

# CHAPTER 7

## MONITORING AND EVALUATION

Monitoring and evaluation mechanisms are essential for developing effective programmes to prevent and respond to sexual and gender-based violence. They enhance accountability, one of the Guiding Principles described in Chapter 2, and are part of the Framework for Action described in Chapter 6. These mechanisms are most effective when developed by all sectors, including the refugee community, working together.

Members of the multi-sectoral team should take the following six actions when developing a monitoring or evaluation system: determine the purposes of the monitoring and evaluation mechanisms and assess information needs; ensure prevention and response interventions have clearly defined objectives, outputs and indicators; establish co-ordinated and common reporting tools; determine methods for obtaining information on indicators; assign responsibilities for information gathering, determine time frame and frequency of data collection, and allocate resources; establish mechanisms for sharing information and incorporating results into prevention and response planning.

### Defining Monitoring and Evaluation

Monitoring and evaluation are two distinct, but interrelated, activities.

**Monitoring** is the ongoing review, conducted by the multi-sectoral team, of prevention and response interventions to determine whether they are developing according to plan and budgetary requirements and whether any adjustments may be needed so they achieve their intended goals. Effective monitoring includes a co-ordinated reporting system.

**Evaluation** is an analysis of the relevance, effectiveness and efficiency of the multi-sectoral team's prevention and response strategies. Evaluation systematically assesses the protection impact of the policies, programmes, practices, partnerships and procedures on refugee women, men, boys and girls. Evaluation criteria can include the sustainability of prevention and response activities, co-ordination and consistency, and the effectiveness of monitoring and reporting systems.

## Purposes of Monitoring and Evaluation Mechanisms

### **Comprehensive monitoring and evaluation mechanisms:**

- Help actors to determine the protection impact of prevention and response activities.
- Assess the quality of prevention and response interventions and whether they are achieving their objectives.
- Can highlight changes in the environment that affect rates of sexual and gender-based violence.
- Identify good practices, derive lessons from operational experience and can help improve performance.
- Can encourage team building, foster transparency and enhance accountability to refugee women, men and youth and to donors.

### **Effective monitoring answers these questions:**

- Are we achieving what we intend? How? Why or why not?
- What are the obstacles to implementation?
- Are we co-ordinating effectively?
- What are the implementation gaps? How are we going to address them?

### **Effective evaluation answers these questions:**

- What did we do?
- What did we achieve?
- Did we achieve what we intended?
- What have we learned?
- Are we fully addressing the causes of sexual and gender-based violence? If not, what are the gaps?
- Are we fully addressing the consequences of sexual and gender-based violence? If not, what are the gaps?
- What else is needed?

## Types of Monitoring and Evaluation Mechanisms

**Monitoring and evaluations can vary in scope, depth and focus.** They can be directed at policy, a function, a programme, at practices (such as reporting, referral, planning or budget practices) or at a specific intervention.

**Monitoring and evaluation mechanisms apply to all levels of prevention and response interventions, including those aimed at the individual, community or social/legal/political structures.** Monitoring and evaluation can also be applied to sectors, i.e. to the sum of prevention and response activities mechanisms in the areas of health, psycho-social, safety/security and legal/justice.

**Monitoring and evaluations can be conducted at any stage of an operation.** Monitoring is most effective when done on an ongoing basis; programme evaluations are best conducted annually. Evaluations conducted at an early stage of an operation can provide information for a situation analysis. Monitoring done throughout an operation can enable managers to ensure that agreed actions are proceeding as intended. Evaluations conducted at the end of an operation help to assess what was accomplished and to identify good practices.

### See also:

- [Real-time Humanitarian Evaluations: Some FAQs \(UNHCR 2002\)](#)

## Designing Monitoring and Evaluation Systems for Programmes Targeting Sexual and Gender-Based Violence

As the Guiding Principles described in Chapter 2 suggest, it is important to encourage wide participation in designing monitoring and evaluation systems. A multi-sectoral approach, including participation by the refugee community, enhances learning, builds ownership and promotes transparency among the actors involved. This is especially important when discussing the purpose of monitoring and evaluation and how the information will be used, analysed and affect ongoing planning.

Actors must recognise that some groups face obstacles to participating in this process. Refugee women and children, for example, often lack the authority to share their opinions in these kinds of settings. Special arrangements may be needed to ensure that refugee youth, and especially groups at risk (see Chapter 5), are involved in designing these systems. The situation analysis recommended in Chapter 2 will highlight some of these issues. Once all actors are alerted to these potential obstacles, they can work to overcome them.

There are six actions that should guide the development of a monitoring or evaluation system:

1. Determine the purposes of the monitoring and evaluation mechanisms and assess information needs.
2. Ensure prevention and response interventions have clearly defined objectives, outputs and indicators.
3. Establish co-ordinated and common reporting tools.
4. Determine methods for obtaining information on indicators.
5. Assign responsibilities for information gathering, determine time frame and frequency of data collection and allocate resources.
6. Establish mechanisms for sharing information and incorporating results into prevention and response planning.

**See also:**

- **Planning and Organising Useful Evaluations (UNHCR 1998)**

**ACTION 1:**

**Determine the Purposes of the Monitoring and Evaluation Mechanisms and Assess Information Needs**

The multi-sectoral team should discuss and agree on the purposes of a monitoring and evaluation system. This will determine what reporting systems are needed, how often these mechanisms are used, and how they will influence ongoing prevention and response planning.

To assist in developing a consensus on the purposes of a monitoring and evaluations mechanisms, it may be useful to determine the information needs of each actor/sector. This information needs assessment can be developed in the form of a matrix and can be organised according to sector or according to the actors involved.

**Example:**

<b>Multi-sectoral team actors</b>	<ul style="list-style-type: none"> <li>• Information needs</li> </ul>
<b>Beneficiary group/target population</b>	<ul style="list-style-type: none"> <li>• Impact on well being</li> <li>• Problems in accessing services</li> <li>• Ability to participate and affect decision-making</li> </ul>
<b>Field staff</b>	<ul style="list-style-type: none"> <li>• Results of activities</li> <li>• Problems affecting activities/group performance</li> <li>• Progress according to work plan</li> <li>• Assessed risk factors for sexual and gender-based violence</li> </ul>
<b>Co-ordinators/supervisors</b>	<ul style="list-style-type: none"> <li>• What are the results?</li> <li>• What are the problems encountered by field staff?</li> <li>• What is the progress according to work plan?</li> <li>• Performance of field staff</li> </ul>
<b>Project management</b>	<ul style="list-style-type: none"> <li>• Effectiveness and efficiency of strategies</li> <li>• Have expected results been achieved?</li> <li>• Positive and negative effects on men and women</li> <li>• Implementation progress</li> <li>• External factors influencing performance</li> <li>• Internal weaknesses affecting results</li> <li>• Efficient and effective use of resources</li> </ul>
<b>Funding agencies/partner organisations</b>	<ul style="list-style-type: none"> <li>• Extent to which the objectives/goals have been reached</li> <li>• Project strategies</li> <li>• External factors influencing project performance</li> <li>• Sustainability of project results at target group and institutional level</li> </ul>

**ACTION 2:****Ensure Prevention and Response Interventions have Clearly Defined Objectives, Outputs and Indicators**

Each intervention should have clear objectives which should be operationalised in outputs, impact and performance indicators. These objectives, outputs and indicators provide a systematic way of describing the protection impact of sexual and gender-based violence prevention and response interventions. Indicators also suggest what data should be collected and what reporting mechanisms are needed.

**To establish objectives:**

Objectives should refer to the desired result and protection impact of each programme intervention that contributes to the achievement of the programme goal.

**Example:** A situation analysis determines that food items are not being distributed equitably. Some groups are not receiving adequate resources and this has increased the risk of sexual and gender-based violence and sexual exploitation.

The objective would be to review current food distribution processes with the aim of reducing the risk of sexual and gender-based violence and ensuring greater gender equality.

Note: Objectives should be described in terms of the positive changes that will occur in the condition of the refugee population. They can aim for improved co-ordination, improved mechanisms for response, increased awareness of the community or better partnerships for gender equality with men.

#### **To establish outputs:**

Outputs are specific and concrete achievements. To help identify desired outputs, describe what needs to be done to achieve the objectives.

**Example:** If the objective is to increase women's representation on food distribution committees, one output might be to review and change the terms of reference of food distribution committees to ensure women's representation.

#### **To establish performance and impact indicators:**

Indicators are measurement tools that help to define what will be evaluated or monitored and record the achievement of intended results. Both **qualitative** and **quantitative** indicators are needed for assessing the protection impact of prevention and response interventions. Quantitative indicators are those that can be easily monitored over time and through reporting forms. Qualitative indicators help to highlight good practices, outline the difficulties encountered and identify gaps in prevention and response measures.

UNHCR works with two types of indicators: impact and performance indicators.

**Impact indicators** are used to help measure change in welfare and behaviour as well as changes in systems and institutions. Impact indicators tend to be more qualitative, measuring the intended changes to people's judgments and perceptions about a subject. Impact indicators relate to objectives.

**Example:** If the objective is to increase women's participation on food distribution committees, an impact indicator might be that women on the food distribution committees perceive they are making meaningful contributions to the decision-making process.

**Performance indicators** tend to be more quantitative. Performance indicators relate to outputs.

**Example:** If the output is to review and change the terms of reference of food distribution committees to ensure women's participation, the performance indicator might be that women's participation on the food distribution committees increases from 30 to 50 per cent.

**All indicators should be disaggregated by sex and age.** Wherever possible, indicators should specify other aspects of the target population, including ethnic group, location (urban or rural areas, camps), or by risk groups.

**See also:**

- **Project Planning in UNHCR: A Practical Guide on the use of Objectives, Outputs and Indicators (UNHCR 2002)**

### ACTION 3:

#### Establish Co-ordinated and Common Reporting Tools

Reporting tools provide systematic and consistent ways of gathering information on the above indicators. It is important to develop reporting tools common to all organisations within sectors (e.g. all health providers should collect the same set of minimum information).

The multi-sectoral team should begin by identifying all current reporting, record keeping systems, data summary sheets, and monitoring and evaluation systems used by the different actors and in each sector.

In considering existing reporting tools, such as the monthly health NGO/community services/ UNHCR protection reports, sitreps, annual protection reports, and country operations plans, the team should assess the initial reporting situation and what changes are needed to include information on sexual and gender-based violence prevention and response activities. It is important that these various reports describe the progress made, the challenges and problems that remain and the monitoring and evaluation mechanisms in place.

**All reporting tools discussing the protection impact of prevention and response mechanisms should be gender- and age-sensitive.** This means identifying the different impacts of interventions on refugee women, girls, men and boys.

## Sample Reporting Tools

### The Incident Report Form and the Monthly Sexual and Gender-Based Violence Report Form

The **Incident Report Form** is an important reporting tool that should be used by all actors. When any incident of sexual and gender-based violence is reported to any actor, there should be a standard format used to record such incidents. Another reporting tool is the **Monthly Sexual and Gender-Based Violence Report Form**. This reporting mechanism is important for tracking the changes in the environment that affect the incidence of sexual and gender-based violence. This report also provides insights into the factors that may perpetuate these acts of violence at the community level. For the monthly report form, keep in mind that data must be compiled for each individual camp/setting; totals provided for the field office, regionally or countrywide are also useful. For sample forms, see Appendices 2 and 3.

## Data Elements of Sexual and Gender-Based Violence Reports

It is essential that certain information be collected in reports. To be effective, all actors must agree on the terminology used so that reporting forms are comparable. All reporting mechanisms must ensure the confidentiality of the victim/survivor and perpetrator.

### Data Elements for Monthly Report Forms:

- Total number of incident reports.
- Types of sexual and gender-based violence perpetrated.
- Number, age and sex of victims/survivors.
- Number, age and sex of perpetrators.
- Number of incidents by location (e.g. house, market, outside camp [indicating where outside the camp]).
- Number of rape victims/survivors receiving health care within two days of incident.

### Data Elements for Legal Form:

- Number of cases reported to the protection officer.
- Number of cases reported to the police.
- Number of cases taken to trial.
- Number of cases dismissed.
- Number of acquittals/convictions.
- Types of sexual and gender-based violence perpetrated.
- Number of rape cases seen within two days by health services.
- Number of cases in which forensic medical evidence was prepared.
- Percentage increase/decrease of number of rape cases by month.
- Percentage increase/decrease of sexual and gender-based violence incidents by month.
- Additional observations.

### Data Elements for Situation Reports:

- Sexual and gender-based violence concerns, issues, and incidents.
- Status of co-ordination and planning.
- Prevention interventions by sector.
- Response interventions by sector.
- Staff/beneficiary capacity training.
- Protection impact: monitoring and evaluation activities.

See Appendix 4 for a sample Medical History and Examination form.

### The Sexual and Gender-Based Report Rate

The sexual and gender-based violence report rate is the number of all sexual and gender-based violence incident reports received in any given period as compared to the total population. To calculate the report rate per 10,000 persons for the month, year or other designated time period:

$$\frac{\text{Number of incidents reported during designated time period}}{\text{Total population during designated time period}}$$

Total population during designated time period

x 10,000 = Incident reports per 10,000 persons during the time period

Comparing the report rate over a period of time allows the team to identify trends. In most settings, it is expected that the report rate will increase over time. Increases in report rates can be indications that victims/survivors are aware of assistance available and that they trust the services and are therefore willing to make reports. It is important to remember that incidents of sexual and gender-based violence go largely unreported. For that reason, increases in the numbers/rates of reports could be a sign of programme success.

#### ACTION 4:

#### Determine Methods for Obtaining Information on Indicators

After establishing the report mechanisms, you can begin to identify what methods will be used to obtain information on the indicators not captured by the report forms. When determining these methods, it is important to consider whether the indicator is qualitative or quantitative.

**Quantitative data** can be obtained through surveys and government/implementing partners' records. Information might also be found through statistical figures on the targeted population. It is important to assess what sources of information are available to the multi-sectoral team from the different actors.

**Qualitative data** can be obtained through interviews, focus groups and by using participatory methods during field assessments.

The views of refugee women, boys and girls should be surveyed through the monitoring and evaluation mechanisms. This qualitative information is important for identifying protection gaps and strengthening prevention and response mechanisms.

#### ACTION 5:

#### Assign Responsibilities for Information Gathering, Determine Time Frame and Frequency of Data Collection, and Allocate Resources

##### Assign responsibilities:

It is important to assign responsibilities for the different parts of the monitoring and evaluation systems.

**Time frames:**

A time frame for all reporting tools should be established. Time frames should also be developed for all other monitoring and evaluation mechanisms. The team should choose time frames that are appropriate to the intervention or programme. Monitoring could be done monthly, using the Sexual and Gender-Based Violence Monthly Report Form; more comprehensive reports could be done annually.

**Determine resources and budget:**

Operation plans and budgets may not allocate sufficient resources for developing and implementing monitoring and evaluation mechanisms. Thus, it is important to determine how much staffing time is required to keep the reporting up to date and to conduct the analysis required. Also consider staff capacities in these areas and whether additional training is needed to develop skills for monitoring and evaluation (e.g. skills in data collection and analysis, field-level implementation of monitoring and evaluation processes and conducting participatory evaluations).

For participatory community-based evaluations, it may be necessary to hire additional staff with the relevant expertise and to consider requirements for ensuring community access to evaluation sessions. These requirements could include interpreters, transportation and childcare. Guidance on community-based evaluations can be obtained from UNHCR's Evaluation and Policy Unit.

**ACTION 6:****Establish Mechanisms for Sharing Information and Incorporating Results into Prevention and Response Planning**

One of the purposes of the monitoring and evaluation mechanisms is to improve performance. To achieve this objective, a consensus should be reached on how information will be shared among and between actors. It is also important to decide which actors are responsible for follow-up and how the results of any monitoring or evaluation mechanism will affect programme planning.

Information sharing strategies include:

- Regular (monthly or bi-monthly) camp/community-level meetings to discuss results of monitoring/evaluation/reporting, assess protection impact, review incident report data, analyse data collection results and survey results from the community, co-ordinate activities, plan next monitoring session, identify obstacles and solutions.
- Monthly field office/sub office/district-level meetings to discuss monthly sexual and gender-based violence report, protection impact of interventions, data collected during interventions, review progress towards indicators as provided by camp/community-level monitoring, and progress towards achieving objectives.
- Regular (perhaps quarterly) country-level meeting to review reports from camp/community-level meetings, field office meetings, data collected on interventions, consider evaluations, and discuss funding issues affecting implementation.

Each meeting will be summarised in a brief written report highlighting the major issues identified, the actions taken and the responsibilities assigned.

## Key Points to Remember

### **Comprehensive monitoring and evaluation mechanisms:**

- Enhance accountability, one of the guiding principles of interventions to prevent and respond to sexual and gender-based violence.
- Are part of the Framework for Action.
- Are most effective when developed by all sectors, including the refugee community, working together.

### **Members of the multi-sectoral team should be guided by six actions when developing monitoring and evaluation systems:**

- Determine the purposes of the monitoring and evaluation mechanisms and assess information needs.
- Ensure prevention and response interventions have clearly defined objectives, outputs and indicators.
- Establish co-ordinated and common reporting tools.
- Determine methods for obtaining information on indicators.
- Assign responsibilities for information gathering, determine time frame and frequency of data collection and allocate resources.
- Establish mechanisms for sharing information and incorporating results into prevention and response planning.

