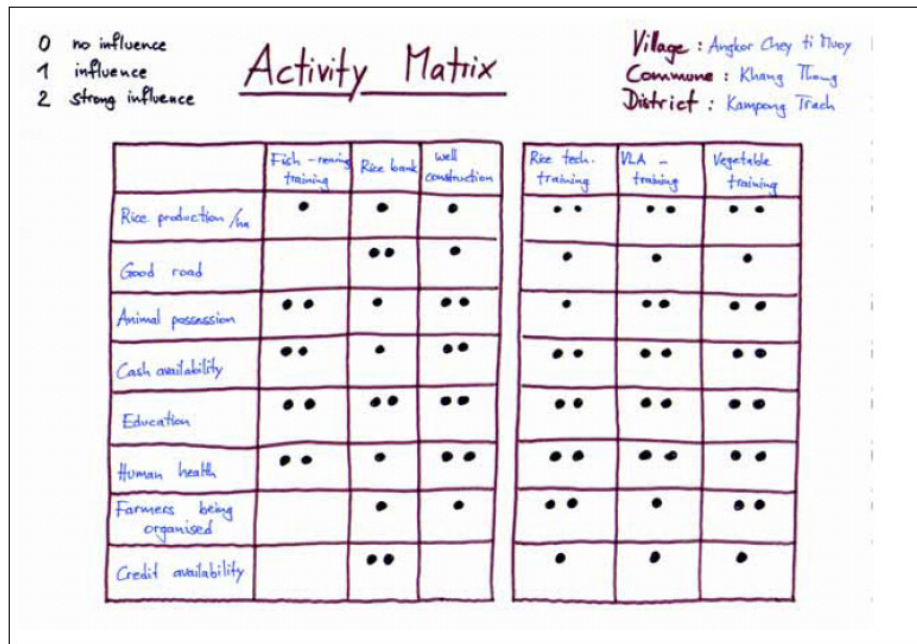


	Advantages	Reveals relationships and illustrates options for future project interventions.
	Restrictions	Requires very good moderation skills. Requires high level of reflection among participants.
	Contact person	Mathias.mogge@welthungerhilfe.de
	Literature	Strele et al. 2006: Participatory Livelihoods Monitoring, ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf Weingärtner et al. 2005: Poverty and Food Security Monitoring in Cambodia. Linking Programmes and Poor People's Interests to Policies. http://edoc.hu-berlin.de/series/sle/216/PDF/216.pdf Welthungerhilfe: MDG Monitoring Manual

5.3.3 Matrix scoring

 Goal	Relative comparison of certain options, a certain subject or solution to a problem.
 Type of results	Detailed analysis and discussion of priorities and perceptions. Results are qualitative.
 Duration	3-4 hours
 Material	Paper, pens or local materials
 Actors	Approx. 10-20 group participants, moderation
 Comments	<p>Can be used in the planning phase to identify project alternatives and in monitoring.</p> <p>In monitoring, matrix scoring is used to assess the outputs of a project at different times and to compare other aspects or identify indicators, which should be monitored regularly.</p> <p>Is used in slightly modified form in Welthungerhilfe's MDG monitoring as an influence matrix.</p>
 Procedure	<p>Clarify what has to be assessed.</p> <p>Options are written in a row. The longer the list is, the longer scoring takes.</p> <p>To develop criteria, discussion participants are asked what the advantages or disadvantages of the respective options are. Each criterion is written down in a column. A large matrix is created in this way. If the list of criteria is too long, these can be rated by the participants using a simple ranking system. Criteria should be formulated positively <u>or</u> negatively.</p> <p>The options in the row are now assessed using the criteria. A maximum of points is specified per criterion (e.g. 21). These points can now be distributed among the respective options. Which of the options best fulfils the criteria?</p> <p>It is important that the participants discuss how they award points. It is therefore vital that discussion process are documented!</p>

Example from Strele et al. 2006, p. 14



Advantages

Offers an insight into the different perceptions of discussion participants.
Stimulates an intensive reflection process among participants.



Restrictions

Requires very good moderation and documentation skills.



Contact person








Mathias.mogge@welthungerhilfe.de



Literature

Strele et al. 2006: Participatory Livelihoods Monitoring, <ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf>
Weingärtner et al. 2005: Poverty and Food Security Monitoring in Cambodia. Linking Programmes and Poor People's Interests to Policies. <http://edoc.hu-berlin.de/series/sle/216/PDF/216.pdf>
Welthungerhilfe: MDG Monitoring Manual

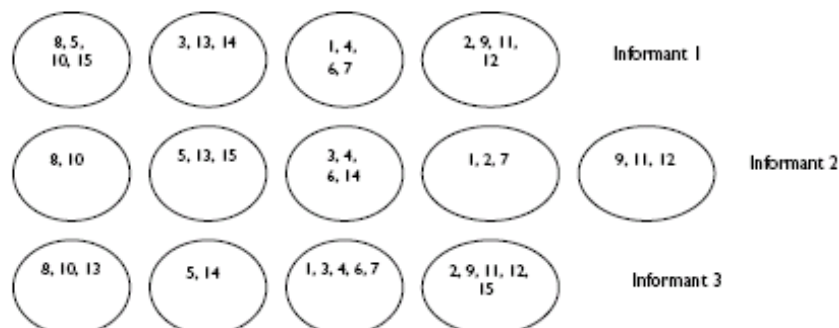
5.3.4 Wealth ranking

 Goal	To distinguish between different households according to socio-economic criteria.
 Type of results	Villagers know about the wealth or well-being of a household and how well-equipped it is. Different views about poverty are identified. Results are qualitative and quantitative.
 Duration	Approx. 3 hours
 Material	Cards, pens
 Actors	Approx. 3 x 3-5 persons with a sound knowledge of the community in question, moderation.
 Comments	If used as a monitoring instrument, changes in well-being must be evident. Procedure is also appropriate for taking samples for monitoring. When working with poor households, this instrument makes it possible to find out about changes in social status in the course of monitoring.
 Procedure	<p>The name of every household is written down on cards which are numbered consecutively.</p> <p>The moderation begins with two households and asks participants to compare them. If the households are ranked differently, the cards are put into different groups. One household after the other is compared with the first two. This stimulates a discussion about new wealth criteria if the discussed households are given a better or worse rating than the first two. The same cards are put in the same group. The household groups must correspond to the same wealth criteria. How many wealth groups there are depends on the participants' view of well-being.</p> <p>This procedure should be repeated with two more interview groups. A comparison is then made to see if the assessment of the three groups is consistent. If a deviation of the results exceeds 10%, another group should be interviewed.</p> <p>Average values are then calculated per household. The wealthiest group in the respective reference groups is given "1", the poorest the highest number. Average values are then calculated per household and per information group on the basis of the following formula:</p> $\frac{\text{group number of households} \times 100}{\text{total number of groups}}$ <p>If an interview group has identified four groups, for example, the group of poorest households would be assessed as follows: $4 \times 100/4 = 100$, the second poorest group with $100 \times 3/4 = 75$, etc. If the second interview group has formed five wealth categories, the groups would be assessed with 100, 80, 60, 40 and 20.</p> <p>The final assessment per household is the average of the ranking number the household has been given by the three interview groups: if, for example, a household has been awarded 100, 75 and 80, the average value is 85.</p> <p>An average value is calculated from the three assessments for every household. The households can then be classified according to their average value as the wealthiest to the poorest. Where a clear cluster of scores occurs,</p>

groups can be created.

All discussions must be carefully recorded in writing to ensure that subjective wealth criteria are documented.

Example: How to Monitor and Evaluate Impacts of Participatory Research Projects. Part B, p. 42



Household	Informant			Total score	Group
	I	2	3		
9	0.25	0.2	0.25	0.7	IV
11	0.25	0.2	0.25	0.7	
12	0.25	0.2	0.25	0.7	
2	0.25	0.4	0.25	0.9	III
1	0.5	0.4	0.5	1.4	
7	0.5	0.4	0.5	1.4	
4	0.5	0.6	0.5	1.6	
6	0.5	0.6	0.5	1.6	II
3	0.75	0.6	0.5	1.85	
15	1	0.8	0.25	2.05	
14	0.75	0.6	0.75	2.1	
5	1	0.8	0.75	2.55	
13	0.75	0.8	1	2.55	I
8	1	1	1	3	
10	1	1	1	3	



Advantages

Results are transparent and reliable thanks to triangulation.
 When carried out in different villages, a comparison of poverty groups can be made.
 Discussion participants improve their understanding of living conditions in a village and their perception of poverty and its consequences.



Restrictions








Needs very good moderation skills, otherwise unreliable results are produced.
 Wealth is a sensitive subject and not everyone is prepared to cooperate and decide who is poor and who is not poor.
 Different levels of wealth within the household are not addressed.



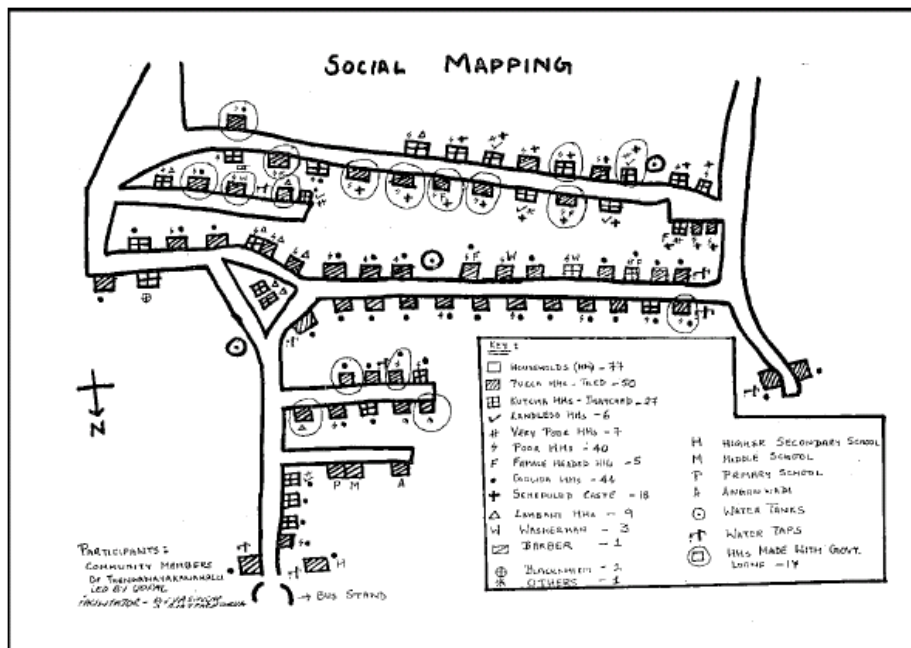
Literature

How to Monitor and Evaluate Impacts of Participatory Research Projects. CIAT Working Document No. 185, October 2001 at <http://www.ciat.cgiar.org/asia/how-to/index.html>

5.3.5 Social maps

 Goal	Distinguish between different households according to socio-economic criteria
 Type of results	<p>The equipment and welfare of a household is known about in a village. Different views about poverty are identified and entered into a map.</p> <p>Results are qualitative and quantitative.</p>
 Duration	2-3 hours
 Material	Paper, pens, local materials
 Actors	Group of approx. 10-15 participants, moderation
 Comments	<p>Social maps are a basis for poverty-oriented monitoring. They can have a supporting function if the project has to find out who has benefited from project measures and who hasn't.</p> <p>In the planning phase, the instrument helps define targets (targeting).</p>
 Procedure	<p>Clarify the concept of "household" (i.e. a house and extended family).</p> <p>Ask participants to draw a map of the village which includes all households. For the purposes of orientation, roads and significant features in the village can be included.</p> <p>Ask participants to classify all households according to their wealth. To do this households have to be compared with each other. Every feature can be marked with a colour or symbol. A list of symbols should be documented.</p> <p>Questions of relevance to the project can be asked: nutritional status, households led by women, members of a farmers' co-operative, etc.</p>

Example:



Source: Bhattacharjee 2001: Social mapping at Thenganayakanahalli village. In: PLA Notes 41



Advantages

Is relatively easy to prepare.
Good basis for monitoring activities.



Restrictions

Needs very good moderation skills, otherwise unreliable results are produced.
Wealth is a sensitive subject and not everyone is prepared to cooperate and to determine who is poor and who is not poor.
Becomes more difficult the bigger the community is that is being discussed.










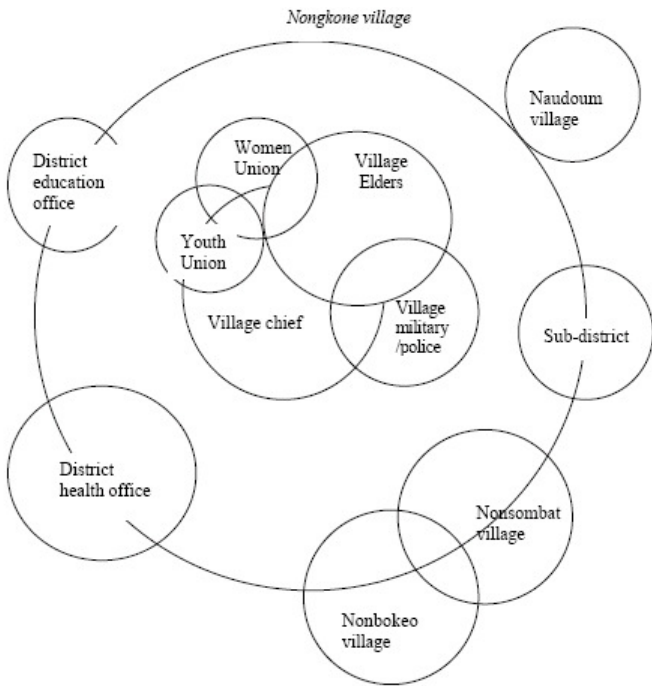



Literature

Callens/Seiffert/Sontheimer: Conducting a PRA Training and Modifying PRA Tools to Your Needs. An Example from a Participatory Household Food Security and Nutrition Project in Ethiopia at <http://www.fao.org/docrep/003/X5996E/X5996E00.htm>








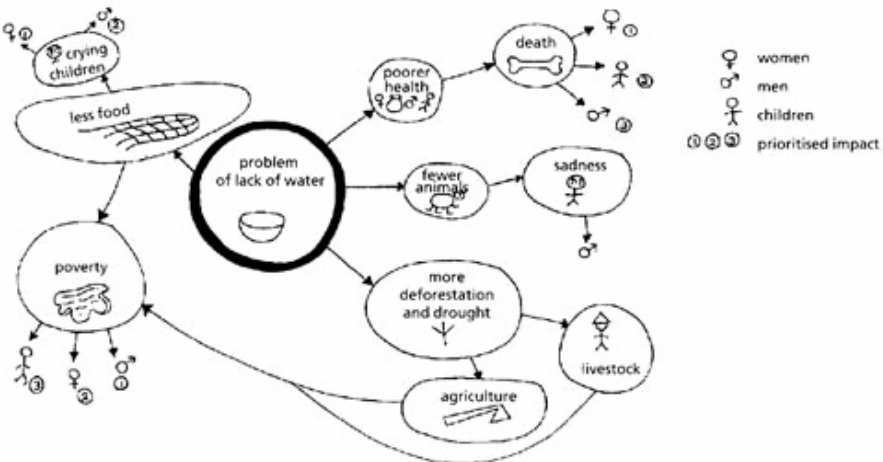


5.4 D – Analysis of connections and relationships between groups and individuals


5.4.1 Diagram of relations / Venn diagram

 Goal	<p>To understand organisations inside and outside a community (e.g. access to services); obtain insight into power structures.</p>
 Type of results	<p>Interests and relationships of and between organisations and social groups in a community. Significance of and access to these organisations.</p>
 Duration	<p>2 hours</p>
 Material	<p>Oval or round cards of different sizes and colour; scissors, paper, pens, local materials</p>
 Actors	<p>Approx. 10-20 discussion participants, moderation</p>
 Comments	<p>Methods can reveal ways of improving cooperation with organisations and social groups. As a monitoring tool, this is revealed by the size of the circles and proximity to target groups; can be used for process monitoring.</p>
 Procedure	<p>Based on a discussion about the different groups, individuals and organisations that are directly or indirectly connected to the selected subject. If the list contains over 15-20 persons or organisations, the most relevant groups should be identified using a simple ranking system.</p> <p>Each person or group is represented by a type of card (round/oval). First of all, the central element is visualised. This can be the subject, a group within the village, etc. The size of the circle is of significance. The bigger the circle, the more important the person or group is for the subject or central group. This is why it is crucial that the term "importance" is clarified with the participants. The closer the circles are to each other, the greater the interaction between these persons or groups. Overlapping circles represent groups or persons with overlapping functions.</p> <p>The discussion should be recorded in writing in detail.</p> <p>If used as a monitoring tool, the diagram can either be prepared again after a certain time has elapsed or the prepared diagram is used and interviewees are asked what has changed since the project intervention was introduced.</p> <p>When used with different groups, differences in perception can be highlighted. Project measures can then be adapted more effectively to the needs of the respective social groups.</p>

	<p>Example</p>  <p>Source: www.mekonginfo.org/mrc_en/doclib.nsf/0/0A2450F7612FDBBD47256B96000B0D43/\$FILE/Course1-3.pdf</p>
 Advantages	Shows connections between actors quickly and clearly.
 Restrictions	<p>Good moderation is required.</p> <p>It is essential that the term "importance" is clarified if the discussion is to be successful.</p>
 Literature	<p>Callens/Seiffert/Sontheimer: Conducting a PRA Training and Modifying PRA Tools to Your Needs. An Example from a Participatory Household Food Security and Nutrition Project in Ethiopia at http://www.fao.org/docrep/003/X5996E/X5996E00.htm</p>








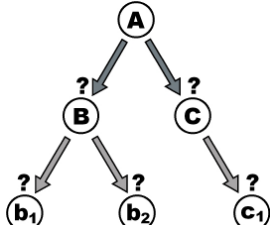
5.4.2 Impact-flow diagram

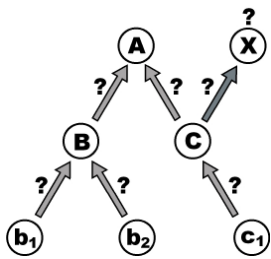


 Goal	To determine effects of project measures
 Type of results	Highlight connections between project activities and living conditions of target groups. Results are qualitative.
 Duration	Approx. 2-3 hours
 Material	Paper, pens, local materials
 Actors	Group of 10-20 persons, moderation
 Comments	This method is very similar to the preparation of results chains. Unlike the problem tree, this outcome and impact diagram does not examine the causes of a problem but refers merely to outcomes and impacts.
 Procedure	<p>The subject of discussion (project activity or problem) should be represented in the middle by a symbol.</p> <p>Ask about the result of the activity. The answers, both positive and negative, are visualised on the diagram and connected with lines or arrows. The questions can then be repeated for the said direct effects. This makes it possible to determine impacts.</p> <p>During the discussion, questions can be asked about the quantitative form of an outcome or impact, e.g. to gain more precise information about "increased production".</p> <p>If used as a monitoring tool, the procedure is used again at certain intervals with several groups.</p> <p>Example:</p>  <p>Source: IFAD, A Guide for Project M&E, Annex D, S. 35</p>
 Advantages	Good visualised discussion about results chains.
 Restrictions	Connections are represented with arrows. It should be ensured that the dis-


	<p>cussion participants understand the concept "arrow".</p> <p>Results are subjective, and have to be compared with the results of other groups.</p> <p>If diagrams become too detailed, it is sometimes difficult to draw conclusions about possible changes in project intervention.</p>
 Literature	<p>IFAD 2002: Managing for Impact in Rural Development. A Guide for Project M&E auf http://www.ifad.org/evaluation/guide/index.htm</p> <p>Participatory Tools and SEAGA Questions for Planning & Monitoring Livestock Initiatives auf http://www.sarpn.org.za/documents/d0001803/6-Livestock_FAO_2005_Part3.pdf</p>

6 Methods for preliminary planning and detailed planning in the initial phase of the project








6.1 Results chains





 Goal	<p>To identify the positive and negative outcomes and impacts of the project intervention.</p> <p>To support outcome and impact orientation by formulating hypotheses and differentiating between outcome and impact levels</p>
 Type of results	<p>Outcome and impact hypotheses and their context are clarified and placed in logical order.</p> <p>Project outputs and activities can be distinguished from levels of use and benefit.</p> <p>Results are qualitative and form the basis for formulating the project planning matrix.</p>
 Duration	<p>Depending on scope of results chain 2–4 days</p>
 Material	<p>Paper, pens, situation analysis, problem and objectives tree, sufficient information about the project region</p>
 Actors	<p>In phase A-C: planners, planning team</p> <p>In Phase D: project team; moderation if necessary</p>
 Comments	<p>Realistic and practice-related outcome and impact hypotheses have to be carried out "on site" and involve persons (target group representatives, project staff, etc.) who are familiar with the project context and the situation and needs of the target group. Leave enough time for preparation!</p> <p>In the planning phase, these results chains can often only be prepared on a limited scale. It is therefore essential that they are reviewed and processed in the initial phase of the project.</p> <p>When results chains are processed in the initial phase of a project, participants should be given enough creative scope to consider different directions and disassociate themselves from the strict one-dimensionality of the project planning matrix!</p> <p>It is useful to review the results chain on the basis of outcome and impact monitoring approx. every two years.</p>
 Procedure	<p>With the help of the detailed problem tree and other information from the situation analysis, rough answers are initially given to the following questions:</p> <ul style="list-style-type: none"> ✓ What changes are possible / intended for which actors? (= LEVEL OF USE and DIRECT BENEFIT = PROJECT GOAL) ✓ Up to which level can the project be responsible for the occurrence of changes? (ACTIVITIES AND OUTPUTS)
	<p>1st step</p> <p>Starting with the identified project goal (A), the necessary outputs and activities are defined (from top to bottom):</p> <ul style="list-style-type: none"> ✓ Which outputs (B, C) are necessary to achieve the project goal (A)? ✓ All possible outputs are listed. <div style="text-align: right;">  </div>

	<ul style="list-style-type: none"> ✓ Which activities (b1, b2, c1) are necessary to achieve the outputs? <p>These steps also help prepare the logic of the project planning matrix.</p> <p>2nd step</p> <p>The prepared outcome and impact logic is reviewed ("from bottom to top").</p> <ul style="list-style-type: none"> ✓ Are the required outputs (b1, b2, c1) really achieved with the activities (B, C)? ✓ Do the desired goals or outcomes and impacts (A) really come about after outputs have been achieved (or are used)? ✓ What changes occur when the output is used? ✓ Which direct benefits occur when the output is used? ✓ What indirect benefits result from the direct benefit?  <p>When these questions are answered, the focus is on positive, intended outcomes and impacts, i.e. questions are asked about expectations.</p> <p>To avoid unintended side-effects, interviewees must also be asked about fears:</p> <ul style="list-style-type: none"> ✓ Do the outputs produce other outcomes or impacts which may also be undesired or negative (X)? <p>If X is not desired, C should be reassessed and if necessary modified. If this is not possible, it is essential that X is observed during the implementation phase!</p> <p>To formulate project outcomes and impacts, it is useful to consider sustainability issues:</p> <p>Economic (income, resources, ...)</p> <p>Ecological (environment, biodiversity, ...)</p> <p>Socio-cultural (gender, human rights, ...)</p> <p>Political/institutional (decentralisation, civil society, ...)</p> <p>These sustainability issues serve as a reminder to interviewers to ask about possible outcomes and impacts in areas which are not the immediate concern of participants (also referred to as observation fields, see Guidelines Part I). They also help detect undesired outcomes and impacts, define them as risks and counteract them in the project planning phase.</p>
 Advantages	<p>The preparation of results chains helps planners detect unintended side-effects early on in the planning phase.</p> <p>Reviewing the results chains in the initial phase of the project supports outcome and impact orientation and the discussion about the structure of design and impact monitoring. It enables the project team to work out a common understanding of the outcome and impacts of the project, and to gear project outputs and activities towards outcome and impacts at the beginning of the project.</p>
 Restrictions	<p>Is very demanding and requires practice from all participants.</p> <p>If participants have little practice, an external moderator should be consulted.</p> <p>A poor planning logic makes it difficult to revise results chains in the initial</p>







	phase of a project.
 Contact persons	Mathias.mogge@welthungerhilfe.de Nathalie.demel@welthungerhilfe.de



6.2 Preparing the project planning matrix

 Goal	To prepare a planning basis for a project
 Type of results	A 4-column matrix in which the project strategy (goals, outputs and activities) is entered into the first column. Columns 2 and 3 contain indicators and their sources of verifiability. A fourth column contains assumptions and risks from the environment that are of relevance to the success of the project.
 Duration	Approx. 2 days, depending on the complexity of the project to be planned
 Material	Paper, pens
 Actors	Planners, planning team. When the review takes place in the initial phase, possibly an entire project team and moderation.
 Comments	<p>Many co-financers request a project planning matrix. To ensure that the project goal level reveals outputs and impacts, i.e. the use and benefits of outputs, it is advisable to prepare the project planning matrix on the basis of the results chains.</p> <p>For some co-financers, such as the BMZ, formulation of the goals level and formulation of indicators is binding for the review of the project success.</p>
 Procedure	<p>1st step</p> <p>If results chains are prepared, the level of use and benefit is formulated as a project goal. Based on this project goal, the level of the principle objective = the indirect benefit is defined.</p> <p>Based upon the results chains, a decision is then made about which outputs are necessary in order to achieve the project goal. The necessary activities are then determined per project goal.</p> <p>If no results chain have been prepared, the project goal must be determined using the levels "use of outputs" and "direct benefits for the target groups". It is also useful to ask about the extent of the project's influence and responsibility. These two outcome and impact levels define the project goal.</p> <p>2nd step</p> <p>Assumptions and risks which become apparent in the course of the context analyses and preparation of the results chains are included in the matrix. References to assumptions and risks can be found in the context analysis and results chains. The project planning matrix must be coherent in its vertical logic, i.e. it must follow the logic: if the project carries out all activities and takes into account assumptions and risks in the environment, it achieves the desired outputs. If the outputs are achieved and assumptions and risks in the environment are appropriately considered, the project goal can be achieved, etc. Advice on formulating assumptions is provided in the quoted literature.</p>

 Procedure	<p>3rd step</p> <p>Indicators are then formulated for outputs, project goal and principle objective (see advice on formulating indicators in this section of the Methods).</p> <p>4th step</p> <p>For every indicator, a source of verifiability has to be established.</p> <p>Details about examining the project planning matrix in terms of outcome and impact orientation and the coherence of the logic are provided by the checklist for reviewing the project planning matrix in this section of the Methods.</p>
 Advantages	<p>Offers a quick overview of the project including important indicators.</p>
 Restrictions	<p>Is only as good as the previously prepared results chains.</p> <p>Requires a lot of time and practice.</p>
 Literature	<p>European Commission: Aid Delivery Methods. Volume I: Project Cycle Management Guidelines at http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm</p>

6.3 Formulating indicators

 Goal	To make outcomes and impacts verifiable
 Type of results	Qualitative and quantitative indicators, especially on the level of outputs, use and direct benefits, which are used to examine the extent to which outcome and impacts have been achieved.
 Duration	Depending on the complexity of the project approx. one day in the planning phase, approx. two days in the initial phase
 Material	Paper, pens
 Actors	Planners, planning team. When the review takes place in the initial phase, possibly an entire project team and moderation
 Comments and tips	<p>When indicators are prepared, inaccuracies in the formulation of the goal often become apparent. These can be rectified here.</p> <p>Indicators on the level of use are much easier to formulate and comprehend than indicators on the outcome and impact level. They are usually more suitable for attributing observed changes to the project.</p> <p>Because indicators on output, use and direct benefit level are very important for the success of the project, they should be formulated very carefully.</p> <p>It is better to have fewer – albeit effective (= meaningful, ascertainable, manageable) indicators – than too many! Two indicators are usually sufficient per level.</p> <p>Even if this is usually more time-consuming, indicators should be formulated whenever possible in the initial phase of the project together with the project team and target group representatives, and not at the "head of project's desk".</p> <p>It is important that all those involved in the monitoring process have a common understanding of what exactly should be observed. Moreover, target group representatives are usually in a far better position than other persons involved in a project to assess how desired changes can be detected.</p>

 Procedure	<p>Indicators for the project planning matrix</p> <p>1st step</p> <p>Indicators are defined for outputs, use, direct and indirect benefits. These must specify quantity, quality, time and place and allow the goal to be verified.</p> <p>Example of the level of "use"</p> <table border="1" data-bbox="432 474 1394 1272"> <tr> <td data-bbox="432 474 624 539">Goal</td> <td data-bbox="628 474 1394 539">Families use only clean water for cooking and drinking.</td> </tr> <tr> <td data-bbox="432 546 624 667">Quantity (How much?)</td> <td data-bbox="628 546 1394 667">At least 70% of families use clean water for cooking and drinking.</td> </tr> <tr> <td data-bbox="432 674 624 824">Quality (How and how good?)</td> <td data-bbox="628 674 1394 824">Even in the driest months, families draw at least 15 litres per day and per person from the new shallow wells and no longer use additional surface water for drinking and cooking. The drinking water corresponds at least to the WHO standard.</td> </tr> <tr> <td data-bbox="432 831 624 952">Time (When or until when?)</td> <td data-bbox="628 831 1394 952">By December 2010 (Specification occurs in Phase D: by the end of 2008: 25%, end of 2009: 60%, by the end of 2010: 70%)</td> </tr> <tr> <td data-bbox="432 958 624 1048">Place (Where?)</td> <td data-bbox="628 958 1394 1048">In districts B, D and E of region XXX</td> </tr> <tr> <td data-bbox="432 1055 624 1272">Overall indicator</td> <td data-bbox="628 1055 1394 1272">By December 2010, at least 70% of families in districts B, D and E of region XXX draw at least 15 litres per day and per person from the new shallow wells and no longer use additional surface water for drinking and cooking even in the driest months. The drinking water corresponds at least to the WHO standard.</td> </tr> </table> <p>2nd step</p> <p>Review of indicators on the basis of the following criteria:</p> <p>If the indicator is:</p> <ul style="list-style-type: none"> - relevant: it measures a central aspect of the desired change which is related as directly and exclusively as possible to the project goal. - precise: it has a qualitative, quantitative and temporal dimension and specifies the target group. - realistic: are the values cited by the indicator actually achievable in the planned timeframe? - verifiable: the data needed to measure the indicator can be collected at acceptable expense. <p>The indicators in the project planning matrix can contain percentages in the planning phase. In the initial phase of the project, these figures must be examined and quoted as absolute figures.</p>	Goal	Families use only clean water for cooking and drinking.	Quantity (How much?)	At least 70% of families use clean water for cooking and drinking.	Quality (How and how good?)	Even in the driest months, families draw at least 15 litres per day and per person from the new shallow wells and no longer use additional surface water for drinking and cooking. The drinking water corresponds at least to the WHO standard.	Time (When or until when?)	By December 2010 (Specification occurs in Phase D: by the end of 2008: 25%, end of 2009: 60%, by the end of 2010: 70%)	Place (Where?)	In districts B, D and E of region XXX	Overall indicator	By December 2010, at least 70% of families in districts B, D and E of region XXX draw at least 15 litres per day and per person from the new shallow wells and no longer use additional surface water for drinking and cooking even in the driest months. The drinking water corresponds at least to the WHO standard.
Goal	Families use only clean water for cooking and drinking.												
Quantity (How much?)	At least 70% of families use clean water for cooking and drinking.												
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Overall indicator	By December 2010, at least 70% of families in districts B, D and E of region XXX draw at least 15 litres per day and per person from the new shallow wells and no longer use additional surface water for drinking and cooking even in the driest months. The drinking water corresponds at least to the WHO standard.												
 Procedure	<p>Examination and formulation of indicators in the initial phase of the project</p> <p>In the initial phase of the project, the outcome and impact indicators from the project planning matrix have to be examined. These usually form the basis of outcome and impact monitoring. If the project team does not consider them signifi-</p>												

cant or collectible, the following steps are carried out :

3rd step

Formulate outcome and impact hypotheses and create results chains.

If projects are extensive, it is not possible to monitor all elements of all results chains. Before indicators are formulated, observation fields within results chain have to be defined. Observation fields are key elements in the results chain which are relevant and appropriate to outcome and impact monitoring. These can be spheres of action but also individual elements of results chains.

The following questions help select observation fields:

- ✓ What changes are we primarily interested in?
- ✓ Which outcomes and impacts are really important?
- ✓ Which elements of the results chain are influenced by external, possibly negative factors?
- ✓ Which of these have to be monitored?

4th step

Formulation of appropriate indicators:

Collect proposals for possible outcome and impact indicators for the chosen observation fields (e.g. by means of brainstorming).




Assess whether the indicator is relevant, precise, realistic and verifiable (see above). Percentages from the project planning matrix must be replaced by absolute figures. This might not be possible until the initial position has been examined and reference data collected (cf. advice on monitoring and reference data in this part of the Methods).

Selection and formulation of a suitable indicator from the proposals.



5th step

At this stage, methods of collecting indicators and certain timeframes should be roughly determined if possible. The considerations about possible methods provide information about whether the indicator is verifiable.








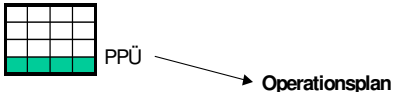
The overview per indicator that arises as a result of this forms an effective basis for the monitoring plan. When this monitoring plan is drawn up the procedure is described in greater detail (cf. also advice on methods and basic data collections in these Guidelines).

	Example: Indicator sheet			
	Indicator	Information re-quired	Necessary basic data	Collection meth-ods
 Advantages	Indicators provide clear points of reference for outcome and impact monitoring.			
 Restrictions	Indicators are not easy to formulate. Determine the direction of outcome and impact monitoring.			
 Literature	European Commission: Aid Delivery Methods. Volume I: Project Cycle Management Guidelines at http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm			

6.4 Checklist / key questions to formulate planning logic in project planning matrix

Planning logic level (definition)	Key question	Quality criteria (checklist)
Development goal: <ul style="list-style-type: none"> Long-term and indirectly desired improvement in living conditions on the level of the target group or partner Development is understood as a change in and improvement of living conditions. 	<ul style="list-style-type: none"> <i>What outcome and impact (improvement) is achieved by the project, why should the planned project be carried out?</i> <i>What does sustainable development mean in this context?</i> 	<ul style="list-style-type: none"> ✓ Are (local, regional, national) development goals included (e.g. poverty reduction strategy plans, etc.) ✓ Has the goal been defined on the basis of a situation analysis (needs assessment, livelihood analysis, ...)? ✓ Do assumptions still exist on the level of the development goal? (should not be the case)
How does development goal differ from project goal? 	<ul style="list-style-type: none"> <i>Can the desired project goals really be achieved by the project? (Everything beyond this is a development goal)</i> 	
Project goal: <ul style="list-style-type: none"> Intended short and medium-term, direct outcomes of project that occur on target group and/or partner level through the use of project outputs 	<ul style="list-style-type: none"> <i>What outcomes do the achieved project outputs have for the target groups or partners?</i> <i>How can the project (target group + partner + Welthungerhilfe) contribute towards sustainable achievement of the development goal? (based on the known development goal)</i> <i>What improvements occur for the specific target group when the project outputs are used? (based on known results/their use)</i> 	<ul style="list-style-type: none"> ✓ Are the definitions clear enough ("living conditions")? ✓ Are the goals defined as actual conditions? ("The food situation for children has improved") ✓ Is the target group clearly defined and described linguistically as agents? ✓ Is the repetition of results ("... as a result of ...") avoided? ✓ Will the goal realistically be achieved if the outputs are delivered + the assumptions on output level are fulfilled? ✓ Does the project goal make a (also: institutionally) sustainable contribution towards achieving the development goal?
Use of outputs: <ul style="list-style-type: none"> Change in behaviour: use of outputs delivered by the project by the target group; (this is where the project's sphere of influence ends) 	<ul style="list-style-type: none"> <i>Who uses the outputs and how?</i> 	<ul style="list-style-type: none"> ✓ The use level is not specifically identified in the classic project planning matrix but should also be defined to review the logical connections in the project planning matrix! The use level is suitable for defining indicators which are important on the goal level (change in behaviour).
How does the project goal differ from outputs? 	<ul style="list-style-type: none"> <i>Use "separates" the project (outputs) from its target groups (is a product or service produced? → output; does the target group use it? → use/benefit/goal)</i> 	
Outputs <ul style="list-style-type: none"> Products and services produced or provided by a project. The outputs are rendered to achieve an outcome. 	<ul style="list-style-type: none"> <i>When planning from "top to bottom": Which outputs are necessary to achieve the desired project goal?</i> <i>When planning "from bottom to top": Which outputs from the Welthungerhilfe portfolio can be used here?</i> <i>Is a product or service produced? Is it a project product?</i> 	<ul style="list-style-type: none"> ✓ Are outputs defined as actual conditions? ("Irrigation infrastructure has been rehabilitated") ✓ Are definitions clear and free of translation errors? ✓ Have linguistic repetitions of activities ("... as a result of ...") been avoided? Outputs are the result + consequence, not the sum of activities! ✓ Are definitions of use and benefits in outputs avoided?
Activities		

6.5 Preparing and reviewing the operational plan




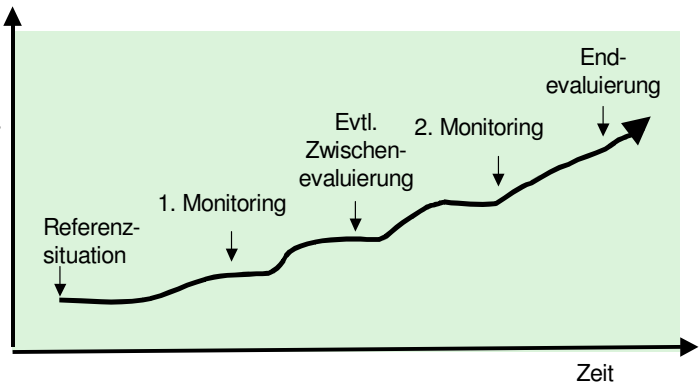

 Goal	<p>To prepare basis for work planning in a project including all activities for outcome and impact-oriented monitoring.</p> <p>Basis for project monitoring exists.</p>																																
 Type of results	<p>An overview plan that includes all project activities. Operational planning includes activities, schedule, intermediate results, resources, responsibilities, partners, etc.</p>																																
 Duration	<p>Approx. 1-2 days, depending on complexity of the project to be planned and the number of participants involved in planning</p>																																
 Material	<p>Paper, pens</p>																																
 Actors	<p>Planners, planning team; in the initial phase, project management and those responsible for monitoring; if possible, involve people who are expected to make an important contribution towards the success of the project in the planning phase.</p>																																
 Comments	<p>Overly complex or detailed operational plans are usually not helpful. Project processes can only partially predictable, so shorter planning periods should be considered. An operational plan can therefore be prepared in more detail for the first half of a year, possibly up to one year. Projects lasting more than two years should be less detailed during the rest of the project period and undergo fine planning once or twice a year.</p> <p>During the planning phase, the focus should be on the main activities.</p> <p>Operational plans should be examined and adjusted regularly!</p>																																
 Procedure	<p>Preliminary planning phase</p> <p>Outputs and activities from the project planning matrix are entered into a plan and given deadlines and intermediate results.</p> <p>Example:</p> <div style="text-align: center;">  </div> <table border="1" data-bbox="523 1467 1372 1653" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="10">Leistung 1</th> </tr> <tr> <th rowspan="2">Nr.</th> <th rowspan="2">Aktivität</th> <th rowspan="2">Zwischen- ergebnis</th> <th rowspan="2">Zeitplan</th> <th rowspan="2">Verantwor- lichkeit</th> <th colspan="3">Ressourcen</th> <th rowspan="2">Bemerkungen</th> </tr> <tr> <th>Pers.</th> <th>Mat.</th> <th>Fin.</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> <p>When the operational plan is drawn up, the procedure has to be organised in several steps. For example, if <u>too many</u> activities coincide, these will have to be changed.</p> <p>Initial phase of the project</p> <p>The changes arising from the examination of the project planning matrix, indicators, possible redefinition of results chains and preparation of the monitoring plan must be included in the operational plan. Activities often have to be modified because of clashes.</p>	Leistung 1										Nr.	Aktivität	Zwischen- ergebnis	Zeitplan	Verantwor- lichkeit	Ressourcen			Bemerkungen	Pers.	Mat.	Fin.										
Leistung 1																																	
Nr.	Aktivität	Zwischen- ergebnis	Zeitplan	Verantwor- lichkeit	Ressourcen			Bemerkungen																									
					Pers.	Mat.	Fin.																										

 Advantages	<p>Operational planning creates transparency for project staff and partner organisations or cooperation partners because activities are defined more precisely.</p> <p>Operational planning is the foundation for the systematic monitoring of activities.</p>
 Restrictions	<p>Operational plans encourage project staff to "stick to the plan" rather than gear activities towards the reality of project work.</p> <p>Involves a great deal of effort, however many donors (e.g. EU) request preparation and submission of an operational plan when the application is made.</p>
 Literature	<p>European Commission: Aid Delivery Methods. Volume I: Project Cycle Management Guidelines at http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm</p>

7 Details about individual aspects of outcome and impact monitoring

7.1 Methods of comparison in outcome and impact monitoring

Outcomes and impacts become apparent when the behaviour and living conditions of the target group change. Outcome and impact monitoring is therefore based on comparisons of conditions at the start of the project and the situation at other periods in the course of the project.

 Goal	The basis for discussions about project management
 Type of results	Comparisons of the living conditions of the target group at different points in time in the course of the project
 Example	<p>Monitoring in the course of the project</p> 
 Procedure and tips	<p>Every monitoring procedure needs a data basis. When activities and outputs are monitored, a target-performance comparison is usually carried out on the basis of the operational plan.</p> <p>For outcome and impact monitoring, there are several ways of making comparisons: these are listed in the following table with advantages and disadvantages. A combination of different options is usually useful.</p> <p>Because of the ethical problem of the control group approach, we recommend choosing a combination of the "before-after"/ "with/without project" and the comparison of changes by the target groups. Depending on project focus, control groups can be included, e.g. if small and medium-sized businesses are being promoted, because the ethical problem does not weigh so heavily here.</p> <p>If a project has no basic data about initial conditions, the fourth approach is recommended. This includes the MAPP and PALSAs methodologies (see descriptions in this section of the Methods).</p>









Different means of comparison in outcome and impact monitoring



Means of comparison	Basis of comparison	Advantage	Disadvantage
Before and after project	<ul style="list-style-type: none"> Changes in the course of time in the project region 	<ul style="list-style-type: none"> The times when data is collected are exactly defined 	<ul style="list-style-type: none"> Initial data must be comprehensive Influence of external factors is almost completely eliminated; these must be recorded separately
With and without project	<ul style="list-style-type: none"> Changes in the project region with changes in a region in which the project has not worked 	<ul style="list-style-type: none"> Can simplify identification of factors that cause change 	<ul style="list-style-type: none"> Costly and time-consuming Difficult situation to compare: do both regions have the same initial positions?
Control group within the project region	<ul style="list-style-type: none"> Changes in groups that were considered by a project and groups with the same initial position which were not considered by the project 	<ul style="list-style-type: none"> Focused on project target groups Helps identify factors that bring about change 	<ul style="list-style-type: none"> Ethical problem: excluded groups are "used" for monitoring Groups change constantly, even without project intervention. Hence, it is difficult to make comparisons if there are major external influences.
Comparison of change by target groups	<ul style="list-style-type: none"> Changes that have occurred in the course of time are identified and assessed by the target groups 	<ul style="list-style-type: none"> No baseline or reference data records are necessary Validity of identified factors that cause change is high 	<ul style="list-style-type: none"> Subjective perceptions can distort results. This is where triangulation with other sources of data is necessary.

7.2 Basic data about the initial situation of a project - reference data collection







Changes can only be compared in the course of the project if the starting position of a project is known. To do this, reference data must be collected in indicator-based outcome and impact monitoring, i.e. the initial situation must be described.

 Goal	Reference data provides reference values for outcome and impact monitoring.
 Type of results	Initial values per indicator, i.e. statements about target groups, quantity, quality, time and place
 Comments	<p>Many projects are convinced this is only possible by carrying out extensive "baseline studies". However, misunderstandings often occur.</p> <div style="background-color: #4CAF50; color: white; padding: 2px;">Common errors with baseline studies</div> <p><i>Project practise has shown that a number of problems are inherent in baseline studies. Only a few projects have baseline studies which are really useful. The most common problems are:</i></p> <ul style="list-style-type: none"> ⊗ <i>They are frequently carried out too late or not at all.</i> ⊗ <i>If they are carried out, they often contain too detailed or sometimes irrelevant information which cannot be used to monitor projects or measure indicators.</i> ⊗ <i>Data is collected before target groups are exactly defined. Data is often collected from informants who are not part of the target group. This data is therefore often not relevant for the projects.</i> ⊗ <i>Baseline studies are time-consuming and costly. They are often too comprehensive and cannot be repeated in the course of the project.</i>
 Suggestions	<p>The most important question is how extensive and detailed basic or reference data should be. For monitoring purposes, only data that is really needed in the course of monitoring should be collected!</p> <p>It is better to have a small reference data study that is actually used than a comprehensive study that no one takes any notice of and which the project cannot repeat in outcome and impact monitoring.</p> <p>If no basic data has been collected at the beginning, data from the first monitoring phase can subsequently become reference data. These are so-called "rolling baselines". The data is not directly comparable but it can provide a basis to establish another monitoring process.</p>

 Procedure	<ul style="list-style-type: none"> ▪ Define what data should be collected per indicator. This is especially important for providing indicators with absolute figures. ▪ Define sample sizes. ▪ Decide whether the project should collect the data itself or whether data should be collected externally. ▪ Decide about the methods to be used. <p>The methods for collecting reference should be repeatable in the monitoring phase. This is an argument against overly complex academic methods. Normally quantitative and/or qualitative data is collected. Methods of preparing a reference data study can be selected from these Guidelines under the "Situation analysis methods".</p> <p>Apart from using qualitative or quantitative methods, it is also possible to prepare a baseline study using videos and photos. In this case, videos of the same groups or circumstances have to be made at regular intervals.</p> <p>Caution: Developing a concept for a video is as time-consuming as preparing a baseline study!</p>
	<div style="background-color: #4CAF50; color: white; padding: 5px;">Key questions for reference data collections</div> <ul style="list-style-type: none"> ✓ Is it really necessary to collect basic data? ✓ If so, how extensive should this data be? ✓ How much funding is available in the project for the implementation of a basic data collection (always include in budget!)? ✓ Which questions should be answered with the basic data collection? Important: establish reference to indicators. ✓ How are gender aspects integrated? ✓ How will the results be used for monitoring? Principle: Only collect the kind of data that is really needed for monitoring! ✓ What secondary data already exists and in what quality, and how can it be used for project monitoring? This secondary data should always be the first point of reference. ✓ What sources of basic data exist in the project region? Is data already available from projects that have been concluded? If possible, data from these projects should be obtained before the project itself collects data! ✓ Which methods should be used in the baseline study? Can these be repeated in the course of the project? ✓ Where and from whom should the basic data be collected? Do the interviewees belong to the target group? ✓ Who should collect the basic data? Should the project collect data itself or should data collection be outsourced? ✓ Which methods should be used to collect data? (participation, "do-no-harm", etc.)
 Suggestion	<p>If data collection is carried out externally, Terms of Reference must be carefully prepared. The contractor should then be familiarised with the planned monitoring system in order to avoid data processing problems after data collection.</p> <p>If the project is already at an advanced stage, no outcome and impact indicators have been defined and no basic data has been collected, or if the indicator-based monitoring takes up too much time and financial resources or is too</p>

	difficult, alternatives have to be found. See suggestions in these Guidelines about the methods PALSA, MSC and outcome mapping.
 Advantages	Reference data is a good basis for monitoring because comparative data is available.
 Restrictions	<p>Baseline studies require practice in data collection and analysis, selection of random samples, in fast participatory collection methods and in the processing of data and reports. These skills are not always available. In such cases, responsible persons must find out which competences are available in a project or partner organisations and whether these can be trained so that a baseline study can be carried out.</p> <p>If these skills are not available, external experts must be appointed to conduct the study.</p>

7.3 Planning of monitoring

 Goal	To guarantee the comparability of data in monitoring.																											
 Type of results	Binding plan which serves as a basis for monitoring in the project. This includes defining the documentation of results and a plan for collecting and evaluating data and communication.																											
 Material	Sheets of packaging paper, cards, pens																											
 Actors	<p>Project management, decision-makers in the project or partner organisation, persons responsible for monitoring.</p> <p>Presentation and discussion of plans with all project staff.</p>																											
 Comments	Monitoring activities must be included as part of the operational plan.																											
 Procedure	<p style="text-align: center;">1st step</p> <p>The data sheets that are prepared for every indicator when the indicators are developed are refined and supplemented with the following questions: What documentation is necessary? What competences still have to be acquired? How should results be analysed and reported and who is responsible for this. The results of this discussion are recorded in the following matrix:</p> <p>Monitoring plan for indicators</p> <table border="1" data-bbox="488 1061 1477 1330"> <thead> <tr> <th style="background-color: #4CAF50; color: white;">Indi-cators</th> <th style="background-color: #4CAF50; color: white;">Infor-mation re-quired*</th> <th style="background-color: #4CAF50; color: white;">Neces-sary basic data</th> <th style="background-color: #4CAF50; color: white;">Me-thods</th> <th style="background-color: #4CAF50; color: white;">Docu-menta-tion</th> <th style="background-color: #4CAF50; color: white;">Analy-sis and report</th> <th style="background-color: #4CAF50; color: white;">Res-pon-sible</th> <th style="background-color: #4CAF50; color: white;">Neces-sary training</th> <th></th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>* Parameter The results are recorded in the operational plan as activities. When projects involving numerous sub-measures are monitored, it is useful to define thresholds and decision-making rules in the monitoring plan (e.g.: if the learning success of the horticultural training programme falls below a critical value of X, the training manual should be revised, the learning methods modified or the size of the group reduced).</p>	Indi-cators	Infor-mation re-quired*	Neces-sary basic data	Me-thods	Docu-menta-tion	Analy-sis and report	Res-pon-sible	Neces-sary training																			
Indi-cators	Infor-mation re-quired*	Neces-sary basic data	Me-thods	Docu-menta-tion	Analy-sis and report	Res-pon-sible	Neces-sary training																					

7.4 Examples of a monitoring plan



Example of a food security project

Indicator project goal level	Information required	Necessary basic data	Methods	Documentation	Analysis and report	Responsible	Necessary training
At least 70% of all children under five in households in the village supervised by the project receive at least two meals a day in the so-called "hunger periods" which correspond to the WHO criteria (by the end of 2008 25%, by the end of 2009 50%).	<ul style="list-style-type: none"> Change in eating habits of the target group Improvement of nutritional condition of children 	<ul style="list-style-type: none"> Number of households in the villages Number of children under five Composition of meals Number of meals 	<ul style="list-style-type: none"> Household survey in project villages at the beginning of the project and thereafter every six months, especially during the "hunger periods" Questionnaire on eating habits Group discussions in the course of the project 	<ul style="list-style-type: none"> Data sheets per village Comparative data sheet for all villages 	<ul style="list-style-type: none"> Biannually 	<ul style="list-style-type: none"> Data collection: nutritionists on location Analysis: head of nutrition department and project team in monthly meeting 	<ul style="list-style-type: none"> Collection of basic data Using questionnaire and processing of data in data sheets
.....	▪	▪	▪	▪	▪	▪	▪





Example of a community development project

Indicator project goal level	Information required	Necessary basic data	Methods	Documentation	Analysis and report	Responsible	Necessary training
By the end of 2010 at least 50% of supported communities develop and improve their own plans for the further development of their communities. They draw upon the community-internal monitoring of community ser-	<ul style="list-style-type: none"> Change in the behaviour of those responsible in the community: mayor, councils, bookkeepers, etc. 	<ul style="list-style-type: none"> Procedures of persons responsible in the community for the development planning of their communities Awareness of persons responsible 	<ul style="list-style-type: none"> Semi-structured interviews with mayors, councils, bookkeepers Group discussions on individual subjects Observations in communities with 	<ul style="list-style-type: none"> Data sheets per community Comparative data sheet for all communities Biannual report: summary of analysis 	<ul style="list-style-type: none"> Every two months: discussion of progress in a team meeting Biannually: written summary of data sheets by those responsible in the respective project 	<ul style="list-style-type: none"> Project departments for finances, organisational development, infrastructure Those responsible for M&E 	<ul style="list-style-type: none"> Development of a rating matrix for community development Handling of guided interviews Preparation and use of observa-

vices		<p>ble in the community of the importance of individual sectors</p> <ul style="list-style-type: none"> ▪Availability and use of monitoring instruments in the communities 	the help of observation guidelines		departments to persons responsible for M&E		<p>tion guidelines</p> <ul style="list-style-type: none"> ▪Documentation of group discussions
By the end of 2010, at least 40% of supported communities have increased their tax revenues by at least 40% and use additional receipts for new investments that benefit the population	<ul style="list-style-type: none"> ▪Changes in the use of community resources ▪Benefits for the population ... 	<ul style="list-style-type: none"> ▪Tax collecting practice of communities ▪Information policies of communities in terms of tax revenues and community expenditure ▪Tax revenues in the communities ▪Use of tax revenues ▪Problems with the use of tax revenues ▪Population's knowledge about the use of tax revenues 	<ul style="list-style-type: none"> ▪Semi-structured interviews with mayors and community bookkeepers ▪Inspection of community bookkeeping records ▪Group interviews with community representatives and inhabitants of individual community districts 	<ul style="list-style-type: none"> ▪Data sheet per community ▪Comparative data sheet for all communities ▪Community bookkeeping 	<ul style="list-style-type: none"> ▪Project department community finances and taxes: every two months progress report in project team meeting ▪Biannually: written summary of community comparison and comparison by these responsible for M&E 	<ul style="list-style-type: none"> ▪Project department Community finances and taxes ▪Persons responsible for M&E 	<ul style="list-style-type: none"> ▪Handling of guided interviews ▪Documentation of group discussions
....	▪	▪	▪	▪	▪	▪	▪







	<p style="text-align: center;">2nd step</p> <p>Documentation, analysis and communication of monitoring results must be planned further. In particular, activities for analysing and discussing monitoring results should be bundled. The project management and persons responsible for monitoring therefore prepare a plan to evaluate results.</p>																				
 Procedure	<p>Example of an evaluation plan</p> <table border="1" data-bbox="453 483 1394 1227"> <thead> <tr> <th style="background-color: #008000; color: white;">Reflection phases</th> <th style="background-color: #008000; color: white;">Purpose</th> <th style="background-color: #008000; color: white;">Actors</th> <th style="background-color: #008000; color: white;">Time</th> </tr> </thead> <tbody> <tr> <td>Weekly team meeting</td> <td> <ul style="list-style-type: none"> ▪ Clarify procedures in project ▪ Ask about activities </td> <td> <ul style="list-style-type: none"> ▪ Project staff </td> <td> <ul style="list-style-type: none"> ▪ Morning </td> </tr> <tr> <td>Quarterly progress meetings</td> <td> <ul style="list-style-type: none"> ▪ Discussion about progress and problems ▪ Possibly adjustment of project procedure </td> <td> <ul style="list-style-type: none"> ▪ Project staff </td> <td> <ul style="list-style-type: none"> ▪ Whole day </td> </tr> <tr> <td>Annual project assessment</td> <td> <ul style="list-style-type: none"> ▪ Summarise progress, discuss important ideas on project procedure, identify lessons learnt </td> <td> <ul style="list-style-type: none"> ▪ Representatives of target groups ▪ Project staff ▪ Moderation </td> <td> <ul style="list-style-type: none"> ▪ Once a year, 2 days </td> </tr> <tr> <td>Periodic review of individual project components (e.g. financial situation of supported communities)</td> <td> <ul style="list-style-type: none"> ▪ Focussed discussion of individual subjects in order to adapt strategy </td> <td> <ul style="list-style-type: none"> ▪ Representatives of target groups ▪ Responsible project staff </td> <td> <ul style="list-style-type: none"> ▪ Once a year, 1 day </td> </tr> </tbody> </table> <p>The individual meetings must be documented in the implementation phase. This can be carried out in the form of tables summarising the most important results and conclusions.</p>	Reflection phases	Purpose	Actors	Time	Weekly team meeting	<ul style="list-style-type: none"> ▪ Clarify procedures in project ▪ Ask about activities 	<ul style="list-style-type: none"> ▪ Project staff 	<ul style="list-style-type: none"> ▪ Morning 	Quarterly progress meetings	<ul style="list-style-type: none"> ▪ Discussion about progress and problems ▪ Possibly adjustment of project procedure 	<ul style="list-style-type: none"> ▪ Project staff 	<ul style="list-style-type: none"> ▪ Whole day 	Annual project assessment	<ul style="list-style-type: none"> ▪ Summarise progress, discuss important ideas on project procedure, identify lessons learnt 	<ul style="list-style-type: none"> ▪ Representatives of target groups ▪ Project staff ▪ Moderation 	<ul style="list-style-type: none"> ▪ Once a year, 2 days 	Periodic review of individual project components (e.g. financial situation of supported communities)	<ul style="list-style-type: none"> ▪ Focussed discussion of individual subjects in order to adapt strategy 	<ul style="list-style-type: none"> ▪ Representatives of target groups ▪ Responsible project staff 	<ul style="list-style-type: none"> ▪ Once a year, 1 day
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 Note	<p>Monitoring plans must be based on the duration of the project.</p> <p>However, reports are submitted at least once a year to Welthungerhilfe, even if this is not requested by the co-financer.</p> <p>The discussion of results with target groups is binding for Welthungerhilfe projects!</p>																				

7.5 Use of methods

 Goal	General information about the use of methods
 Description	<p>A method is a systematic procedure applied to carry out a certain activity or to obtain information or practical results.</p> <p>A methodology consists of a structured sequence and combination of individual methods.</p>
 Principles for selecting methods	<ul style="list-style-type: none"> ✓ There are no good or bad methods. They are a means to an end and not an end in itself. They can therefore only be judged on the basis of their results and always have to be adapted to the respective context, i.e. the contents and goals of outcome and impact monitoring and the competences of project staff. Before methods are chosen, all indicators, data to be collected and its use have to be defined and the capacities of staff must be estimated. ✓ Quantitative and qualitative methods are not contradictory. The two enhance each other and can be combined. While quantitative methods deliver data that answers questions about "how much" or "how often" something occurs and therefore provides information on income and expenditure, registers frequencies etc., qualitative data answers questions relating to "why" something happens. The latter allows conclusions to be made about changes in behaviour, experiences and priorities. Both aspects are important for outcome and impact monitoring. ✓ Methods can be used with individuals or groups. Whereas individual surveys provide detailed information, group discussions help establish a relationship to the broader context. Individual surveys require interviewing skills and a precise knowledge of the questions. In group discussions, moderation skills are also necessary in order to challenge statements, to gain the confirmation of all group members and occasionally to handle conflicts that arise. ✓ The use of methods must be carefully planned, prepared and tested. Before the test, interviewers and moderators should be trained to apply the methods. The time and budget required to do this must be included in the monitoring plan. ✓ The use of monitoring methods involves applying methods with the same target group at different points in time during the course of the project. Changes can be determined by drawing comparisons with reference data collected at the start of the project. ✓ If no reference data is available from a basic data collection, the majority of methods can also be used retrospectively in order to detect change. In this case, questions about the situation in the past must be asked.
 Procedure	<ol style="list-style-type: none"> 1. Decide what data is needed for the monitoring system. Clear lines must be drawn and only data collected that is important for monitoring! 2. Check whether data is already available. Find out how reliable this data is, and how and when it was collected. 3. Determine the degree of precision of the data to be collected. Discuss whether it is necessary to determine the exact income and expenditure of households in a larger control sample (individual surveys) or whether it is enough to find out whether the households are satisfied with the increase in income and its use (group discussion with selected head of households). 4. Starting with the indicators, clarify all types of methods connected with the data collection (quantitative, qualitative, individual or group surveys). Also clarify to what extent the methods should be participatory. If the target

	<p>group only provides information and all analyses are carried out in the project, even a method based on visualisation is only participatory to a limited degree. Participation is the result of involvement of the target group in the results.</p> <ol style="list-style-type: none"> 5. Decide who should collect the data and find out whether training and testing are required. 6. Decide whether the entire target group will be surveyed or only a sample. The target group as a whole is usually too big and monitoring can only occur on the basis of samples. The size of samples, in turn, provides information about which options can be used and which not. 7. Decide how often the method should be applied. 8. Find out whether the selected methods or the combination of different methods can be implemented: Are the methods adapted to timeframes and financial and staff capacities? Do the results of the methods really make it possible to assess the indicators? <p>Criteria for the selection of monitoring methods</p>								
	<table border="1"> <tr> <td data-bbox="454 788 719 855">Data precision</td> <td data-bbox="719 788 1393 855">How detailed should the results be?</td> </tr> <tr> <td data-bbox="454 855 719 981">Required resources</td> <td data-bbox="719 855 1393 981">What can be carried out with the available staff, time and with the project's logistical and financial resources?</td> </tr> <tr> <td data-bbox="454 981 719 1077">Participation</td> <td data-bbox="719 981 1393 1077">Who should be involved in data collection, analysis and documentation? How appropriate are the methods?</td> </tr> <tr> <td data-bbox="454 1077 719 1173">Monitoring intervals</td> <td data-bbox="719 1077 1393 1173">Can these be observed with the said methods and analysis requirements, and how will costs increase?</td> </tr> </table>	Data precision	How detailed should the results be?	Required resources	What can be carried out with the available staff, time and with the project's logistical and financial resources?	Participation	Who should be involved in data collection, analysis and documentation? How appropriate are the methods?	Monitoring intervals	Can these be observed with the said methods and analysis requirements, and how will costs increase?
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7.6 Documentation and evaluation of monitoring results

 Goal	To guarantee comparability and the effective interpretation of results from monitoring																																								
 Results	Data sheets which reveal data for individual indicators.																																								
 Material	Excel data sheets, Word tables, flipcharts, pens, depending on requirements																																								
 Actors	Persons responsible for project monitoring																																								
 Comments	<p>Monitoring documentation should be as simple as possible!</p> <p>Avoid large quantities of data and huge tables. This makes data difficult to handle!</p> <p>The documentation of qualitative data requires analytical competence and practise. Those responsible for monitoring should be trained in this.</p>																																								
 Procedure	<p>A data sheet is created per indicator and changes are recorded:</p> <p>Example: Self-organisation of groups of smallholders</p> <table border="1"> <tr> <td>Project goal</td> <td colspan="5">Smallholders organise themselves successfully and use better farming methods</td> </tr> <tr> <td>Indicator 1</td> <td colspan="5">At least 50 groups of smallholders successfully organised themselves by the end of 2007.</td> </tr> <tr> <td rowspan="3">Intermediate goals</td> <td></td> <td>2005</td> <td>2006</td> <td>2007</td> <td></td> </tr> <tr> <td>Successful groups</td> <td>35</td> <td>40</td> <td>50</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Schedule</td> <td colspan="5"> <ul style="list-style-type: none"> ▪ Basic data collection: September 2005 ▪ 1. Monitoring: September 2006 ▪ 2. Monitoring: December 2007 Results are evaluated after every monitoring session. </td> </tr> <tr> <td>Methods</td> <td colspan="5">Participatory group discussion with ranking tool</td> </tr> </table> <p>(In 2004 a total of 58 groups exist, of which 30 are classified as successful)</p>	Project goal	Smallholders organise themselves successfully and use better farming methods					Indicator 1	At least 50 groups of smallholders successfully organised themselves by the end of 2007.					Intermediate goals		2005	2006	2007		Successful groups	35	40	50							Schedule	<ul style="list-style-type: none"> ▪ Basic data collection: September 2005 ▪ 1. Monitoring: September 2006 ▪ 2. Monitoring: December 2007 Results are evaluated after every monitoring session.					Methods	Participatory group discussion with ranking tool				
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Procedure

Sample	All existing groups of smallholders			
Study	Criterion	"Low"	"Medium"	"High"
	Participation in group meetings			
	Good leadership			
	Quality of tutor's work			
	Development of number of members			
	Total			
	Share (total/number of criteria* number of smallholders)			
	Procedure: <ol style="list-style-type: none"> 1. All smallholders decide individually whether to assess their group with "low", "medium" or "high". 2. The number of total mentions for the three criteria is calculated. 3. A group is classified as successful if over 70% of members rate their group with "medium" or "high". 			
Monitoring factors	<ul style="list-style-type: none"> ▪ Improvement in the quality of training ▪ Increase or reduction in group size ▪ Groups are divided or consolidated 			

Evaluation of monitoring results

The recorded information is assessed in terms of the project's progress and outcomes and impacts (see possible monitoring measures in the above example and frequency of discussions in the monitoring plan).

Possible changes in project procedure are included in project planning and monitoring.

Evaluation occurs in team meetings during the project. Participants should discuss such questions as:

How do we rate the data? Are we successful or not?

Are our results sufficient to be able to achieve the planned outcomes and impacts?

If not, what has to change in order to achieve outcomes and impacts?

Which external factors are new and have not yet been considered?






If indicators have to be adapted or data collection methods have to be changed, this must be documented in the monitoring and operational plan.



Note





Analysing qualitative data takes time and requires practice! All qualitative data should be analysed immediately after collection in cooperation with interviewers or moderators so that important information does not go missing.




7.7 Communication of monitoring results

 Goal	<p>Information from the participants: target group(s), Welthungerhilfe, co-financers, other organisations, feedback from participants</p>
 Results	<p>Reports, flipcharts, diagrams to inform participants are prepared or workshops conducted.</p>
 Actors	<p>Persons responsible for monitoring, project staff, project management</p>
 Comments	<p>Gear communication towards target groups and keep as simple as possible!</p> <p>Monitoring as a means of supporting joint learning processes between target groups and project takes time and has to be handled systematically.</p> <p>To discuss monitoring results, the project team has to be able to take criticism and to admit to mistakes.</p>
 Procedure	<p>Analyse who needs what information (unless this has already occurred in the monitoring plan).</p> <p>Process necessary information in the form of maps, tables, flipcharts, reports.</p> <p>Find out whether represented information is clearly and understandably processed and whether it contains enough detail. Not everything has to be communicated!</p> <p>Communication in a project</p> <p>This can occur during the project in weekly or monthly meetings. Tables and maps are usually an appropriate aid. A decision also has to be made in advance as to who attends these meetings. The agenda and necessary documents have to be prepared in good time by those responsible for monitoring.</p> <p>Communication with the target groups or other participants</p> <p>The results have to be processed separately for the target group. Graphic elements should therefore be used whenever possible.</p> <p>A workshop has to be planned carefully. The goals of the workshop must be defined beforehand and its programme based upon this. Workshops with the target group may otherwise turn into general discussions. This is not the purpose of monitoring.</p> <p>If the aim of the workshop is a learning process, this must be appropriately organised. For example, within one workshop, different groups can be formed to discuss results separately and then bring them back together again. Workshops always require moderators who have to prepare questions that support the learning process.</p> <p>Because the aim of the discussion with the target groups is to obtain feedback on monitoring results, the workshop should allow enough scope for this feedback.</p> <p>This feedback must be documented and included in discussions in the project team to change procedures.</p> <p>Another way of distributing monitoring results is through films or radio programmes. When well prepared, they usually reach a large audience. To do this, however, a project requires trained staff.</p>









8 Survey aids and tools





8.1 Sampling procedures

 Goal	To collect representative data about a basic population (usually used in baseline).									
 Nature of results	Quantitative and qualitative									
 Actors	Project staff, persons responsible for monitoring									
 Procedure	<p>A "comprehensive survey" of households, businesses, etc. is not possible in view of available project resources. Samples must therefore be taken. The following sampling procedures exist:</p> <table border="1" data-bbox="451 656 1388 1868"> <tr> <td data-bbox="459 656 646 1182" rowspan="3"> Random sampling </td> <td data-bbox="654 656 1380 745"> Goal: Should offer as representative a picture of the target group as possible. </td> </tr> <tr> <td data-bbox="654 757 1380 857"> Problem: Usually only unreliable data about the basic population is available. The representative nature of the data is therefore questionable. </td> </tr> <tr> <td data-bbox="654 869 1380 1037"> Simple random samples If lists of households, businesses, individuals, etc. exist. Every case is given a number, elements are then drawn until the desired quantity is achieved. </td> </tr> <tr> <td data-bbox="654 1048 1380 1182"> Systematic sampling Like simple sampling, but every 5th, 10th, 15th element, for example, is selected. </td> <td data-bbox="459 1193 646 1868" rowspan="3"> Non-random sampling </td> </tr> <tr> <td data-bbox="654 1193 1380 1272"> Goal: Targeted selection of samples on the basis of the criteria specified by the project. </td> </tr> <tr> <td data-bbox="654 1283 1380 1451"> Cluster sampling Definition of geographic or institutional clusters or groups. Large study fields are reduced to smaller, more homogeneous units which are more suited to the sampling procedure. </td> </tr> <tr> <td data-bbox="654 1462 1380 1868"> Quota sampling – based on distribution of characteristics Useful for comparisons or studying in greater detail certain characteristics for monitoring. Selection of specified number of units which have the same characteristics. These are compared with sub-groups which are similar but which differ in one characteristic, e.g. gender or age distribution. The interviewer selects the sampling method during the collection. Problem: selection, strong bias of the interviewer, subjective preferences. </td> </tr> </table>	Random sampling	Goal: Should offer as representative a picture of the target group as possible.	Problem: Usually only unreliable data about the basic population is available. The representative nature of the data is therefore questionable.	Simple random samples If lists of households, businesses, individuals, etc. exist. Every case is given a number, elements are then drawn until the desired quantity is achieved.	Systematic sampling Like simple sampling, but every 5 th , 10 th , 15 th element, for example, is selected.	Non-random sampling	Goal: Targeted selection of samples on the basis of the criteria specified by the project.	Cluster sampling Definition of geographic or institutional clusters or groups. Large study fields are reduced to smaller, more homogeneous units which are more suited to the sampling procedure.	Quota sampling – based on distribution of characteristics Useful for comparisons or studying in greater detail certain characteristics for monitoring. Selection of specified number of units which have the same characteristics. These are compared with sub-groups which are similar but which differ in one characteristic, e.g. gender or age distribution. The interviewer selects the sampling method during the collection. Problem: selection, strong bias of the interviewer, subjective preferences.
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	<p>A combination of sampling procedures, i.e. a multi-layered sampling procedure is recommended for monitoring: first of all, a random sample of villages should be taken, and then a more targeted procedure should be pursued within the villages with non-random sampling methods.</p> <p>Appropriate sample sizes must be selected for monitoring! These also depend on available time and staff and the number of groups which a statement has to be made about.</p>
 Advantages	<p>Makes it possible to generalise statements better</p>
 Restrictions	<p>Needs practise</p>
 Literature	<p>http://www.idrc.ca/en/ev-33011-201-1-DO_TOPIC.html</p>

8.2 Standardised surveys and preparation of questionnaires











 Goal	To provide comparable information about a relatively large number of groups or individuals.
 Type of results	Basic information to observe outcomes and impacts. Makes it possible to compare different groups at different times. Makes it possible to analyse changes in a certain group over a certain time. Results are usually quantitative.
 Duration	Depending on degree of detail and sample size, approx. three to five days for preparation, depending on size of sample up to four weeks for the collection; approx. four weeks to three months for the analysis of data, two weeks for data preparation.
 Material	Questionnaires, pens
 Actors	Project staff, interviewers, if necessary external interviewer
 Costs	High because external interviewers usually have to be appointed. Rule of thumb: approx. 40-50 Euro per household.
 Comments	Training in survey methods necessary. Supervision of interviewers necessary. For individual sector-related questions see checklists in appendix (basic data survey). Should corroborate qualitatively collected data.
 Procedure	<ol style="list-style-type: none"> 1. Define purpose of questionnaire. 2. Decide which content should be covered by the questionnaire. 3. Prepare questions which can help collect the data. 4. Decide whether closed or open questions should be asked (see details on following page). 5. Put questions in logical order (so that as "natural" a conversation as possible can be conducted). Use simple language. 6. Decide who is to be interviewed and how big the sample should be. 7. Test the questionnaire to find out whether the interviewed persons understand questions, whether results are precise enough, whether the desired results are delivered and whether the duration of the interview is still appropriate. <ol style="list-style-type: none"> 8. After the test, carry out a trial run of the analysis in order to find out how much time is needed for the analysis. Problems that arise can provide information about how the questionnaire should be changed (e.g. too long, answers are not clear enough, there are too many categories, etc.)

	Closed questions (answer yes, no or certain numbers)	Open questions (more precise information, answers are longer)
	<p>Do you have enough food to feed your family?</p>	<p>What food do you grow yourself?</p> <p>How much food do you need to feed your family?</p> <p>What do you do when food becomes scarce?</p>
	<p>Did you understand the consultant's instructions and put these into practice?</p>	<p>What did the consultant tell you about growing rice?</p> <p>What do you think about his explanations? Were they clear, useful and related to your problems?</p> <p>Have you tried out the recommendations?</p> <p>What do you think of the results?</p> <p>How do you want to grow rice in future?</p>
 Advantages	<p>Deliver detailed information, especially on household level.</p> <p>Comparison of results is easier, and results can be processed flexibly in terms of time.</p> <p>Conclusions about representative sample can be generalised for the target group collectively.</p>	
 Restrictions	<p>Needs trained interviewers.</p> <p>Analysis usually takes a long time and requires specific and sound knowledge of data collection and analysis methods.</p> <p>Often needs a relatively large sample, is therefore complex, expensive and prolonged.</p> <p>Surveys provide no details about non-intended outcomes and impacts.</p>	
 Literature	<p>http://www.idrc.ca/en/ev-33011-201-1-DO_TOPIC.html</p>	
 Examples	<p>Living Standards Measurement Study (LSMS) collects data about: expenses, members of households, education, health, nutrition, savings, agricultural activities, sources of income. Sets of data for many countries are available under the following link: http://www.worldbank.org/lsms/</p>	

8.3 Guided interviews

 Goal	Data collection in individual or group interviews based on interview guidelines.
 Type of results	More qualitative results
 Actors	Project staff, interviewers, moderators
 Comments	Guided interviews are the basis for the application of all participatory methods in these guidelines.
 Procedure	<p>Define purpose and information needed.</p> <p>Train interviewers and ensure they can use guidelines flexibly. In particular, they should practice documenting statements. Semi-structured interviews are best conducted by a team of two persons. In this case, one person conducts the interview, the second takes notes. This is vital in group discussions.</p> <p>Test the guided interviews (can be part of training).</p> <p>Define number of interviewees.</p> <p>Conduct interviews.</p>
 Advantages	<p>Gives the interviewees greater scope to answer questions.</p> <p>Good basis for the use of participatory methods.</p>
 Restrictions	<p>Interviewers/moderators must be able to handle guidelines flexibly.</p> <p>Evaluation of guided interviews is not easy.</p> <p>Information can usually only be processed statistically.</p> <p>Time-consuming instrument.</p>
 Literature	http://www.idrc.ca/en/ev-33011-201-1-DO_TOPIC.html

8.4 Focus group discussion








 Goal	Determine initial situation of a certain target group.
 Type of results	Information about problems, requests, needs, potentials and motivation of target group. Results are qualitative.
 Duration	1-2 days preparation, 1½ to 2 hours implementation, 2 days follow-up
 Material	Guidelines for moderation of discussion, paper, pen, visualisation material
 Actors	Selected representatives of target groups (approx. 6-10); moderator, observer, person taking minutes.
 Comments	Possibility of working with homogeneous or heterogeneous groups (depending on goal: if a broader assessment is needed, select heterogeneous group, for more profound analyses choose a more homogeneous group). Always form SEVERAL focus groups for one subject; creates basis for the generalisation of results. Particularly suitable for finding out different kinds of motivation and causes of behaviour. Groups can be interviewed BEFORE, DURING and AFTER a project. The discussion then becomes a monitoring instrument.
 Procedure	Define points of discussion from information requirements for monitoring. Identify and invite groups (is based on information requirements/goal; participants should have similar level of information). Prepare guidelines for discussion. Define schedule and content of discussion; formulate possible questions. Conduct discussion; moderate and document discussion. Evaluation of gathered information: bundle statements according to subject, analyse; make a note of quotations. Compare results with results of other focus group discussions and document (Is data reliable? Are there contradictions between the groups, etc.?).
 Advantages	Group discussions can reveal trends and conditions. Groups discussions tend to reveal unconscious conditions more than individual surveys. The discussion with other participants encourages more effective reflection.
 Restrictions	Risk that some persons dominate the discussion. Results are not representative. Participants must be selected carefully. Requires moderation experience with group discussions.
 Literature	http://www.umweltbundesamt.de/umweltbewusstsein/publikationen/guidelines-Fokusgruppen.pdf http://www.unu.edu/unupress/food2/UIN11E/uin11e0e.htm

9 Non indicator-based methodologies for outcome and impact monitoring

Alongside the linear method used by the majority of development cooperation organisations, there are also other monitoring procedures.

These are interesting alternatives or additions to the above methods and can be used to answer important questions which may arise in the course of the project and are not yet considered in the indicators. With all of these methods, the focus is on the control and learning function of outcome and impact monitoring.

9.1 MAPP® – cf. PALSA in these Guidelines

 Goal	To define project outcomes and impacts without indicators.								
 Type of results	Qualitative and quantitative. MAPP is a participatory method which is carried out in group discussions. It reveals changes retrospectively and establishes connections with project activities.								
 Duration	Several days in a village, analysis also several days per village								
 Material	Visualisation material for village workshops								
 Actors	Project staff (team von 2-4 persons), target groups, possibly external interviewers								
 Comments	MAPP® = Method for Impact Assessment of Programs and Projects – registered trademark; developed by Susanne Neubert 1998 The method also exists in modified form under the name PALSA and is used in the outcome and impact monitoring of the Millennium Villages.								
 Procedure	<p>The methodology consists of a series of steps. There are collection steps and analysis steps. Data collection takes place with the target groups; the analysis steps are carried out by a data collection team. Steps carried out only by the collection team are highlighted in the table in green.</p> <p>Methodical steps:</p> <table border="1"> <tr> <td>Step 1: Timeline</td> <td>Shows how local living conditions develop within a period, cf. description in these Guidelines.</td> </tr> <tr> <td>Step 2: Trend analysis</td> <td>The criteria applied by the target group to assess quality of life and how this develops over the course of time are entered into a matrix with time axis and assessment axis. This is based on the key concepts of poverty: standard of living, access to resources, improvement of knowledge, reinforcement of rights; cf. description in these Guidelines.</td> </tr> <tr> <td>Step 3: Cross-checking</td> <td>With the help of statistics and possibly a transect and individual talks with experts, etc., the collected data is verified.</td> </tr> <tr> <td>Step 4: Influence matrix</td> <td>The influence of project activities on the criteria of the quality of life is assessed; cf. description of methods in these Guidelines</td> </tr> </table>	Step 1: Timeline	Shows how local living conditions develop within a period, cf. description in these Guidelines.	Step 2: Trend analysis	The criteria applied by the target group to assess quality of life and how this develops over the course of time are entered into a matrix with time axis and assessment axis. This is based on the key concepts of poverty: standard of living, access to resources, improvement of knowledge, reinforcement of rights; cf. description in these Guidelines.	Step 3: Cross-checking	With the help of statistics and possibly a transect and individual talks with experts, etc., the collected data is verified.	Step 4: Influence matrix	The influence of project activities on the criteria of the quality of life is assessed; cf. description of methods in these Guidelines
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Procedure

Step 5:
Development and
outcome and im-
pact profile

The most important information is presented at a glance.

Entwicklungs- und Wirkungsprofil von Makiwari			
	Profilpunkte -- +! ++	Kommentar der TeilnehmerInnen	Hauptursachen
Erhöhung oder Verringerung des Lebensstandards			
Einkommen	○○●○○	Wird vor allem durch landwirtschaftliche Erträge bzw. klimatische Bedingungen bestimmt	HDWSP, Markt und Straßenbau
Gesundheit	○○○○●	Positiver Trend durch die verbesserte Gesundheitsversorgung im Dorf und den Zugang zu sauberem Wasser	HDWSP, MoH/WV
Ernährungssicherheit	○○●○○	Wird wie das Einkommen hauptsächlich durch Niederschläge bestimmt	
Zugang oder Ausschluss von Ressourcen			
Zu Trinkwasser	○○○○●	Sehr positiver Trend	HDWSP
Zu Waschwasser	○○○●○	Positive Entwicklung	HDWSP
Vergrößerung oder Abnahme des Wissens			
Kenntnisse über Gesundheit / Hygiene	○○○○●	Aufklärungskampagnen und mehr Fortbildungen führten zu einem verbesserten Hygieneverhalten	MoH, Unicef, WV, HDWSP
Schulbesuch	○○○○●	Positive Entwicklung durch Schulbau, Eröffnung auch einer Sekundarschule und mehr Zeit der Kinder, den Unterricht zu besuchen	DC & WV, HDWSP
Zugang oder Ausschluss von Rechten			
Entscheidungsstrukturen	○○○○●	Positive Entwicklung durch politischen Umbruch und Stärkung von Institutionen im Dorf	u.a. HDWSP
Partizipation	○○○○●	Partizipation an den Infrastrukturprojekten (Schule, Gesundheitsstation, Straße, Wasser)	Unicef, WV, ILO, HDWSP
Sicherheit	○○○○●	Zunahme u.a. durch sichere Wasserversorgung	Insbesondere HDWSP

The outcome and impact profile can be used in monitoring as a data sheet. Visualisation makes changes apparent relatively quickly.



Advantages

Assessments of the target group are made transparent.
By using participatory methods, everyone can voice their opinion.
Visualised results remain in the villages.



Restrictions










Quality depends on well trained moderators who do not influence the decision-making process.








Literature

Neubert, Susanne 2005: Akteurszentrierte Wirkungsanalyse and Ermittlung von Beiträgen zu den internationalen Entwicklungszielen. Paper of a lecture for the working group "Evaluation of development policy", spring conference on 3rd June 2005 in Bonn under http://www.uni-saarland.de/fak5/stockmann/akepol/meetings/00000014/PAPERNeubert_AKEPOL0605.pdf

9.2 Most Significant Change (MSC)

 Goal	Monitoring without indicators; participatory monitoring																		
 Type of results	Quantitative and qualitative, based on stories or videos on changes																		
 Material	Depending on focus, paper, pens, video camera, camera																		
 Actors	Target groups, project staff																		
 Comments	Metaphors for MSC are newspapers, for example. They do not report on the basis of indicators, but provide stories. They are structured according to individual subjects. The most important news is on the first page.																		
 Procedure	<table border="1"> <tr> <td>Step 1</td> <td>Define themes or "domains of change". A distinction is made between four major areas: <ul style="list-style-type: none"> Change in the quality of living conditions Change in the participation of people in development activities Changes in the sustainability of organisations and their activities Other changes </td> </tr> <tr> <td>Step 2</td> <td>Determine frequency of monitoring (monthly, four times a year, etc.)</td> </tr> <tr> <td>Step 3</td> <td>Collect stories about "significant changes" on the basis of <ul style="list-style-type: none"> Documentation of stories which project staff hear during their work, interviews, group discussions or documentation of stories by the target groups </td> </tr> <tr> <td>Step 4</td> <td>Discuss significant changes: In a multi-layer process with the target groups and in the project itself, the most important changes are selected. Ranking and scoring methods can be used.</td> </tr> <tr> <td>Step 5</td> <td>The target groups are shown a selection of the most significant changes.</td> </tr> <tr> <td>Step 6</td> <td>Possibly start a process to verify stories</td> </tr> <tr> <td>Step 7</td> <td>Quantification</td> </tr> <tr> <td>Step 8</td> <td>Analysis of changes</td> </tr> <tr> <td>Step 9</td> <td>Decide on changes in project procedure.</td> </tr> </table>	Step 1	Define themes or "domains of change". A distinction is made between four major areas: <ul style="list-style-type: none"> Change in the quality of living conditions Change in the participation of people in development activities Changes in the sustainability of organisations and their activities Other changes 	Step 2	Determine frequency of monitoring (monthly, four times a year, etc.)	Step 3	Collect stories about "significant changes" on the basis of <ul style="list-style-type: none"> Documentation of stories which project staff hear during their work, interviews, group discussions or documentation of stories by the target groups 	Step 4	Discuss significant changes: In a multi-layer process with the target groups and in the project itself, the most important changes are selected. Ranking and scoring methods can be used.	Step 5	The target groups are shown a selection of the most significant changes.	Step 6	Possibly start a process to verify stories	Step 7	Quantification	Step 8	Analysis of changes	Step 9	Decide on changes in project procedure.
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Step 7	Quantification																		
Step 8	Analysis of changes																		
Step 9	Decide on changes in project procedure.																		
 Advantages	Can be combined with indicator-based methods. Frequently reveals non-intended/unplanned changes which are identified more rarely in indicator-based monitoring.																		
 Restrictions	Requires willingness to discuss weaknesses as well as successes. Can be very subjective. Time-consuming procedure. Requires considerable analytical skills, especially when analysing stories.																		
 Literature	http://www.mande.co.uk/docs/MSCGuide.pdf																		

9.3 Outcome mapping

 Goal	<p>To make this a joint learning experience with implementation partners.</p>
 Description	<p>M&E methodology developed by the IDRC (The International Development Research Centre, Canada).</p> <p>The methodology focuses on changes in behaviour.</p> <p>Outcomes in this methodology are defined as: changes in behaviour, in relationships, the activities of individual, groups or organisations with whom or which a project works directly. These changes in behaviour can be associated logically with project activities even if they are not necessarily brought about by project activities.</p> <p>Partners: individuals, groups and organisations with which the project works directly and in which the project expects changes.</p> <p>The project's contribution towards development is planned and assessed on the basis of its influence on partners. The central concept of outcome mapping is therefore that development takes place with and for people. Therefore, outcome mapping does not focus on the actual changes (e.g. clean drinking water or improved economic performance) but on the changes in the behaviour of people and organisations.</p>
 Type of results	<p>Qualitative and quantitative</p>
 Actors	<p>Project team, direct and indirect target groups, usually in the form of a workshop</p>
 Procedure	<p>Outcome mapping takes place in three steps:</p> <p>1st step</p> <p>Planning: Project goals are described by asking four questions:</p> <p>Why? What vision should the project contribute towards?</p> <p>Who? Who are the partners?</p> <p>What? What changes are desired by the partners?</p> <p>How? How will the project contribute towards the process of change?</p> <p>2nd step</p> <p>Outcome and performance monitoring:</p> <p>Based on systematic self-assessment</p>
	<p>The following is gauged:</p> <ul style="list-style-type: none"> ▪ The progress of partners in terms of desired outcomes (Tool: "Outcome Journal": documentation of changes) ▪ The internal performance of the project (Which strategies are we using, are partners satisfied, etc. – Tool: strategy maps) ▪ Organisation of learning processes in the project (Tool: Performance Journal) <p>To prepare the journals, data has to be collected from the appropriate actors. The methods for doing this do not differ from those described in these Guide-</p>

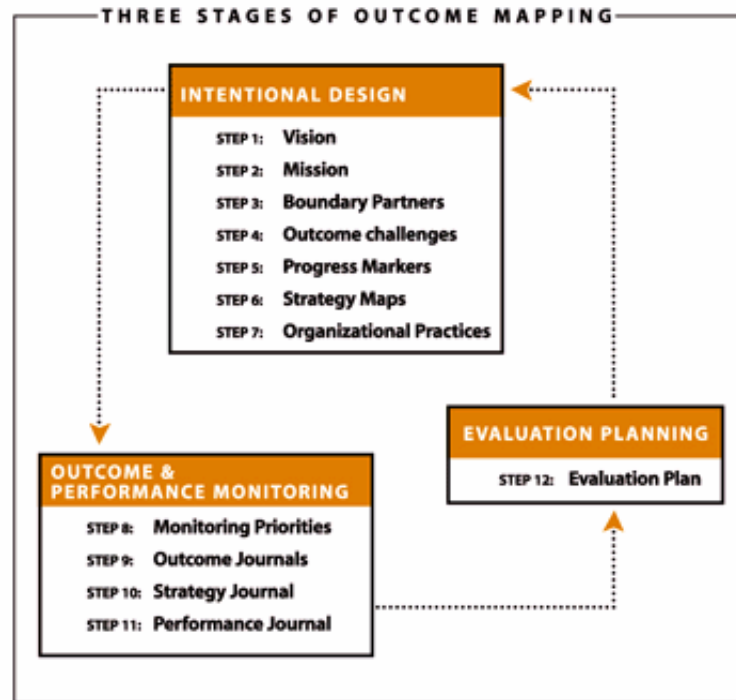
lines.

3rd step

Evaluation planning:

Evaluation priorities are defined and an evaluation plan developed.

Three stages with sub-stages of outcome mapping



Source: Earl et al. 2001, S. 4



Advantages

Is process-oriented.
Can be combined with logframe-based methods.



Restrictions

Not suitable for strongly standardised and formalised project work.
Based on openness of participants to learning processes and self-evaluation.



Literature

Earl, Sarah, Fred Carden and Terry Smutylo, 2001: Outcome Mapping; Building Learning and Reflection into Development Programs, International Development Research Centre (IDRC), at www.idrc.ca/en/ev-9330-201-1-DO_TOPIC.html.

10 Key questions for portfolio sectors of support as a basis for situation analysis and monitoring

10.1 Basic infrastructure (Sector of support 2)

Priority support area 2.1: Basic housing

Key questions

- ✓ How severely damaged are the existing houses (totally destroyed/in need of repair)?
- ✓ How many people lived in the damaged home (number, sex, age, status)?
- ✓ Equipment in damaged houses (water supply, electricity, sanitary facilities, waste water)?
- ✓ Do the house owners/inhabitants have proof of ownership (land titles)?
- ✓ Does a settlement plan exist (key to the redevelopment of whole settlements)?
- ✓ Are the needs of certain target groups (women, widows, the elderly, disabled) considered in housing plans?
- ✓ Is the original settlement area suitable for new or re-development?
- ✓ To what extent can the target group help itself?
- ✓ Do local authorities specify minimum requirements for house construction (size, layout, safety standards, etc.)?
- ✓ What building materials should be used (availability, ecological aspects, e.g. wood)?
- ✓ Who is responsible for the final approval of construction work (project management, local authorities)?
- ✓ Are enough qualified local workers available (craftsmen, engineers etc.)?
- ✓ How accessible is the project location?
- ✓ Can the chosen house design be adapted individually (e.g. room layout, number/size of windows, external colour, etc.)?

Priority support area 2.2: Road building

Key questions

- ✓ What is the purpose of the road?
- ✓ Is it a main road or a byroad?
- ✓ How heavy is traffic expected to be?
- ✓ How much traffic is the road expected to cope with (heavy and freight traffic or passenger traffic)?
- ✓ Should the road be built by "labour-intensive" means or by machine?
- ✓ What terrain will the road pass through?
- ✓ Are the necessary building materials available locally?
- ✓ Does the region have enough qualified local staff?
- ✓ How can the target groups (e.g. refugees, child soldiers, women, etc.) be reached and extensively integrated?
- ✓ Do national road construction regulations and standards exist?
- ✓ Do local structures have to be taken into account?
- ✓ How can structures be created or reactivated to organise a road maintenance system and thus achieve investment security?
- ✓ How can the negative side-effects of road construction, such as an increase in road accidents, spread of crime and sexually transmitted disease (STD), be reduced?

Priority support area 2.3: Water supply and sanitation

Key questions

- ✓ How much water is used daily per household?
- ✓ How long does it take every day to collect water?
- ✓ What is the water quality at the point of use?
- ✓ How many days a year does the water supply system break down?
- ✓ How many households per village/community have and use a toilet (latrine)?
- ✓ How many households wash their hands with soap before preparing meals and after using the toilet?
- ✓ How is wastewater disposed of in households?
- ✓ How high are investment costs per capita and year for water supply?
- ✓ How high are running costs per capita and year for water supply?
- ✓ Do the water committee and those responsible for the supply system fulfil their function?
- ✓ Number of women and especially needy persons in the committee?
- ✓ Are water fees (for the supply system) collected in the way originally planned with the community?
- ✓ Does the implementing organisation/government carry out backstopping? In what way?
- ✓ Are the water supply system, latrines and sanitation structures used by the community?

Priority support area 2.4: Social infrastructure

Key questions

- ✓ Does the project region analysis include an evaluation of the social, economic, ecological, political and infrastructural situation?
- ✓ What cultural principles about community life exist (segregation of men and women in public, vendetta, acceptance of common property)?
- ✓ What collectively organised and used facilities exist/ed in the community (e.g. schools, kindergarten, health centres, social centres, youth centres, children's and old people's homes, homes for the disabled, women's centres, baths, communal education centres, parks)?
- ✓ Which social groups use these facilities and how great is their impact (e.g. average number of visitors/users)?
- ✓ How are these facilities used and how are they organised (citizens' committees, managers, financial administration)?
- ✓ Are there collectively developed and agreed concepts for use/guidelines?
- ✓ How do these facilities finance themselves?
- ✓ Are they supported by government offices or national and international organisations?
- ✓ Is there private support?
- ✓ Does the community agree to the commercial use of social facilities?

10.2 Rural and regional development (Sector of support 3)

Priority support area 3.1: Integrated rural development

Key questions

- ✓ Does the project region analysis include an evaluation of the social, economic, ecological, political and infrastructural situation?
- ✓ Is the involvement of participants (target groups and other relevant actors) in planning, implementation and monitoring guaranteed?
- ✓ Are the measures needs-oriented and culturally adapted?
- ✓ Do the measures adequately consider the requirements of (and potential benefits for) the target groups (especially the poor, minorities, religious groups, children, women)?
- ✓ Are self-help structures and institutions that secure sustainability in the long term supported?
- ✓ Are measures technically appropriate and can they be used by the target group?
- ✓ Are measures that adapt to the climate change considered (including risk analyses, disaster prevention)?
- ✓ Are conflict potentials and the effect of project measures that could exacerbate the conflict taken into consideration?
- ✓ Are the planned measures linked with each other and geared towards interactions, and are enough capacities planned for the different subject areas?
- ✓ Are the project (holders) and target group organisations networked vertically and horizontally with the other actors (especially government structures), are scaling-up conditions considered?

Priority support area 3.2: Agriculture

Key questions

- ✓ How does agriculture contribute towards self-sufficiency and provide a source of income for the family?
- ✓ What are the most important arable crops for self-sufficiency and for sale?
- ✓ What sales channels exist or what development potential exists for sales?
- ✓ What are the most common agricultural methods (crop rotation, inter-relay cropping, cut and burn, fallow) and methods of cultivating soil (minimal soil cultivation, ploughing)?
- ✓ Is irrigation farming practised and, if so, on what scale? Is there sufficient water?
- ✓ For what crops and to what extent are mineral fertilisers and pesticides used?
- ✓ Is own or purchased seed used?
- ✓ What are the average yields of the most important arable crops?
- ✓ Have yields increased, decreased or remained constant in the last ten years? What are the reasons for this trend?
- ✓ Does erosion occur – if so, to what extent and what is done to combat the problem?
- ✓ What are the biggest obstacles to increased agricultural output and income? How can they be overcome?
- ✓ What are the most important agricultural development potentials?

- ✓ Which member of the family carries out which agricultural work?
- ✓ Which member of the family has at his disposal the proceeds generated from farming?
- ✓ Are livestock farming and crop production integrated? If so, in what way?
- ✓ Is there access to agricultural advice and, if so, how often?
- ✓ Is there a rural development plan by the national or local government?
- ✓ Do the families belong to a pressure group (farmers' union, co-operatives, sales organisation)?
- ✓ What is the average business size?
- ✓ Who does agricultural land belong to and, if family-owned, how is the legal succession regulated?

Priority support area 3.2: Livestock farming

Key questions

- ✓ Number of livestock (detailed)?
- ✓ How are animals fed (storage or nomadic livestock farming)?
- ✓ How big is the farm or the farmer's migration area?
- ✓ How good is veterinary care?
- ✓ How much production material is needed and how high are yields?
- ✓ Self-sufficiency, processing, sale?
- ✓ Is there access to water, in what form?
- ✓ Is animal feed cultivation included in crop rotation?
- ✓ Membership of an association (farmer's union, co-operatives, sales organisation)?
- ✓ Land rights, own land or livestock migration to community land?
- ✓ Is there a strategy or development plan by the government?
- ✓ Are there subsidies and, if so, from whom: INGOs, NGOs or government, etc.?
- ✓ To what extent is organic farming practised?
- ✓ Does overgrazing occur, does pasture land regenerate and are there monitoring systems and rules of thumb?
- ✓ Are there training programmes?
- ✓ How is the family involved in the work?
- ✓ Is the form of work regarded as outdated or forward-looking?
- ✓ Women's work or men's work?
- ✓ How big is the family that has to be fed?
- ✓ Have changes occurred in the climate or have conditions changed as a result of human action in the last few years and, if so, what are these changes?

Priority support area 3.2: Forestry

Key questions

- ✓ Where does the wood for cooking and heating come from?
- ✓ Is accessible firewood available in sufficient quantity?
- ✓ How far do people have to go every day/week to collect wood?
- ✓ How much time does this take?
- ✓ Who collects wood (men, women, children)?
- ✓ Does reforestation not initiated by a project take place?
- ✓ How big are the areas?
- ✓ Where does reforestation occur (distance to village, who does the land belong to)?
- ✓ Who carries out reforestation?
- ✓ What is the motivation behind reforestation (wood scarcity, firewood, timber, erosion control, appropriation of land, etc.)?
- ✓ What kinds of reforestation are preferred: fruit trees or timber varieties?
- ✓ Is wood production certified according to international standards?

Production of plants

- ✓ Access of farming families to means of production (seed, seedlings, plant bags, watering cans and other tools)?
- ✓ Where do the seedlings come from (own production or purchased)?
- ✓ What kind are mainly produced/purchased and planted?
- ✓ Is training offered for plant production?
- ✓ Who is responsible for the production/purchase of seedlings (men, women, both)?
- ✓ How far away from future planting sites are plants produced?
- ✓ How many plants are produced per year and type?

Planting and protection of plants

- ✓ At what time of year does planting occur?
- ✓ Is there a connection between planting time and rainfall?
- ✓ Who does the farmland belong to (private, village, community, state)?
- ✓ Does planting occur individually?
- ✓ Does community planting occur?
- ✓ Ratio of private and community planting?
- ✓ Are plants protected against fire and livestock – if so, in what way?
- ✓ How many plants are planted per year and type?

Use of plantations

- ✓ Is thinning/final felling carried out among useful plants– if so, from what age?
- ✓ Have these plantations already brought any yields – if so, how much and from what age?
- ✓ How are yields used (own use, sale)?
- ✓ If used personally, how (firewood, construction timber, other)?
- ✓ If sold, what yields are achieved?

Priority support area 3.3: Food security

Key questions

Food status

- ✓ What percentage of children aged between 6-59 months (or alternatively 6-35 months) are below the critical value (-2 Z scores) for "wasting", "stunting" and "underweight"?
- ✓ Has the number increased compared to previous measurements (Important: pay attention to season)?
- ✓ What percentage of women have a Body Mass Index (BMI) of below or over 18.5?

Food intake

- ✓ What kind of food is available and has been eaten in the last 24 hours?

Health status

- ✓ What percentage of newborn babies weigh less than 2.500 g at birth?
- ✓ How high is infant and maternal mortality?
- ✓ What percentage of examined children are suffering from acute diarrhoea at the time of the survey and how many suffered from diarrhoea during the last month?
- ✓ What percentage of households have their own latrine/access to a public toilet/latrine?
- ✓ How high is the prevalence of common diseases such as HIV, malaria, hepatitis, tuberculosis?

Availability of food (cg. Key questions on agriculture and livestock farming)

- ✓ Macro level: total crops in the country in relation to population?
- ✓ Micro level (household level): How much has been harvested and is available for own consumption?
- ✓ How has the previously defined proxy indicator of purchasing power developed over a specific period?
- ✓ How far away are local and regional markets?
- ✓ Has access to markets improved/deteriorated?
- ✓ What aid supplies have been distributed and how much?

Welfare

- ✓ How many persons on average live in one household?
- ✓ How many elderly, old and sick persons and children are there on average in a household?
- ✓ How many households are there in the region that are led by a woman?
- ✓ How high is the illiteracy rate among women?

Health system

- ✓ How far away is the nearest functioning health centre?
- ✓ Are there government vaccination programmes?
- ✓ How high are vaccination rates

Health system

- ✓ Where does the family obtain its drinking water?
- ✓ What is the quality of drinking water?
- ✓ What percentage of households have access to clean drinking water?

Priority support area 3.4: Natural resource management

Key questions

- ✓ What are the most important natural resources in the intervention region (arable land, pasture land, animal and fish breeding, forestry, beekeeping, water, air/wind, minerals, biodiversity, recreation area for tourists)?
- ✓ How and by whom are resources used?
- ✓ Are resources used sustainably (i.e. if resources continue to be used with the same intensity, will they be available indefinitely)?
- ✓ How significant are the most important resources for food production (used personally/sold) and as a source of income for the target population?
- ✓ Has availability of the most important resources increased, decreased or remained constant in the last ten years? What are the reasons for this?
- ✓ What are the main obstacles to the improved use of the most important resources? How can these be overcome?
- ✓ How could the benefits of the resources be increased sustainably, what development potential exists?
- ✓ Who owns the resources? Are there laws on national or local level, and if so, are they observed? How are possible conflicts avoided?
- ✓ Are there plans for use on national or local level for the most important resources?

Priority support area 3.5: Disaster prevention

Key questions

- ✓ Threat: What disaster risks are known of or can be predicted in the project region (climate change)?
- ✓ Vulnerability as a result of:
 - overuse of natural resources
 - settlement of endangered areas
 - inadequate communication and responsibility structures
 - political instability?
- ✓ Is there a disaster prevention system laid down by law and which competences do communal units have?
- ✓ What legal provisions exist, e.g. for radio frequencies, construction methods, regional planning, etc.?
- ✓ What traditional strategies/developed capacities exist in communities for preventing and coping with disasters?
- ✓ Which state, communal, private and civilian actors address disaster prevention today (by law, own initiative) and how are these equipped?
- ✓ In what way should/can these actors be supported in order to create a functioning disaster prevention system? How can such measures be included in project activities?
- ✓ What section of the population in the project region is at risk and how/is exposed to specific risks? (children, the elderly, disabled, women in houses different to men on the field/women because of concern about children different to men, inhabitants of stone houses different to inhabitants of

wooden huts, etc.)

- ✓ Who (type) migrates temporarily (e.g. migrant labourers) and how many? How many are available to taken on permanent functions in communal disaster prevention structures?
- ✓ Who can best take on which task in the disaster prevention system? (women on radios in village, younger people in rescue teams, farmers to monitor water levels on the field, etc.)
- ✓ How do disaster prevention measures change living habits? (e.g. different methods of construction, settlement in other regions, expulsion from protected /prohibited areas)
- ✓ Access to energy?
- ✓ How reliable is electricity supply (frequency of power cuts)?
- ✓ What resources are available for the respective groups or individuals (target group/other actors) and how should these be integrated into project activities?
- ✓ What additional resources (time, staff, material) are necessary to achieve the defined goals?

Priority support area 3.6: Promotion of local economic development

Key questions

- ✓ On which outcome and impact **level** (macro, meso, micro) does the project aim to bring about changes?
- ✓ Which outcome and impact **areas** (project goal) are aimed at in the target region? For example:
 - ✓ Increase in the number of persons employed
 - ✓ Poverty alleviation
 - ✓ Income distribution
 - ✓ Increase in income
 - ✓ Improvement of productive efficiency /competitiveness of small (micro) enterprises

Macro level

Not explicit field of action in which Welthungerhilfe is involved.

Meso level

Organisation as direct target group; local small (micro) enterprises (= participants) as indirect target group

- ✓ How do the number and structure of participants change (i.e. micro entrepreneur as credit user or member of trade association, chamber of trade, etc.)?
- ✓ Which service activities do the organisations develop, do these correspond with the requirements of participants and to what extent are they used by them (e.g. training, counselling, employment service, input supply, product development, marketing, loans portfolio)?
- ✓ Does the organisation work more efficiently and effectively (e.g. cost analysis, customer satisfaction)?
- ✓ In what way does the organisation influence its participants?
 - ✓ Has the behaviour of participants changed and, if so, in what way (e.g. application of new knowledge, relationship of small (micro) businesses with each other, decision-making, mobility, ability to articulate concerns)?
 - ✓ Has the employment situation, income situation and achievement potential of participants changed and, if so, how (see micro level)?
 - ✓

Micro level

Small (micro) entrepreneur as direct target group; employees and staff of company as indirect target group

- ✓ According to which criteria has the target group been selected (e.g. potential or existing small (micro) business, form of ownership (private, corporate body), size (number of employees, assets, turnover), gender (percentage of women), rural/urban businesses, certain branch of industry)?
- ✓ In what way does the project influence the employment situation of the target group (differentiated according to men and women)?
 - ✓ Whose employment is increased/reduced and to what extent? What income bracket /poverty level do the staff belong to?
 - ✓ How many members of staff work full-time, part-time or are self-employed?
 - ✓ What qualifications are required of staff?
 - ✓ Hours worked per day or week?
 - ✓ How are conditions at the workplace?
 - ✓ How secure is the job in the future?
- ✓ In what way does the project influence the income situation of the target group (differentiated according to men and women)?
 - ✓ Whose employment is increased/reduced and to what extent? What income bracket /poverty level do the staff belong to?
 - ✓ Has the pattern of expenditure changed and, if so, how (e.g. for food, education, children, home, etc.)?
 - ✓ Who uses the extra income?
 - ✓ Have living conditions changed and, if so, how (e.g. electricity and water supply, telephone, TV, etc.)?
- ✓ In what way does the project influence the productive efficiency of the business?
 - ✓ How high is turnover?
 - ✓ How high are profits?
 - ✓ How high are production costs and how are they structured?
 - ✓ How high is work productivity?
 - ✓ How high is return on investment?
 - ✓ How much spoilage is produced?
 - ✓ What are the external sources of funding and how high are these?
 - ✓ How diversified is the business (portfolio, range)?
 - ✓ How satisfied are customers (quality of products/services)?
 - ✓ What personnel policy exists?
 - ✓ What method of bookkeeping is used?
 - ✓ What marketing instruments are used (advertising, distribution)?
- ✓ How many of the businesses still operate successfully two years after the end of the project?

10.3 Social integration and education (Sector of support 4)

Priority support area 4.1: Pre-school support and school education

Key questions

Pre-school education

- ✓ Is early learning based on a concept?
- ✓ Does early learning promote social competence, gross and fine motor skills, etc. ?
- ✓ How are parents involved in the early learning process?
- ✓ Are Montessori methods used and adapted to conditions?
- ✓ Do supervisors have appropriate training or are they untrained workers?
- ✓ How big are groups?

School education

- ✓ Does only knowledge transfer occur in schools or is social learning also promoted?
- ✓ Alongside the traditional disciplines, does the curriculum also include such subjects as the non-violent handling of conflicts, prevention of violence, etc?
- ✓ Are teachers offered further training, especially in methodology and didactics?
- ✓ How are the contents of the curriculum taught methodically and didactically? Does mainly teacher-centred instruction take place or are other teaching methods practiced?
- ✓ How many pupils are taught by a teacher (average class size)?
- ✓ Are there special programmes for early school leavers that prepare their reintegration into the formal education system?

Priority support area 4.2: Vocational training

Key questions

- ✓ What state and non-state vocational training programmes are available for the target groups?
- ✓ Do the vocational training programmes take into account the difficult living conditions of the young people, i.e. are curricula tailored to the learning needs of these young people?
 - ✓ Is there an age limit?
 - ✓ Are teaching times compatible with possible jobs (shoeshine)?
 - ✓ How long does training take, bearing in mind the fact that the prospects of these young people are of a more short-term nature?
- ✓ What is the relationship between theory and practice, because the practical aspect is important for the target group?
- ✓ How big are the learning groups?
- ✓ Does the curriculum include placements? Does the training organisation help find placements?
- ✓ Does the training programme offer young people new, market-oriented vocational and income-earning opportunities beyond the traditional range of professions?
- ✓ Are girls encouraged to choose "male professions"?
- ✓ Are there separate sanitary facilities for men and women?

- ✓ Are key qualifications taught in vocational training programmes? Competences such as sense of responsibility, ability to communicate and verbal skills, creativity, frustration tolerance, conflict skills and ability to work in a team, reliability, work culture.
- ✓ Are young people offered initial aid in the form of micro loans, initial equipment or help finding a job?
- ✓ Do members of staff, especially teaching staff, have the relevant professional competences for their field? Are there specific job specifications for this field of activity?
- ✓ If NGOs offer vocational training, are qualifications state-approved?

Priority support area 4.3: Social integration

Key questions

Material supplies

- ✓ Is the physical survival of children and young people guaranteed, i.e. are their basic needs for food, clothing, health and housing satisfied?
- ✓ Are there state contact points for children and young people?
- ✓ Does the government subsidise NGOs that look after the basic needs of children and young people with a daily rate?

Psycho-pedagogical care

- ✓ What mental damage have children and young people suffered and in what way has their self-esteem been affected?
- ✓ To what degree have children and young people been traumatised?
- ✓ Are measures planned to help victims come to terms with the ordeals they have experienced?
- ✓ Which instruments are used to help victims cope with the atrocities they have experienced?
 - ✓ Creative and cultural programmes such as painting, music, dance and theatre are important approaches that are often also used therapeutically.
 - ✓ Individual or group discussions?
 - ✓ Self-help groups, neighbourhood committees and local initiatives, such as sport and football groups?
- ✓ Are the children and young people stigmatised by their environment, do common prejudices exist against them? How are they accepted in the community, village, district?
- ✓ Are workshops carried out with the police and prison workers and/or employees in educational or health institutions to sensitise them to the living conditions of children and young people at risk?

School education

- ✓ Did the children and young people leave school early (early school leavers) and do they therefore have gaps in their school education?
- ✓ How can children catch up on schooling? Are there evening schools or alternative programmes which take into account the often large discrepancy between actual age and school age of school leavers?

Housing conditions

- ✓ Is a return to the family or similar family structure possible?
- ✓ Are other housing schemes such as "assisted" living, flat-shares for boys or girls preferable to their return into the family?

- ✓ Why has the child or young person been rejected by the family?
- ✓ Is accommodation in a home the only alternative?

Key qualifications

- ✓ Are social competences taught, such as communication and verbal skills, ability to cope with conflicts and work in a team?
- ✓ Are children and young people taught to articulate and represent their needs and interests?

10.4 Civil society structures (Sector of support 5)

Priority support area 5.1: Self-help groups and partner organisations

Key questions

- ✓ What statutes, state registrations and activity reports can be submitted?
- ✓ To what extent do the SHG/PO have their own annual incomes (membership contributions, donations, sponsors, revenue from business activities)?
- ✓ How many members do the SHG/PO have, how many members of staff are employed in the SHG/PO, how many staff work on a voluntary basis; how many dependent employees do the SHG/PO have altogether?
- ✓ How is the organisation structured (elected board of management; full-time staff; internal audit, etc.)
- ✓ How high was the annual business volume of the SHG/PO in last three years?
- ✓ What percentage of business volume was accounted for by administrative expenses in the last three years?
- ✓ Do the SHG/PO have financial accounting guidelines and a bookkeeping system?
- ✓ Can the SHG/PO provide proof that they adhere to national laws (tax audits, etc.)?
- ✓ Does a long-term work programme exist and what do the SHG/PO themselves focus on in their project work?
- ✓ Which factors do the SHG/PO consider directly controllable, which can be influenced and which are merely acceptable?
- ✓ What projects have the SHG/PO so far carried out on which levels and in which sectors and regions?
- ✓ Which projects have been funded so far by providers of public grants and on what scale (extent of grants)?
- ✓ What external evaluations of the SHG/PO's work can be submitted (evaluations, audits, project assessments, reports)?
- ✓ How do the SHG/PO describe co-operations with other state and non-state institutions in the project region and in individual projects?
- ✓ In which networks, co-operations, consortia and partnerships do the SHG/PO participate and which role does it see for itself?
- ✓ What is the estimated percentage of projects/activities that still function as planned two years after the end of the project/activity?

Priority support area 5.2: Strengthening democracy

Key questions

Democratisation

- ✓ How is the target group involved in project planning and implementation?
- ✓ How does the project promote or obstruct the decentralisation of state and non-state (e.g. multinational corporations) authority?
- ✓ Is the subsidiarity principle taken into account in the planning process and in the decision-making structure of the project?
- ✓ To what extent does the selected project target group represent the total population?
- ✓ How does the project take advantage of opportunities to promote independent (local and national) media?

Governance

- ✓ Which local, regional and national authorities are responsible for the activities planned in the project?
- ✓ How are local, regional and national authorities involved in project planning and implementation?
- ✓ How does the project support local, regional and national authorities structurally?
- ✓ What accountability conditions are imposed on local partner organisations, and how is adherence to such conditions actually demanded and followed up?

Priority support area 5.2: Promoting human rights

Key questions

Basic principle of non-discrimination

- ✓ According to which criteria and through which selection procedure is the target group chosen?
- ✓ Does the choice of target group take into account especially vulnerable groups?
- ✓ How can a discriminating choice of target group (women, children, cultural/ethnic/national/religious minorities or vulnerable groups) be ruled out?

Right to food

- ✓ At what time and in what way is the target group taught about the meaning of "the right to food"?
- ✓ Which state actors are responsible for enforcing the right to food?
- ✓ Does the project help state actors meet their obligation to realise the right to food? If so, how?
 - ✓ Does the host country have an official development strategy? If so, are the goals and course of action in the project compatible with the strategy?
 - ✓ Are there functioning and free markets in the host country which are protected against social and ecological transgressions? How does the project support these markets?
 - ✓ Does the state assume a leading role in the coordination of state, private economy, civil society and international organisations? How can the project support this?
 - ✓ Are efforts being made in politics, public administration or civil society to reinforce the legal system? What positive contribution can the project make in this respect?
 - ✓ Are efforts being made in politics, public administration or civil society to improve the non-discriminating access of all groups of the population to resources needed for food security (work, land, water, genetic resources and services)? What positive contribution can the project

make in this respect?

- ✓ How can the project support endeavours to improve food security, consumer protection, dietary habits, the education system, awareness-raising or food security networks?
- ✓ Does the project help state institutions protect the population against a deterioration of their access to food as a result of the actions of others and, if so, how?
- ✓ Does the project encourage state institutions to carry out measures to guarantee long-term food security successfully and with a sustainable effect, and if so, how?
- ✓ Does the project encourage state institutions to provide emergency aid in the event of famine or disaster successfully and without discrimination, and if so, how?
- ✓ What contribution can the project make to ensure that enough funds are available to guarantee food security within the framework of state financial planning?
- ✓ What public sources of information are available about the existence of especially vulnerable, food-insecure groups? How can the project support such information systems?
- ✓ How can the project help reinforce state food security networks?
- ✓ In what way are state actors involved in project planning, monitoring and evaluation?
- ✓ How can the target group be encouraged to proactively and successfully demand their right to food?
 - ✓ Does the project encourage the target group to participate more actively in public affairs, and if so, how?
 - ✓ Does the project help the target group realise their right to freedom of expression and their right to ask for, obtain and distribute information, and if so, how?
 - ✓ Does the project offer the target group legal advice?
 - ✓ Does the project support the target group legally in important matters relating to commerce, work and employment, access to land, water, genetic resources and biodiversity protection?

Priority support area 5.3: Conflict transformation and promotion of peace

Key questions

- ✓ Are there latent conflicts in the project region/country that are likely to escalate violently? Are conflicts fought violently?
- ✓ Do Welthungerhilfe and their partners have access to the conflict analyses of other organisations (for the project region/country)? If not, would it make sense for Welthungerhilfe to carry out such an analysis?
- ✓ Is it possible for Welthungerhilfe or its partners to enter into alliances with other organisations, to undertake joint efforts to minimise violence or reduce or avoid violence?
- ✓ What violent potential, i.e. divisive factors or sources of tension exist (people, institutions, positions, actions, interest, experience)?
- ✓ What peace potential, i.e. uniting factors or local capacities for peace, exist (persons and groups which bridge divides; institutions, actions, interests, experiences; networks)?
- ✓ Which ethnic, linguistic and religious groups exist in the project region? How are the groups related in terms of size and power?
- ✓ Are the existing social groups considered proportionally in the choice of target group?
- ✓ Do conflicts exist between these groups and if so what kind? What are the most contentious issues? What are the causes of the conflict?
- ✓ Is only one party involved in the conflict supported? What repercussions does this have?
- ✓ How does the project take into account the existence of different language groups in everyday lin-

guistic use (orally and written)? Are linguistic minorities considered?

- ✓ Does the project encourage the target groups to initiate their own strategies and conflict transformation initiatives and to oppose violence and provocation?
- ✓ Do women participate in initiatives and structures for conflict transformation? If so, how?
- ✓ Does the project avoid deepening existing divides between conflicting parties? If so, how?
- ✓ How does the project avoid supporting local and/or national opinion leaders with extreme positions?
- ✓ Does the project help eliminate causes of potential and existing conflicts between the social groups? If so, how? For example:
 - ✓ Are confidence-building measures initiated?
 - ✓ Are dialogue platforms promoted, are bridges of understanding built?
 - ✓ Is scope for action used?
 - ✓ Are local and/or national opinion-leaders with moderate positions supported and their profiles reinforced in public?
- ✓ What effects do subsidies have? Are they all intended? Is an economy of violence or of peace supported?
- ✓ Does external funding release local resources which are used to promote violence?
- ✓ Is external aid an incentive to continue violence or war because the recipients benefit from it?
- ✓ What is the role of partners and their influence on the conflict? Do they operate on the social level in which the conflict has its cause? What are their strengths and weaknesses? Is their physical or mental safety at risk?
- ✓ Does the project increase people's safety?

10.5 Health and HIV&AIDS (Sector of support 6)

Priority support area 6.1: Basic health services

Key questions

- ✓ Which illnesses have prevailed in the region in the last five years, which illnesses are becoming more prevalent (main morbidity and main causes of mortality)?
- ✓ What age groups and social groups, according to sex, are mainly affected by the illnesses?
- ✓ How do the people or qualified staff explain the repeated occurrence of these illnesses?
- ✓ Are people open to advice and treatment? If so, when, where and how (which services are used)?
- ✓ What basic health services are offered? What are the main reasons why these basic medical services are not used?
- ✓ Population's knowledge of basic hygiene standards and healthy diet?
- ✓ What percentage of pregnant women and mothers have received advice and counselling?
- ✓ Who is responsible for the funding, operation and control of basic health services? (possibly mixed forms central state, province, community and private)
- ✓ Are there training programmes in the region for paramedical staff such as health workers and nurses?
- ✓ Do practices with a medical relevance exist in the region, which violate human rights? These can range from female circumcision, child labour and the forced marriage of young girls, via medication tests and the lack of safety precautions at the workplace (for example, plantation workers) to the disposal of oil and chemicals.

Priority support area 6.2: Prevention of HIV&AIDS and mitigation

Key questions

General

- ✓ How high is the HIV prevalence rate in the project region?
- ✓ What are the main forms of transmission in the project region?
- ✓ Does poverty-related prostitution occur?
- ✓ Are there so-called "hubs" in the region which encourage people to take more risks and therefore increase the spread of HIV&AIDS (e.g. heavily used roads such as truck routes, seaports, etc.)?
- ✓ How does HIV&AIDS affect the poverty and living standards of the target group?
- ✓ Are allowances made for the fact that part of the target group, some of them HIV carriers or AIDS patients, are no longer or are only partially able to work?
- ✓ How should planned measures be adapted so as not to jeopardise the success of the planned project or programme?
- ✓ Part of the target group, especially women, is responsible for looking after the sick. What impact does this have on project measures? Do these have to be modified?
- ✓ Which institutions distribute or offer condoms to support prevention (health and counselling centres, hospitals, NGOs, etc.)?
- ✓ To what extent is treatment available, especially with antiretroviral medication, as well as nursing and supervision?
- ✓ The number of households led by children is increasing. Are efforts being made to ensure these children still attend school despite other obligations?

- ✓ Does the project include educational measures and measures to raise awareness of HIV&AIDS among the target group and project team?
- ✓ How does HIV&AIDS affect achievement of the project goal(s)?
- ✓ Are measures planned to cope or reduce the effects of HIV infection or AIDS? Does the following occur:
 - ✓ Are income-generating measures initiated?
 - ✓ Is domestic help offered?
 - ✓ Is basic knowledge about diet and hygiene as well as a healthy lifestyle taught?
 - ✓ Is neighbourhood help organised or are self-help groups established?
 - ✓ Have plans been developed to help AIDS orphans (village mentors, school funds etc.)?

Specific questions about emergency aid and rehabilitation measures

- ✓ HIV carriers and AIDS sufferers have greater calorie and nutritional requirements. Are supplemented foods distributed?
- ✓ Do "Food for Work" and "Cash for Work" measures make allowances for the fact that HIV carriers and AIDS sufferers are no longer or are only partially able to work?
- ✓ Does poverty-related prostitution occur? Emergency situations frequently lead to the loss of sources of income in the medium to long-term.
- ✓ Are women actively involved in planning (communal) accommodation?
- ✓ Is communal accommodation designed in such a way that women and unaccompanied children are protected against violent sexual attacks?
- ✓ Do measures bear in mind that an anti-retroviral treatment that has already been started should not be interrupted?

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