

# 2016

## HUMANITARIAN RESPONSE MONITORING

November 2015

# Guidance

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### INTRODUCTION

The Transformative Agenda has affirmed that coordination and leadership in the humanitarian system are essential to ensure that populations affected by conflict or disasters are provided with timely, needs-based, life-saving assistance.

Strengthening coordination and leadership calls for commitment through all steps of the humanitarian programme cycle (HPC) to jointly assess the situation; elaborate operational plans to cover prioritised humanitarian needs; mobilise and allocate resources in-line with the priorities; monitor progress; evaluate whether it is having the expected, sufficient effect for the diverse, affected populations; adjust the strategy and plans accordingly; and document how this is being done to support accountability and transparency.

Monitoring of humanitarian aid delivered to affected populations has existed for some time. Humanitarian actors, when implementing projects, establish systems and procedures that measure what is implemented and delivered, the results achieved and the quality. However, monitoring the collective results of a large-scale, multi-agency intervention is less standardized. In the past years, efforts to address response monitoring at this larger scale have gained momentum and several initiatives have been undertaken. The present guidance is a result of that, setting basic principles for monitoring the collective response in humanitarian crises.

This Humanitarian Response Monitoring Guidance is meant for all humanitarian actors involved in the preparation of a humanitarian response plan and its monitoring. It gives a definition for humanitarian response monitoring is and how to carry it out when monitoring a humanitarian response plan (HRP), whether for a sudden or slow onset disaster or complex emergency. It aims to define the standard components, ensure a common understanding of the key concepts and spell out related responsibilities.

This guidance presents the ideal elements for systematic, system-wide response monitoring but its actual implementation in a given context will depend on the capacities and resources allocated for it.

This guidance is a dynamic document that will be evolving and improving with time.

*Note on terminology: The term “cluster” refers to sectoral coordination that uses the ‘cluster approach’ introduced after 2005 as part of humanitarian reform. References to “cluster” in this guidance should be understood to refer to the range of sectoral coordination mechanisms that are in place in humanitarian response operations.*

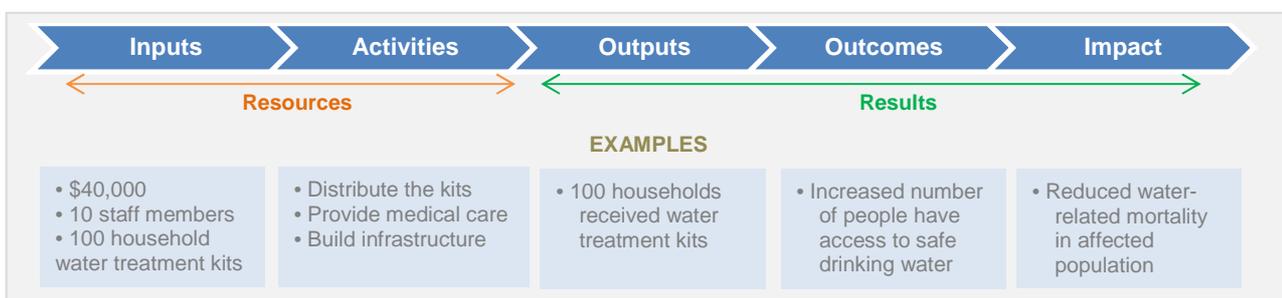
## BASIC CONCEPTS OF RESPONSE MONITORING

### Humanitarian Response Monitoring: definition, purpose and scope

**Humanitarian response monitoring** is a continuous process that records the aid delivered to an affected population as well as the achieved results against the objectives set out in the HRP. It tracks the inputs, and the outputs resulting from interventions to affected populations; charts the outcomes of cluster activities; and measures progress towards the objectives of the HRP, while considering the diversity of the affected population and their perspectives of the response.

#### Results Chain

The interlinked results chain demonstrates how the combination of resources, (inputs and activities), produce results, the delivery of goods, or services (outputs), which over time leads to short or medium-term effects (outcomes), and ultimately could affect a change in the humanitarian situation (impact).



See Annex I: Terminology for full definitions of terms used in the Results Chain.

Response monitoring focuses on three links in the results chain - inputs, outputs and outcomes. **Inputs** refer to the financial, human and material resources that go into projects. **Outputs** refer to the delivery of goods and services to a targeted population. **Outcomes** refer to the likely or achieved short and medium-term effects of an intervention’s outputs. Outcomes are often built on multiple outputs. They can be *intra-cluster*, requiring multiple outputs from one cluster (e.g. defecation free environment) or *inter-cluster* requiring outputs from multiple clusters (e.g. decreased incidence rate of cholera).

#### Purpose

Response monitoring’s primary focus is to measure progress toward reaching strategic objectives, cluster objectives, and cluster activities, as outlined in the Humanitarian Response Plan or Flash Appeal. It will draw upon findings to analyse results, derive conclusions about progress and make recommendations for action - all to be presented in a Periodic Monitoring Report.

The purpose of response monitoring is two-fold:

- 1) it provides humanitarian actors an **evidence base** for making decisions about what actions should be taken to address shortcomings, fill gaps and/or adjust the HRP, contributing to a more effective and efficient humanitarian response, in the short and long term; and
- 2) it serves to improve **accountability** of the humanitarian community for the achievement of results outlined in the HRP, towards people affected by the crisis, local governments, donors and the general public.

Response monitoring CAN be used to:

- Examine what was delivered versus the resources allocated, and what was achieved versus what was planned.
- Identify areas which are not sufficiently covered in the response, and analyse how and why gaps have occurred.
- Equip the clusters, inter-cluster coordination group and HC/HCT with the evidence to make decisions to improve humanitarian action and to effectively mobilise resources.

- Provide a basis for conducting evaluations of humanitarian action and for identifying best practices and lessons learned to improve action in the long-term.

Response monitoring is NOT intended to:

- Track changes in the context or in humanitarian needs. This is achieved through situation monitoring, and needs assessment and will be systematically performed through the Humanitarian Needs Overview (HNO)<sup>1</sup>.
- Map operational aspects, such as humanitarian actors’ presence or movement of relief items. This is part of operational coordination. Exceptionally, in the first weeks of an emergency, tracking of these inputs may be performed as part of response monitoring.
- Examine the performance by the clusters of their core functions, the proper functioning of the coordination system, or the integration of cross-cutting issues into projects. This is performance or process monitoring and will be conducted through the Cluster Performance Monitoring Framework<sup>2</sup>, Operational Peer Reviews<sup>3</sup>, and process indicators.
- Gauge the quality and impact of the aid delivered, as well as determining the overall relevance, efficiency and effectiveness of the collective response. This is evaluation and will be addressed through an Inter-Agency Humanitarian Evaluation<sup>4</sup>.

### The Scope of Response Monitoring

While Humanitarian Needs Overviews cover the full scale and scope of needs in any given context, the HRP defines the boundaries or scope of the response - the extent to which the humanitarian community intends to respond to the identified humanitarian needs.

The scope of a HRP takes into account access to the population in need, response capacity, the portion of needs

being addressed by actors outside of the plan, the expected evolution of the needs, and other parameters.



An HRP may be focused on a localized area within a country (as in the Philippines with Typhoon Haiyan), across an entire country (such as Democratic Republic of the Congo) or across a region (as with the Sahel). In all cases, the scope of the monitoring framework will follow the scope of the HRP.

Joint response monitoring first and foremost monitors those activities included in the HRP. However, it is also important to have an understanding of the response being undertaken outside the HRP. This helps to more confidently attribute those results from the work within the HRP and assists in updating information on needs, response and gaps in the overall humanitarian situation.

For example, if the HRP includes a measles vaccination project, and a major medical NGO also does measles vaccination outside of the HRP, the health cluster needs to have an understanding of both projects when monitoring the results.

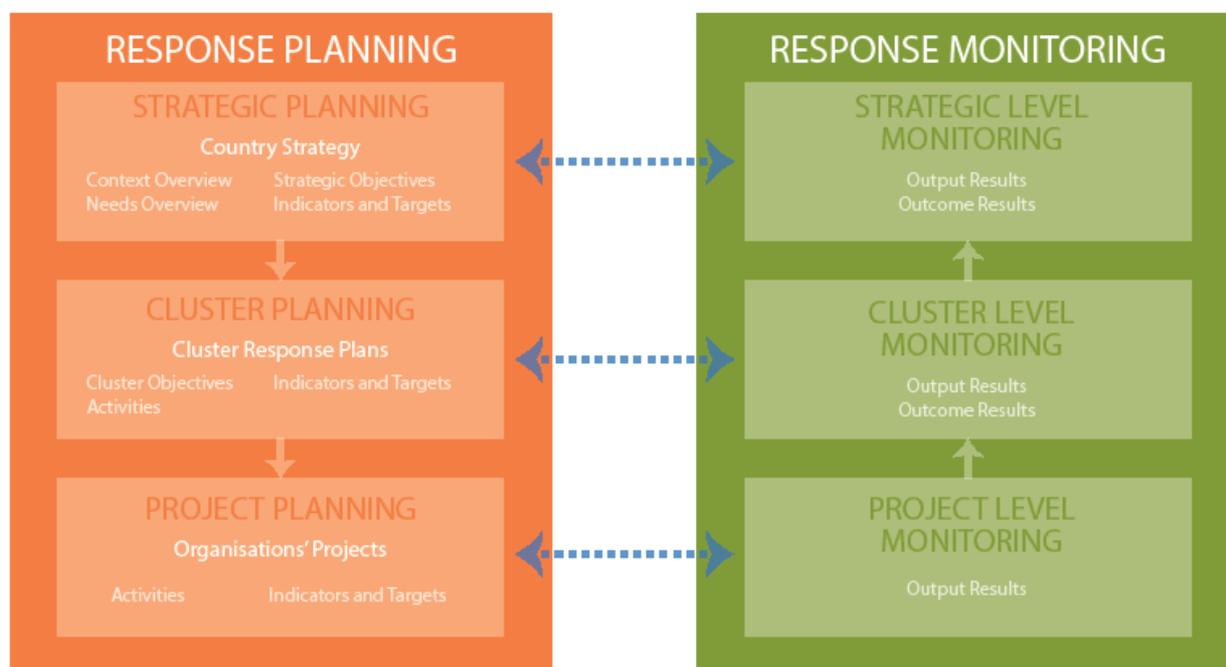
<sup>1</sup> For more information on the Humanitarian Needs Overview see: <http://assessments.humanitarianresponse.info/>  
<sup>2</sup> For more information on Cluster Performance Monitoring see: <http://www.humanitarianresponse.info/en/coordination/clusters>  
<sup>3</sup> For more information on Operational Peer Reviews see <http://www.humanitarianresponse.info/programme-cycle/space/page/operational-peer-review>  
<sup>4</sup> For more information on Inter-Agency Humanitarian Evaluation see <http://www.humanitarianresponse.info/en/programme-cycle/space/evaluation>

## Relationship between Planning and Monitoring

Strategic response planning and response monitoring are two distinct elements of the humanitarian programme cycle, that have strong linkages at three levels :

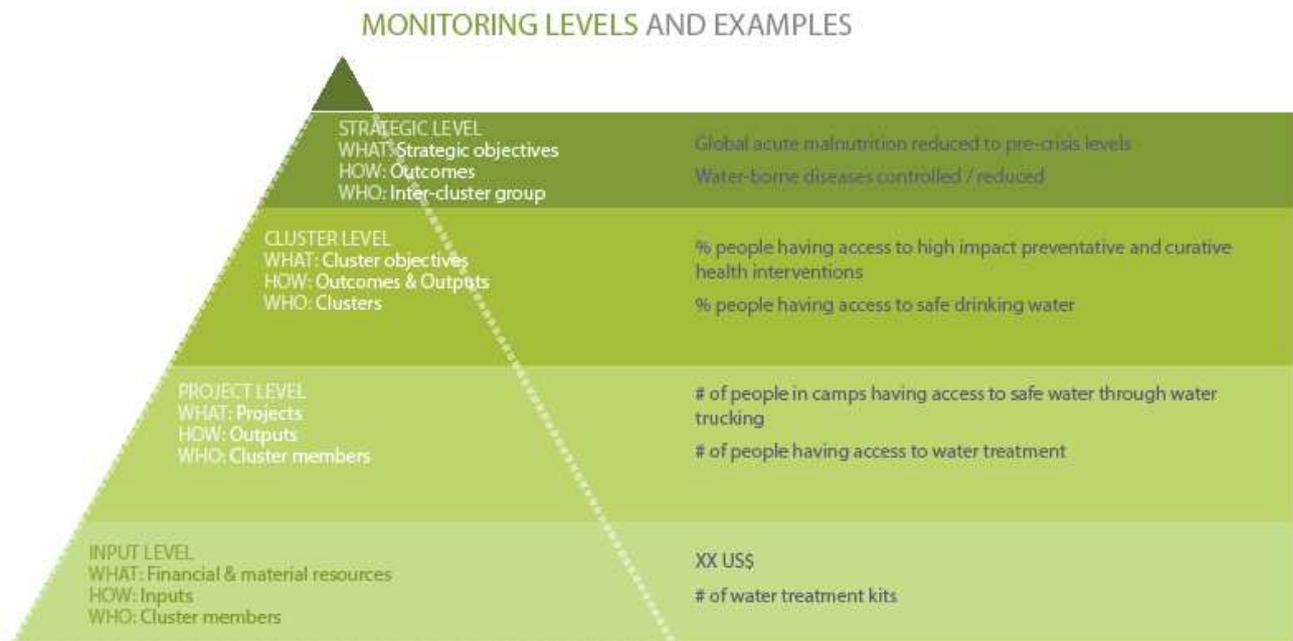
1. strategic level monitoring is based on indicators and targets attached to the strategic objectives,
2. cluster level monitoring is based on indicators and targets attached the cluster objectives, and
3. project (or activity or field) level monitoring is based indicators and targets attached to cluster activities.

The preparation for response monitoring is therefore done at the time of drafting the HRP and what is agreed upon at that stage serves as the basis for all monitoring and reporting efforts throughout the HRP cycle.



## The Humanitarian Response Monitoring Framework

For each humanitarian crisis having a HRP, the humanitarian community should jointly set up and manage a **Humanitarian Response Monitoring Framework**. The monitoring framework is a set of practices, performed by all humanitarian actors, that facilitates the collection and analysis of data on the collective humanitarian response along the year, for producing reports with key findings at scheduled intervals, to inform the clusters, inter-cluster coordination group and HC/HCT. The framework has four levels, linked to the results chain, each with a specific purpose. The upper three levels cover outputs and outcomes and the lower level corresponds to inputs.



For protracted crises the input level relies on financial tracking, as human and material resources derive from it.

The project level captures the outputs from individual organisations’ projects, pertaining to cluster output indicators.

The cluster level aggregates the results from cluster members’ projects, and collects data on the cluster outcome indicators attached to the cluster objectives. The overall findings from the indicators are analysed to gauge progress toward each cluster objective.

At the strategic level the inter-cluster coordination group brings together the results of cluster-level data (both output and outcome) and any inter-cluster level outcomes to measure progress against strategic objectives.

### The Humanitarian Response Monitoring Framework Document

At the planning stage, the humanitarian community establishes its **Humanitarian Response Monitoring Framework**, based on the strategic objectives, cluster objectives and activities, with the corresponding indicators and targets as set out in the HRP.

The monitoring framework document broadly defines what will be monitored; how and when; who is responsible for monitoring and analysing what; how and when monitoring information will be reported; what key actions will be taken; and what resources are necessary for successfully monitoring the humanitarian response. All humanitarian actors should participate in the design and execution of the monitoring framework, and ensure they have the capacity to perform their part of the monitoring activities. The

### Field Monitoring

Field monitoring intends to assess the quality of the response, timeliness of delivery, access to services and the perspective of emergency affected people, taking diversity into account. Field monitoring can be conducted through visits to implementation sites or through remote exercises. Organising field monitoring exercises does not fall within the scope of the monitoring framework and is not the role of the cluster coordinators.

It is anticipated that, cluster members have some form of field monitoring practice in place, but that they differ and would benefit from harmonisation. A harmonised approach would enable sharing and collation of collective field monitoring findings and where possible, sharing of data collection efforts. This approach could entail the identification of common indicators that could be monitored within a cluster. The approach should be discussed and agreed upon within the cluster.

framework document should be prepared by the inter-cluster coordination group with contributions from the clusters, and endorsed by the HCT, who will ensure adequate resources are allocated to the monitoring activities<sup>5</sup>.

## Roles and Responsibilities

The application of the monitoring framework relies on a set of predictable steps with an even distribution of the workload and a commitment from all involved. Below is a summary of roles and responsibilities with further elaboration on these in the following pages.

HC and HCT	
<p>The <b>Humanitarian Coordinator</b> will oversee finalization and implementation of the monitoring framework, as well as agreement on ground rules for corrective action in instances where monitoring reveals challenges.</p> <p>The <b>HCT</b> is responsible for ensuring the monitoring framework fully measures the prioritized, collective humanitarian response set out in the strategic objectives and will determine the periodicity for reporting. The HCT will identify options for securing the resources for conducting monitoring efforts at the scale required. It will ensure that monitoring findings feed into its decision-making and endorse findings for public use.</p>	
OCHA	Cluster Coordinator (with support, contributions and engagement of cluster members)
<ul style="list-style-type: none"> <li>Facilitates, in the inter-cluster coordination group, the selection (or revision) of indicators and associated targets for measuring strategic objectives, establishing, based on the clusters' decisions, for each indicator, the responsibility for monitoring, the method for monitoring and the frequency of data collection.</li> <li>Prepares a draft humanitarian response monitoring framework, building on the agreements in the inter-cluster coordination group and submissions from clusters, for review and endorsement by the HC/HCT.</li> <li>Compiles information for measuring progress against strategic objectives and interpreting results in the inter-cluster coordination group.</li> <li>Prepares the Periodic Monitoring Reports (PMRs), with the inter-cluster coordination group for the HC/HCT.</li> <li>Disseminates any public monitoring reports, making the report available online on the country's website.</li> </ul>	<ul style="list-style-type: none"> <li>Represents the cluster in the inter-cluster coordination group for selection of indicators and formulation of targets for strategic objectives, agreeing for each indicator, on responsibility for monitoring, the method for monitoring and the frequency of data collection.</li> <li>Engages with cluster members to determine pertinent indicators for measuring cluster objectives and activities ; methods for monitoring ; and the frequency of data collection for each indicator, securing commitment from member organisations on taking responsibilities for monitoring.</li> <li>Compiles cluster member contributions for tracking output indicators and data collected for cluster outcome indicators, facilitating a review of the data for determining the progress made against cluster objectives.</li> <li>Ensures that cluster contributions for the PMR are provided.</li> <li>Ensures that information on cluster level indicators selected for measuring strategic objectives is provided on time.</li> <li>Represents the cluster in the inter-cluster coordination group for reviewing and analysing the totality of data collected, in order to measure progress, and make any recommendations.</li> </ul>

<sup>5</sup> For more information on the Humanitarian Response Monitoring Framework see: <http://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-response-monitoring-framework-template>

# THE THREE STAGES OF RESPONSE MONITORING:

## PREPARING, MONITORING & REPORTING

This section outlines the roles and responsibilities during the three stages of response monitoring:

### Preparing

This is the preparation of the monitoring framework, at the same time as the HRP. The clusters prepare their monitoring plans, selecting indicators and targets attached to cluster objectives and activities, and determining who will monitor them, when and how. The inter-cluster coordination group does the same for the indicators and targets attached to the strategic objectives. This is presented in a document called *country X humanitarian response monitoring framework*, submitted to the HCT for endorsement.

### Monitoring

This is the collection, aggregation and analysis of the monitoring data, throughout the implementation of the HRP, as laid out in the country's monitoring framework.

### Reporting

This is the release of the collective response monitoring information in reports, including the Humanitarian Dashboard and the Periodic Monitoring Report (PMR), where monitoring findings are analysed and presented with a set of recommendations for any corrective action.

### Accountability to Affected People (AAP)

The views and contributions of people affected by crises should be incorporated into all phases of the HPC and can be embedded in the humanitarian response monitoring framework in a variety of ways.

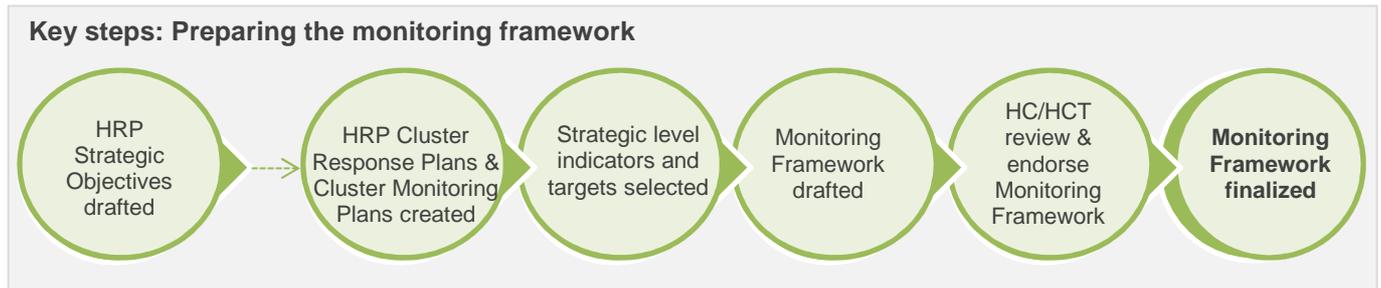
In the preparatory stage, clusters can ensure community based organizations participate in discussions on indicators and targets; harmonization of monitoring methods; mechanisms for affected people to provide on-going feedback safely; reporting frequencies and formats; and the use and dissemination of findings.

Clusters and the inter-cluster coordination group should consider selecting outcome indicators that capture the perspectives of affected people and their diversity, as well as their satisfaction with humanitarian assistance, including the appropriateness and quality of goods, services and engagement.

When gathering monitoring data, clusters and the inter-cluster coordination group should, to the extent possible, involve community based organisations and local communities in any field data collection exercises.

Clusters and the inter-cluster coordination group can devise a coordinated plan for disseminating information from the monitoring exercises to affected people; for example through radio spots, local websites, public forums, etc., informing them of what has been delivered and what lies ahead.

## I: Preparing: Organising the monitoring framework



### Cluster Members

- Organizations, as members of respective clusters, should participate in the preparation of cluster monitoring plans, which includes selecting a set of indicators to monitor cluster objectives and activities, setting targets for each indicator and determining tools for data collection and timelines for reporting.
- Each organization should align their project activities' indicators and targets with those selected for the cluster response plans.
- Members should put in place an internal approach for field monitoring activities, and participate in discussions on harmonization at cluster level of field monitoring and feedback mechanisms from affected populations.
- Members should ensure that adequate resources are budgeted for conducting their part of the monitoring work, including submitting output results at the agreed upon frequencies and any commitments to the collection of outcome-level data.

### Cluster Coordinators and Members

#### Cluster Objectives:

- During the preparation stage, the cluster, as part of its cluster response plan in the HRP, will set three to five **cluster objectives**, linked to one or more of the HRP strategic objectives. Cluster objectives will articulate the outcomes or result that the cluster intends to achieve.
- For measuring its cluster objectives, the cluster will select **indicators** and define corresponding **targets** (with baselines). The indicators should ideally be outcome indicators or alternatively, aggregated output indicators. For each objective no more than three indicators should be selected with at least one being at the outcome level.
- The cluster will establish responsibilities for **data collection and reporting**, of any cluster-level outcome indicators, determining how data will be collected, by whom and at what frequency. The data may be collected by member organisations, an external agent, or through a joint cluster exercise.

### Monitoring Tools

At all levels of the monitoring framework proper tools are required. A set of tools currently exist from which response monitoring can draw, such as Who, What, Where databases (3W), Financial Tracking Service (FTS), Online Project System (OPS), ORS, LOGIK, humanitarian indicator registry and cluster-specific tools, while others are in development.

These tools are managed by OCHA or the Global Clusters, and can be used for monitoring activities. However, there is not, at present, a common global coherent approach on a set of complementary tools supporting the full monitoring framework. Discussions are on-going for the gradual installation of a global coherent approach, building on existing tools. Future versions of this guidance will more precisely make recommendations on tools to be used as they become available.

In the meantime, in each country, OCHA and cluster coordinators should establish the best transitional approach that will provide actors tools that allow them to conduct their monitoring activities.

#### Activities:

- Under each cluster objective a set of **activities**, necessary for reaching the objective, will be laid out.
- The cluster will select a set of **output indicators** and determine **targets** (with baselines) for each activity.
- An activity may be attached to two indicators with targets: one in terms of a material result (*# of kits distributed*), and one in terms of the assisted population (*# of beneficiaries*).
- The cluster will establish responsibility and a frequency of measuring these output indicators, and prepare simple tools, for cluster members to submit their output results.

- For both cluster objectives and cluster activities, suggested indicators can be found in the humanitarian indicator registry.
- The cluster should ensure the **diversity of people affected** by the crisis is adequately reflected in the selection and definition of all indicators and targets.
- If possible, a harmonized approach will be discussed and agreed upon within the cluster for **field monitoring** and any established communication channels for receiving feedback from affected people. The approach could include harmonized indicators for comparing and sharing findings.
- A process will be established for aggregating all cluster-level data, and the cluster will estimate the required resources for conducting the monitoring work.
- The cluster's agreements from the above process will be compiled into a cluster monitoring plan, for inclusion in the monitoring framework, and possibly in the detailed cluster response plan.

### Inter-Cluster Coordination Group

- As part of the development of the HRP, three to five **strategic objectives** will be articulated. This establishes the "frame" for all detailed planning, and for monitoring. A strategic objective is a high-level, medium-term result or change that the humanitarian community intends to achieve over the planning period.
- Each HRP strategic objective will have three to five **outcome indicators**, with associated targets (and baselines). The indicators, and concomitant targets, should encapsulate the desired condition of the affected population at the end of the planning period.
- The inter-cluster coordination group will select the outcome indicators most appropriate for measuring progress towards strategic objectives, establishing targets for each. Generally, strategic objectives are measured by outcome indicators. However, output level indicators which have already been identified by one of the clusters and are being collected as part of the cluster response plan, may be used. It is not necessary that every cluster have an indicator for each strategic objective, but that the indicators meaningfully measure progress towards the objective. The group should propose definitions for the 'statuses' to be used in determining if an indicator is on target.
- Responsibilities will be established for **collecting data** on any inter-cluster level outcome indicators determining how the data will be collected, by whom and at what frequency. The data may be collected by individual organizations, an external agent or through a joint inter-cluster exercise.
- The inter-cluster group will agree on the methods and tools to use for analysis of inter-cluster data and will propose a **monitoring report schedule** in consultation with clusters. See section below on Reporting for a typical reporting schedule.
- The group will estimate the required resources for the monitoring work, and examine how these can be funded, if additional funding is necessary.
- The group should also identify possible challenges to good monitoring (field data collection, lack of tools for registering results, data storage, lack of analysis skills, lack of resources dedicated to monitoring) and propose solutions to address them (training, improving data tools, advocating for better resources, etc.)
- The inter-cluster group's agreements will be compiled into a monitoring framework document, for presentation to the HC and HCT.
- The work of the inter-cluster coordination group on preparing the monitoring framework will be facilitated and supported by OCHA, including production of the final monitoring framework document.

### Pooled Funds

The Central Emergency Response Fund (CERF) and, where they exist, Country-Based Pooled Funds (CBPFs), are important funding mechanisms for humanitarian response activities, which support a coordinated, strategic and timely response in line with the HRP Strategic Objectives .

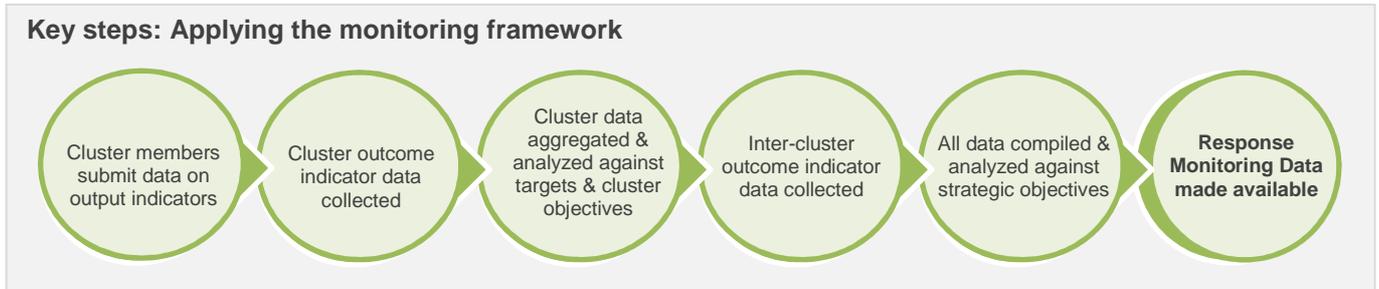
Within the monitoring framework, it is important to consider the contributions of pooled funds to the overall collective results. In practical terms, this implies that:

- Pooled fund project proposals should align with the strategic objectives, cluster objectives, project activities, indicators, targets and monitoring methods as established in the HRP and monitoring framework.
- Projects supported by pooled funds should use agreed HRP indicators.
- Funding analysis, as part of the PMR, or as separate reports, should always mention the portion of overall funding received from pooled funds, and how this contributed to the overall results.
- Cluster pages of the PMR, should mention the portion of overall funding received from pooled funds, and how this contributed to cluster results, highlighting specific activities, outputs or outcomes towards which the funds contributed.

**HC and HCT**

- The HC and HCT will review and endorse the monitoring framework, including the reporting schedule, and ensure that resources are made available to implement it.

**II: Monitoring: Applying the monitoring framework along the HRP cycle**



**Cluster Members**

- Using the agreed upon tools, organisations should submit, at the agreed frequency, the results of their activities, against the agreed output indicators.
- Based on any commitments made during the preparation of the monitoring framework, organisations should participate in data collection exercises for outcome-level data.

**Cluster Coordinators and Members**

- The cluster coordinator will compile data from cluster members on output indicators.
- Data on outcome indicators will be gathered at the cluster level, through the mechanisms agreed upon in the preparation of the monitoring framework.
- The cluster coordinator will consolidate the aggregated output results and measured outcome results, facilitating analysis in the cluster to track progress against the targets set out in cluster response plan. The analysis should look at the progress made from the beginning of the HRP to the current reporting date, assigning a ‘status’ to each indicator, based on the agreed upon ‘status’ definitions.
- The cluster will make data available for production of the PMR and for use by cluster members. It will identify gaps in monitoring efforts and the steps to take in addressing them.

**Funding Carry-over Effect**

Monitoring reports will look at the results achieved in relation to the funding received over a period of time. However this might be biased by the carry-over effect.

Consider a typical HRP covering a full calendar year. At the end of the year, humanitarian activities do not cease, while organizations wait for funding to arrive against the new HRP to continue relief efforts. Instead, organizations rely on funding from the previous year to continue activities in the beginning of the new HRP cycle. Indeed, projects may start at any moment during a year, and many span across two calendar years.

As a consequence, when preparing a monitoring report for the 2015 HRP, some of the output results reported are actually derived from projects funded the year before. A report presenting the results of 2015 versus the funding of 2015 will therefore provide partially erroneous information.

This is the carry-over effect. It is difficult to correct for, but should be taken into consideration when analysing the results achieved for an HRP compared to the amount of funding received.

### Inter-Cluster Coordination Group

- The preparatory work for collating and analysing monitoring findings will be facilitated and supported by OCHA.
- All monitoring information and analysis prepared at the cluster level will be collated.
- The outcome indicators at the inter-cluster level will be measured and gathered through the mechanisms and frequency agreed upon in the monitoring framework.
- The group will analyse all gathered data. The analysis should look at the progress made from the beginning of the HRP to the reporting date. Analysis of the findings from the indicators associated with the strategic objectives should determine whether each indicator is on track toward to the target, assigning a 'status' to each indicator, based on the agreed upon 'status' definitions.
- The inter-cluster monitoring information will be shared with clusters for feedback and then made available for use by the humanitarian community. They will be the base for the production of the PMR (see below).
- The group will identify any gaps in monitoring and the steps to take in addressing them.

### HC and HCT

- The HC and HCT should ensure that appropriate means are available, allowing all actors involved in monitoring to fulfil their engagements as outlined in the monitoring framework.

## III: Reporting: Presenting monitoring information

Information gathered by the response monitoring efforts will be made publicly available and will feed into a number of reports at various levels (project, organization, cluster, country pooled fund, CERF, ...) and at the level of the HRP. At the level of the whole HRP, two types of reports should be considered:

### The Periodic Monitoring Report (PMR)

The primary product for presenting monitoring information is the Periodic Monitoring Report (PMR). The PMR is based on analysis of the monitoring data, examining whether sufficient progress has been made overall in reaching strategic and cluster objectives and if not why and what can be done to correct this. The report will include progress made against each of the strategic objectives, challenges faced in reaching the set out targets, changes in the context, an analysis of funding and recommendations for actions to be taken. For each cluster, there is a section to elaborate on achievements toward reaching the cluster objectives, any changes in the context, specific challenges faced in meeting the targets and any recommendations to address gaps in response. See the supplementary Periodic Monitoring Report guidance and template.

### The Humanitarian Dashboard

The Humanitarian Dashboard is a concise report for internal and external use, presenting information in graphics on needs, response and gaps at the cluster level. The Humanitarian Dashboard will draw upon data generated from the response monitoring framework and may be produced more frequently than the PMR.

#### What if it's not all good news?

Monitoring the humanitarian response may bring about "bad news." For a host of reasons, targets may not be fully met. In such a situation, two approaches may be taken.

A) Emphasise good news, minimizing the bad, with the idea that under performance should not be disclosed, as it would damage the image of the humanitarian community, possibly diminishing future financial contributions.

B) A more desirable approach is that the "bad news" is told, along with the good, in proper perspective, with the idea that recognising shortcomings allows for correcting them, and that being transparent increases credibility for all reports produced by the humanitarian community. Collecting and analysing monitoring findings at regular intervals allows for early detection of problems and corrective action, which is at the heart of response monitoring. The ultimate reason we are monitoring is to ensure beneficiaries receive the best response possible.

Response monitoring is not a public relations exercise for publicising only positive results. It aims to tell the progress made towards stated objectives, as good or bad as it is, for adjusting response. If monitoring information indicates poor results versus original targets, this should be presented as such. The analysis presented in the PMR should look at the causes of this, which may be "external" to humanitarian actors (such as erratic access or underfunding). But if identified, other causes should also be reported, that are linked to the interventions themselves, such as poor cost-efficiency, or lack of coordination.

## The Reporting Schedule

Based on its needs and capacities, each country should set its own report schedule. The schedule is centred on the production of the PMR, the flagship product for analysing and displaying monitoring findings. The schedule should be discussed during the preparation stage, proposed by the inter-cluster coordination group, endorsed by the HC/HCT, and presented in the monitoring framework document. At a minimum, a country should produce one PMR during the year. Ideally, a country may opt to produce two PMRs during the year, and a Yearly Monitoring Report.

	2016												2017
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN
Humanitarian Response Monitoring Framework													
Humanitarian Dashboard				Jan-Mar			Jan-Jun			Jan-Sep			Jan-Dec
Periodic Monitoring Report				Jan-Mar				Jan-Jul					Yearly report (Jan-Dec)
						GHO			HNO		HRP	GHO	

Each PMR reflects the results from the start of the plan to date. One PMR should come before or around the middle of the year, and allow for corrective action. One PMR should come just before a planning cycle starts (August – September). The Yearly Monitoring Report should be produced at the end of the planning cycle, covering the full period. See the Periodic Monitoring Report guidance for more on the monitoring report schedule.

## Required Resources

A monitoring framework without adequate resources would remain a declaration of intentions that could not be fulfilled. Once designed, the monitoring framework requires that needed resources are provided at the different levels. Below is an inventory of the minimum resources required for successfully preparing and applying the monitoring framework.

### Cluster Members

- Every organization has its own approach to monitoring and reporting of its activities, and ensures their resourcing internally. The monitoring framework requires that these organizations also contribute to the results data collection that will allow tracking progress of the collective response. It is up to each individual organization to provide the manpower necessary for recording the required data, in the format and at the frequency agreed with the cluster.

### Cluster Coordinators and Members

- Cluster coordinators should ensure that adequate tools for data collection are available, allowing cluster members to record their data in a quick and efficient way.
- Clusters should identify resources for collecting cluster outcome monitoring data.
- Cluster coordinators will need to dedicate part of their time to all the monitoring activities that are to be performed at the cluster level.
- An Information Management Officer is needed in the cluster coordination team, to ensure harmonized standards in data collection, aggregation, analysis and reporting for each indicator.

### Inter-cluster Coordination Group

- The inter-cluster coordination group should identify resources for conducting any joint inter-cluster exercises to collect inter-cluster outcome monitoring data.
- OCHA should identify a monitoring officer, in charge of the overall coordination (preparing, monitoring and reporting) of the humanitarian response monitoring framework.
- OCHA must ensure, at the inter-cluster level, the proper functioning of monitoring tools, storage of monitoring data, and production of the various reports.
- As many humanitarian actors are not familiar with response monitoring, trainings could be organised in-country, for all humanitarian actors, introducing the concepts presented in this guidance.

### HC and HCT

- No specific resources are required from the HC and HCT level for performing their monitoring related tasks.

## RESPONSE MONITORING IN THE INITIAL PHASE OF AN EMERGENCY

Response monitoring in a sudden-onset emergency or sharp escalation in an emergency situation is based on the same principles presented in this guidance. However, the context in which monitoring activities will be performed is very different from a protracted crisis. The situation is fast-moving, possibly chaotic, systems and infrastructure may not be fully established, and some basic activities may be difficult (telecommunications, meetings, transport, data systems, etc.). Humanitarian actors are overloaded with work, from conducting needs assessments to delivering assistance and coordinating interventions. Given the time constraints and multiple demands, actions must be decided upon rapidly, leaving little time for well-prepared, nuanced discussions on processes. It is necessary to be quick and efficient. Monitoring activities should be light, designed according to the particular context. The type of monitoring information collected and reported in the first weeks of a crisis will concentrate on inputs and outputs. In time, the focus of monitoring efforts and the content of reports will then gradually transition to outputs and outcomes.

### 1) The first days of an emergency: Collecting basic monitoring data

Data collected has two audiences, serving two different purposes:

- *Internally, to provide information for humanitarian actors*  
The coordination of aid, by the HC/HCT, clusters, inter-cluster coordination group and OCHA, needs to be based on real-time information of the resources received and assistance delivered, for a continuously updated understanding of the diverse needs of people affected by the emergency, the response and gaps, in order to channel resources in the best possible way.
- *Externally, to provide information outside the humanitarian community*  
The national government, donors, media and general public, all need to know what is being done in terms of aid delivered to affected people.

#### Input tracking

*Financial resources* will be tracked by OCHA through FTS, throughout the crisis, counting on all actors to provide funding information.

*Material resources* should be tracked for the first weeks of a crisis, as information important to humanitarian actors themselves, and reported through the clusters.

#### Output tracking

Clusters should agree on a few output indicators, relevant to their emergency activities, that will be collected and aggregated at the cluster level, in as real-time as possible.

OCHA will aggregate the data from all clusters for reporting on inputs and outputs.

#### Reporting

Every context is specific. The HCT should quickly establish its own reporting schedule, deciding the types of reports needed and their frequency.

Reporting on inputs should start on a daily basis, moving in time to weekly then monthly. Initially, the daily **Situation Report**, produced by OCHA in collaboration with humanitarian partners, may be the best product in which to report updated information on inputs and outputs. When possible, **Humanitarian Dashboards** will be produced, providing an easy-to-read summary of the situation, needs, response and gaps.

A **PMR** is only be expected 60 days after the occurrence/escalation of the emergency.

### 2) Thirty days and beyond: Preparing and applying the Humanitarian Response Monitoring Framework

If the emergency response goes beyond 2 months, the humanitarian community should prepare a revised Flash Appeal, or a Humanitarian Response Plan. In that case, the inter-cluster coordination group should prepare a monitoring framework, according to the recommendations laid out in the present monitoring guidance, indicating how response monitoring will be performed, establishing roles and responsibilities, proposing a monitoring report schedule, and indicating resources required for the framework.

A first PMR should be considered to cover the first 90 days of the crisis.

# ANNEXES

## Annex I: Terminology

<b>Activities</b>	Actions that need to be done within a defined period of time to produce outputs.
<b>Baseline</b>	Tells the prevailing situation before an activity is implemented. It is expressed by a known value, in reference to an indicator.
<b>Evaluation</b>	The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned. (Source OECD DAC)
<b>Impact</b>	The positive and negative, primary and secondary long-term effects produced by a development or humanitarian intervention, directly or indirectly, intended or unintended. (Source OECD DAC)
<b>Indicator</b>	The quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an actor. (Source OECD DAC)
<b>Inputs</b>	The financial, human and material resources used for an intervention. (Source OECD DAC)
<b>Objectives</b>	The intermediate results or changes that the humanitarian community needs to achieve over the designated period of an HRP. It summarizes what the result of the concerted action should be and who will benefit from the result.
<b>Outcomes</b>	The likely or achieved short-term and medium-term effects of an intervention's outputs (Source OECD DAC). Outcomes can be intra-cluster, requiring multiple outputs from one cluster, (e.g. Defecation free environment) or inter-cluster, requiring outputs from multiple clusters, (e.g. Decreased incidence rate of Cholera.)
<b>Outputs</b>	The products, capital goods and services which result from an intervention and may also include changes which are relevant to the achievement of outcomes (Source OECD DAC). Output monitoring measures the delivery of goods and/or services to a targeted population, (e.g. % of people who need tents that receive them).
<b>People covered</b>	The number of people whose needs have been met.
<b>Results</b>	The output, outcome or impact (intended or unintended, positive and/or negative) of a development or humanitarian intervention. (Source OECD DAC)
<b>Results chain</b>	The causal sequence for an intervention to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. (Source OECD DAC)
<b>Target</b>	The result that is reached for within a specific timeframe, expressed by an expected value referring to an indicator. It expresses what is considered necessary and realistically feasible supposing adequate funds are provided.

## Annex II: Useful links

### **All guidance's and tools about Response Monitoring :**

<http://www.humanitarianresponse.info/en/programme-cycle/space/page/monitoring-overview>

### **Humanitarian Response Monitoring Guidance :**

<http://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-response-monitoring-guidance>

### **Humanitarian Response Monitoring Framework template :**

<http://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-response-monitoring-framework-template>

### **Periodic Monitoring Report template and guidance :**

<http://www.humanitarianresponse.info/programme-cycle/space/document/periodic-monitoring-report-guidance>

### **Humanitarian Dashboard template and guidance :**

<http://www.humanitarianresponse.info/programme-cycle/space/document/humanitarian-dashboard-guidance>

### **Humanitarian Indicators Registry :**

<http://www.humanitarianresponse.info/applications/ir>

### **Indicators Guidance :**

<http://www.humanitarianresponse.info/en/programme-cycle/space/document/indicators-guidance>

### **Sample Strategic Objectives with indicators :**

<http://www.humanitarianresponse.info/programme-cycle/space/document/sample-strategic-objectives-and-indicators>

### **Sample Cluster Objectives with indicators :**

<http://www.humanitarianresponse.info/en/programme-cycle/space/document/sample-cluster-objectives-indicators>