QUALITY COMPAS

COMPANION BOOK

Acknowledgements

The Quality COMPAS method has been developed by Groupe URD over a five-year period. (1999-2004). This project could not have been undertaken without the enthusiasm and determination of the Groupe URD research team.

Likewise, the support of NGO partners and other aid agencies has been essential. We are particularly grateful for the generous hospitality that has been given to the Groupe URD team in the field over the years, for respondents' willingness to share views and experiences, and agency participation in the first round of tests.

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Introduction to the 2009 version

A certain number of changes have been made to this version of the Companion Book, to reflect ways in which the Quality COMPAS has evolved since its launch: several key questions have been rewritten, model phase reports are now available and critical event monitoring is now presented as a separate tool.

The overall structure of the Quality COMPAS has not been altered. Neither has the principle of achieving quality via specific questions or the quality reference framework: the relevance of these fundamental ingredients of the method has been confirmed over time.

Presenting the Quality COMPAS

The Quality COMPAS is a **Quality Assurance** method that has been designed specifically for humanitarian aid work. It has two uses, project management and project evaluation, and its overall objective is to **continuously improve the quality of services provided to crisis-affected populations**.

12 Quality Criteria
The Quality COMPAS is built around a reference framework: the **project management compass rose**, which is composed of twelve quality criteria defining the quality of a humanitarian project. Each of these criteria has its own indicators and key processes.
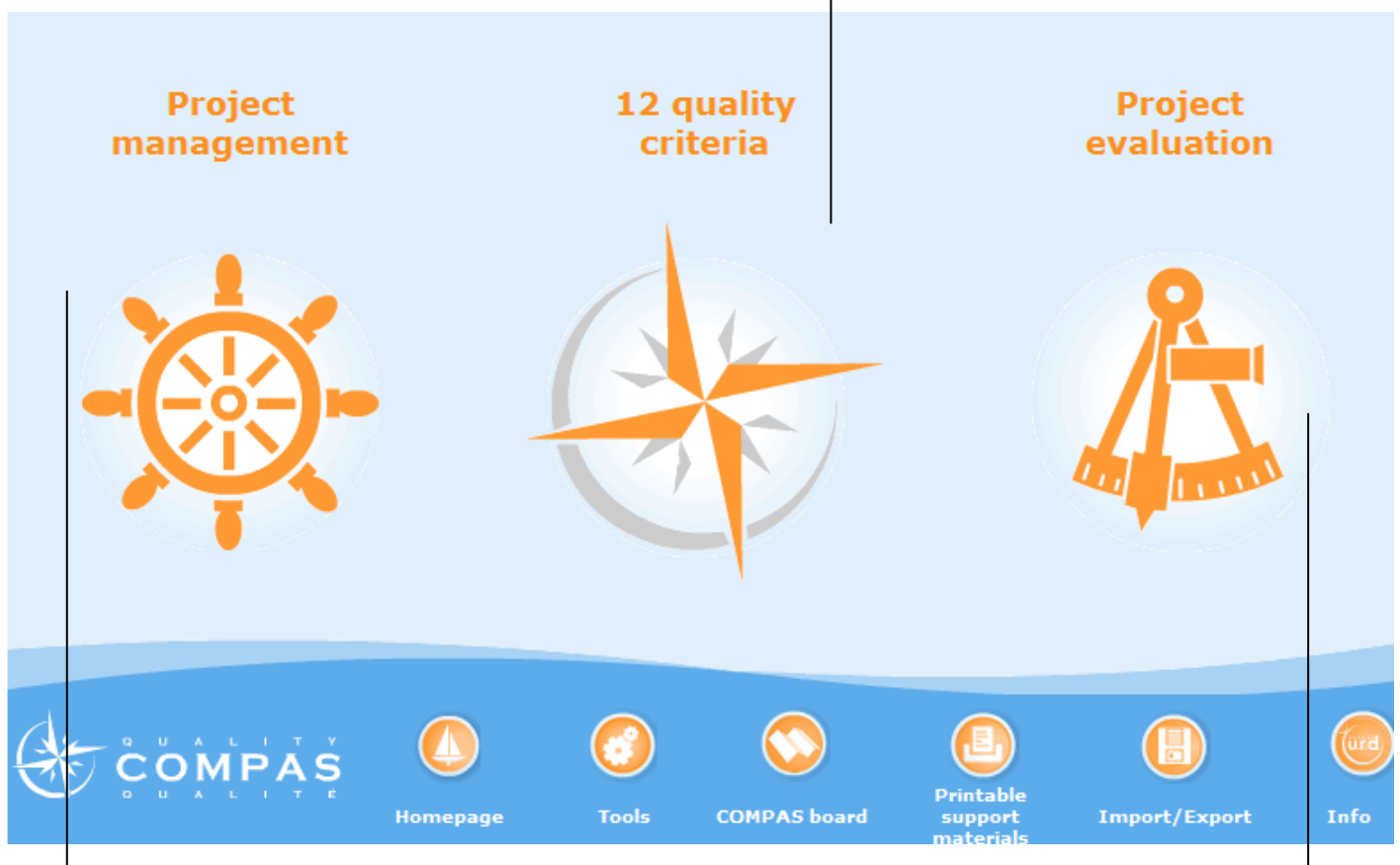
Project Management
For each phase in the project cycle, there is a checklist of key questions. Each key question, raised at a critical point, is based on one of the twelve quality criteria. These elements make up the quality assurance system for project management.

Project evaluation
The same quality assurance system is applied to the evaluation process. For each criterion, there is a series of indicators.

Welcome

The Quality COMPAS Companion Book presents an overview of the Quality COMPAS Method, which is presented in detail in the Dynamic COMPAS software. This Companion Book has been designed for practical use in the field and for facilitating group work.

"Just as a compass
helps navigators
to find their bearings
no matter what the conditions
at sea, so the
Quality COMPAS guides
humanitarian actors
in their project management
and evaluation processes
and can be applied
to any context, type of project
and institution."

Visit the **'Cap sur la Qualité'** website for information on COMPAS tools, user feedback, news, training, etc.: http://www.compasqualite.org/blog/

If you have any comments or require further information,
contact Groupe URD on qualitycompas@urd.org

Quality COMPAS
V9.06-EN

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Affected populations may be directly or indirectly affected by a crisis; they may be victims, and beneficiaries; but they are, above all, actors of their own destiny. Humanitarian action should not be the sole response to a crisis, but when implemented, individuals and communities should be at the very heart of these efforts. The various parties involved in providing assistance are responsible, together, for ensuring that the quality of aid is optimal in accordance with the project context.

12 QUALITY CRITERIA

Criteria and Key processes

A. The project responds to a demonstrated need

A1. People's needs are identified and monitored
A2. The origins of people's needs are analysed and taken into account
A3. The project responds to clearly defined needs
A4. The decision not to address all of the identified basic needs can be justified

B. The project achieves its objectives

B1. Several operational strategies are explored
B2. Constraints are analysed and taken into account
B3. The project measures its progress towards achieving objectives

C. The project removes or reduces the risk of negative impacts

C1 The risk of negative impacts on the environment is anticipated, and removed or reduced
C2 The risk of negative impacts on local economy and of aid dependency is anticipated, and removed or reduced
C3 The risk of negative impacts on the social and political context is anticipated, and removed or reduced
C4 The risk of negative impacts on people's security is anticipated, and removed or reduced

D. The project aims for positive impacts beyond implementation

D1. The project purpose is identified
D2. The project strengthens people's capacity to cope with crises
D3. The post-project period is thought about and planned in advance
D4. Where appropriate, disaster-preparedness and/or prevention strategies are planned
D5. Where appropriate, the project aims for economic and technical sustainability

E. The project is consistent with the agency's mandate and principles

E1. The agency's mandate and principles are clearly defined and are actively communicated, both internally and externally
E2. Political and legal issues relating to the crisis are analysed
E3. The agency makes its position on the crisis clear
E4. The risk of the project being manipulated is identified and, if possible, reduced

F. The project respects the population

F1. Teams are aware of the appropriate behaviour they should adopt in order to show respect for the population
F2. The population is informed, consulted and involved in the project
F3. The project takes into account the cultural, social and religious characteristics of the population

F4. Necessary measures are taken to remove or reduce the risk of frustration and of raising false expectations

G. The project is flexible

G1. Context changes are anticipated and monitored (anticipation)
G2. The project is adapted in relation to context changes (reaction)

H. The project is integrated in its institutional context in an optimal manner

H1. Actors and their activities are identified
H2. Effective coordination links the project with other interventions
H3. Opportunities to cooperate with other actors are explored and utilised

I. The agency has the necessary resources and expertise

I1. Necessary and available resources are estimated correctly
I2. Staff and other people involved in the project have the necessary expertise
I3. An appropriate amount of time is allocated to each phase
I4. The project is compatible with available resources

J. The agency has the appropriate management capacity

J1. Reporting lines and decision-making responsibilities are clearly defined
J2. Good team management enables the project to run smoothly
J3. The methods used for collecting and processing information are appropriate
J4. Administrative, financial and logistics management is effective and transparent
J5. The risks affecting project equipment are identified, taken into account and monitored
J6. The risks faced by your team are identified, taken into account and monitored

K. The agency makes optimal use of resources

**K1**. The chosen strategy ensures optimal impact
K2. Project coverage is optimal
K3. Available resources are mobilised and used rationally

L. The agency uses lessons drawn from experience

L1. The agency records relevant information over the course of the project
L2. The agency learns lessons from experience
L3. The agency uses lessons learnt from experience

Project Management Compass Rose
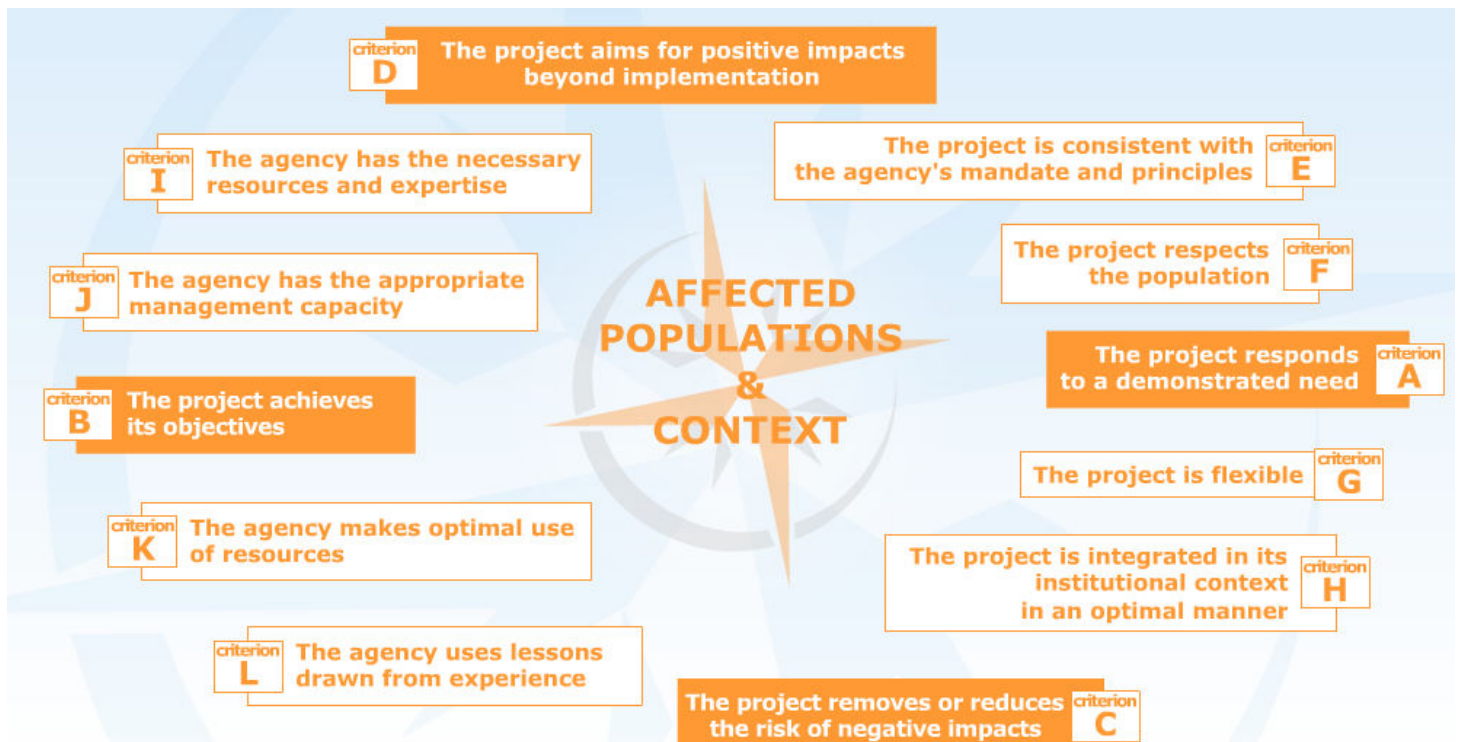
- **Impact** and **results criteria** can be found at each of the four cardinal points. **Affected populations** and **their environment** are central to these criteria.
- To meet these four criteria, there are **eight structure and process criteria**, related to the **project** and the **humanitarian actor**.

The Quality COMPAS is built around a quality reference framework, the **compass rose**, which forms the core of the quality assurance method. The compass rose, composed of twelve criteria that define the quality of a humanitarian project, is centred on crisis-affected populations and their context.

The Quality COMPAS has two uses which stem from this quality reference framework:
- **Project management**. The Quality COMPAS proposes a checklist of key questions organised by project cycle phase (see section on Project Management). Each key question is raised at a specific critical point which may affect one of the twelve quality criteria. The key questions invite the user to reflect on their work and help them to manage project quality. This is the practical application of the quality assurance principle, which has been adapted to humanitarian projects.
- **Project evaluation**. For each of the twelve criteria, the Quality COMPAS proposes a series of indicators which help the user assess project quality. By re-examining project processes and trying to understand why a possible failure or divergence has occurred, users are able to reorient the project and draw valuable lessons. This is the practical application of the continuous quality improvement principle.

A. THE PROJECT RESPONDS TO A DEMONSTRATED NEED

Evidently, responding to people's needs during an emergency or supporting a community that is unable to cope with the effects of a natural disaster or conflict (collapse of the local economy, decline in public services, etc.) is in itself the main justification for all humanitarian projects.

It is by responding to a demonstrated need that agencies translate their very *raison d'être* into concrete action, justifying fundraising efforts, and individual and institutional commitment (and risk taking).

One of the most important issues at stake is understanding people's *real* needs. This entails bringing together the agency's expertise and perception of the situation and the affected population's expectations and requests.

From the affected population's viewpoint, and indeed all stakeholders, this criterion justifies an aid agency's presence in the field. It is the most important motivating factor for individuals and actors alike.

B. THE PROJECT ACHIEVES ITS OBJECTIVES

Achieving project objectives is the key to responding to people's needs and to keeping one's word, given that agencies enter into contractual commitments with donors and are morally committed towards the affected population. This criterion is obviously closely linked to criterion A, i.e. it makes no sense to meet objectives that are not relevant. Assessing whether the project achieves its objectives enables agencies to validate its decisions and operational choices (e.g. target needs, chosen strategy).

C. THE PROJECT REMOVES OR REDUCES THE RISK OF NEGATIVE IMPACTS

Like medical interventions, humanitarian aid can have undesirable side effects. Agencies need to weigh up the expected positive effects and potential negative effects, taking the Hippocratic aphorism 'First, do no harm' as a reference.

If these side effects seem to be a 'necessary evil', the aid agency is responsible, even obliged, to assess and analyse their potential impact and, where possible, remove or reduce the risk. In certain situations, it may be preferable not to initiate an intervention, rather than do more harm than good.

D. THE PROJECT AIMS FOR POSITIVE IMPACTS BEYOND IMPLEMENTATION

As well as providing an effective response to basic needs and taking potential negative effects into account, humanitarian interventions often aim to have a positive impact beyond implementation. Indeed humanitarian aid is provided at a given moment in people's lives or a community's history and they have to think about tomorrow. It is important to save lives today, but preventing people from dying tomorrow, guaranteeing access to public services during the crisis and building resilience for the future gives the project its meaning. Furthermore many projects have other objectives that extend beyond the emergency response, such as providing protection by means of humanitarian presence or bearing witness while carrying out relief activities.

These aspects are often overlooked during evaluations yet are nonetheless extremely important to both volunteers and aid agencies. This criterion is situated at the north cardinal point on the Quality COMPAS, symbolising the direction to be taken, even if the level of institutional responsibility differs from that of other criteria (for example, criterion C 'The project removes or reduces the risk of negative impacts').

E. THE PROJECT IS CONSISTENT WITH THE AGENCY'S MANDATE AND PRINCIPLES

Ensuring that the project is consistent with the agency's values (mandate and stated principles) is fundamental. It opens up the debate on the question of the legitimacy of agencies implementing humanitarian projects.

If the project is coherent with the agency's mandate and principles, the people involved (field workers, decision makers, members of the association, etc.) are more likely to buy into the project and support the agency and agency activities.

Additionally, this may strengthen other actors' (donors, local authorities, parties to the conflict, etc.) understanding and respect for agency's position on the crisis.

F. THE PROJECT RESPECTS THE POPULATION

A project that fails to show respect for the population is unlikely to provide an effective response to people's needs and, indeed, is likely to have a negative effect in the long term.

Conversely, ensuring that the project respects the population promotes local ownership and sustainable impact. Project activities may even continue long after the agency has departed. This means that those involved in the project should be aware of sensitive topics, such as 'fostering a handout mentality', cultural interaction and participation in contexts where a wide range of different cultures, traditions and religions co-exist.

G. THE PROJECT IS FLEXIBLE

In unsettled and complex crisis situations, a project will only be relevant and effective if it is capable of adapting to changes. This implies that the actor must be able to anticipate changes and react appropriately. Even a well-designed project may turn out to be poor quality in the end, simply due to a lack of flexibility.

H. THE PROJECT IS INTEGRATED IN ITS INSTITUTIONAL CONTEXT IN AN OPTIMAL MANNER

Due to the complexity of crisis situations and the range of different actors involved, integrating humanitarian projects into their institutional context is a priority. It is a means of guaranteeing project relevance and effectiveness, and of safeguarding the agency from a number of pitfalls. It also enables agencies to maximise the effects of their projects.

I. THE AGENCY HAS THE NECESSARY RESOURCES AND EXPERTISE

This criterion does not mean to suggest agencies must *only* undertake a project if they have managed to assemble all the necessary resources and expertise at the start of the project. On the contrary, it implies that the mobilisation of these resources allows the agency to carry its project through to a successful conclusion.

If the agency does not possess (or is unable to mobilise or put together) the necessary resources and expertise, project quality is compromised.

J. THE AGENCY HAS THE APPROPRIATE MANAGEMENT CAPACITY

The implementation of humanitarian projects calls for expertise and capacity on a management and operational level (i.e. resources need to be specifically allocated for this task). An agency's management capacity will greatly influence project quality. A well-designed project that has appropriate financial and human resources but that is poorly managed (e.g. financial management, planning, capacity to deal with internal conflict, etc.) may result in failure, or fall well short of expectations.

This criterion aims to establish a balance between the project and the agency's management capacity.

K. THE AGENCY MAKES OPTIMAL USE OF RESOURCES

This quality criterion is closely linked to the question of efficiency. Given that resources are not inexhaustible and that agencies are often faced with an extensive range of needs, making best use of available resources is a question of acting responsibly towards the affected population and ensuring transparency vis-à-vis donors.

A project that responds effectively to people's needs, yet wastes, or uses resources inefficiently, has missed an opportunity to respond to a wider range of needs for a given population group, or to provide assistance to a greater number of people. Project quality will have suffered and this could raise questions both from the affected population, as well as institutional and private donors.

L. THE AGENCY USES LESSONS DRAWN FROM EXPERIENCE

Using lessons drawn from experience is a key quality criterion. It allows actors to tackle quality issues from a Continuous Quality Improvement standpoint. Absolute quality is unattainable; criteria are ambitious values and it is the process of trying to meet these criteria that constitutes a quality approach. But this is only possible if the agency is capable of learning lessons from experience (and maybe by sharing other actors' experiences), and if lessons learnt are re-injected into operations: in other words, if the agency is a learning institution.

Indeed, mistakes may be a valuable source of learning material, if one is prepared to see them as such. Conversely, repeating the same mistakes can seriously compromise the quality of the entire project: 'To err is human, to persist devilish'. Establishing a relationship of trust between the agency implementing a project, the affected population and other stakeholders (including donors) depends primarily upon the agency's ability to demonstrate that it is capable of learning lessons.

PROJECT MANAGEMENT

Preliminary phase — 0

Initial Assessment — 1

Design — 2

Implementation and monitoring — 3
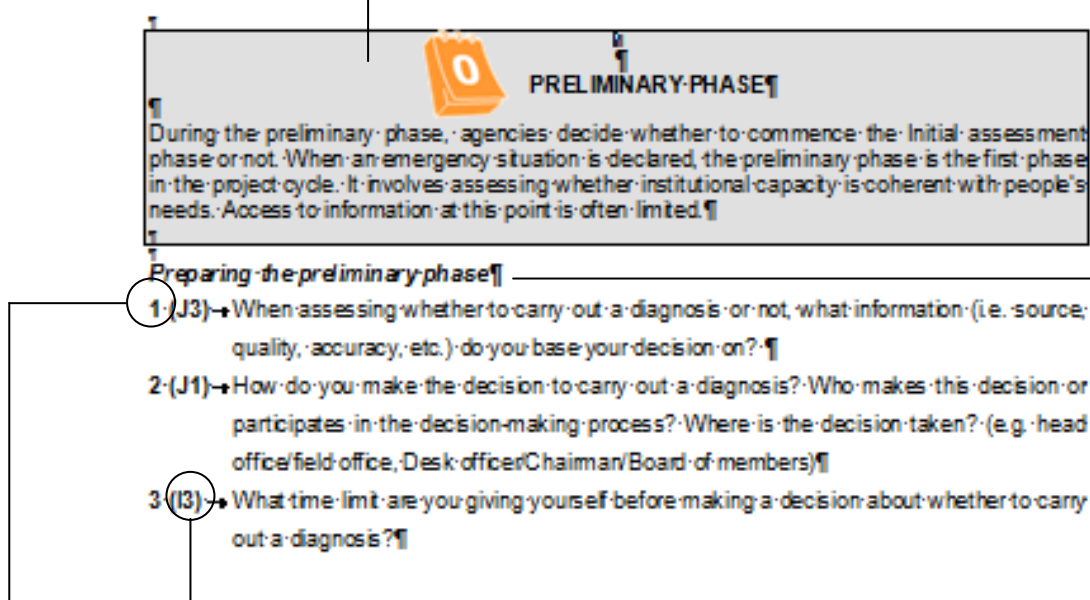
Project closure — 4

User notes

The project management cycle is dealt with in five **phases**.

Each phase in the project management cycle is broken down into **steps**. Each step contains a series of **key questions**.

> **PRELIMINARY PHASE**
>
> During the preliminary phase, agencies decide whether to commence the Initial assessment phase or not. When an emergency situation is declared, the preliminary phase is the first phase in the project cycle. It involves assessing whether institutional capacity is coherent with people's needs. Access to information at this point is often limited.
>
> Preparing the preliminary phase
>
> 1 (J3) → When assessing whether to carry out a diagnosis or not, what information (i.e. source, quality, accuracy, etc.) do you base your decision on?
>
> 2 (J1) → How do you make the decision to carry out a diagnosis? Who makes this decision or participates in the decision-making process? Where is the decision taken? (e.g. head office/field office, Desk officer/Chaiman/Board of members)
>
> 3 (I3) → What time limit are you giving yourself before making a decision about whether to carry out a diagnosis?

Each key question is assigned a **number** (i.e. this is the first question in the preliminary phase).

Each key question is based on one of the twelve quality **criteria** and, more specifically, one of the criterion's **key processes**.
In this example, the key question is based on **Criterion I. The agency has the necessary resources and expertise** and **Key process I3. An appropriate amount of time is allocated to each phase**.

Each **key question** is raised at a specific **critical point**. Critical points are activities or factors that must be controlled in order to prevent identified hazards from affecting one of the twelve quality criteria, and hence the overall quality of the project.

These **key questions** invite the user to reflect on their work and identify the most appropriate response, according to the context, the culture of the affected population, the organisation and the type of project being implemented.

The interactive version of the Quality COMPAS provides numerous examples, tips and tools to guide the user in their reflection. This Companion Book is an abridged version and users are advised to consult the Dynamic COMPAS software for further information.

PRELIMINARY PHASE

During the preliminary phase, agencies decide whether to commence the Initial assessment phase or not. When an emergency situation is declared, the preliminary phase is the first phase in the project cycle. It involves assessing whether institutional capacity is coherent with people's needs. Access to information at this point is often limited.

Preparing the preliminary phase

1 (J3) When assessing whether to carry out a diagnosis or not, what information (i.e. source, quality, accuracy, etc.) do you base your decision on?

2 (J1) How do you make the decision to carry out a diagnosis? Who makes this decision or participates in the decision-making process? Where is the decision taken? (e.g. head office/field office, Desk officer/Chairman/Board of members)

3 (I3) What time limit are you giving yourself before making a decision about whether to carry out a diagnosis?

Rapid situation and needs analysis (opportunities and constraints)

4 (A1) According to the information available, can you identify needs that have been provoked by the crisis, and that neither the population, controlling authorities nor other actors are able to meet?

5 (E2) What are the political and legal issues relating to this crisis?

6 (B2) Would foreseeable constraints, such as limited access, delays, administrative issues, etc., make it impossible to implement a project or could they be overcome?

7 (J6) Does the current security situation allow you to consider implementing a project?

8 (E4) Is there a risk that certain actors may try to manipulate or exert pressure on your intervention?

9 (L3) Can previous experience in similar contexts provide you with information about the opportunities and risks that could affect a potential project?

Rapid analysis of institutional capacity

10 (E3) Based on your initial appraisal of the situation, do people's needs correspond to your agency's mandate? How does this crisis concern you?

11 (I1) Does your agency currently have the capacity to mobilise or obtain the necessary resources for an intervention? How much time will you need to mobilise them?

12 (J4) Does your current management capacity (administrative, logistical and financial) allow you to consider implementing a new project?

Finalisation and record keeping

13 (L1) How is the decision to carry out a diagnosis documented?

INITIAL ASSESSMENT

During the Initial assessment phase, agencies collect all the necessary information for a) deciding whether to design a project, or not, and b) designing it.

The Initial assessment phase is the second phase in the project cycle. It involves carrying out research and analysing the results. This enables agencies to make well-grounded decisions regarding potential interventions and ensure that project design meets the relevant quality criteria.

Preparing the diagnosis phase

1 (I1) What financial and logistical resources are necessary and available for diagnosis?

2 (I3) How much time do you estimate is needed for a 'quality' diagnosis?

3 (H2) How can you exchange information with other humanitarian agencies in order to avoid doubling up on data collecting exercises?

4 (J3) What information is essential and relevant to carry out a rapid and accurate analysis of the context, the crisis and its impact? (i.e. quality, quantity, data collection and processing techniques, concept of optimal ignorance)

5 (F2) How are people's opinions, suggestions and concerns taken into account during the diagnosis?

6 (F4) How do you ensure that the diagnosis does not raise false expectations?

7 (I2) What skills should the team carrying out the diagnosis have to enable them to fully understand the situation and people's needs?

8 (J2) If you are carrying out an exploratory mission in an area where your agency already has operations underway, how do you deal with the possibility of conflicting interests? (i.e. expertise, communication, motivation, different working methods, etc.)

9 (E1) What action can you take to ensure that your agency's mandate and principles are clearly defined and have been fully understood by the team carrying out the diagnosis?

10 (F1) How do you to ensure that the team carrying out the diagnosis has a thorough understanding of the key cultural and historical aspects, prior to initial contact with the population?

Understanding the context, analysing assumptions

11 (D2) How would you define this crisis? (sudden-onset, protracted, recurring, predictable, etc.)

12 (D4) What is the background to this crisis? (recurring natural disaster or protracted political instability)

13 (G1) What are your hypotheses for the way the crisis may develop?

Analysing the political and legal context

14 (E2) Who is involved in the crisis and what political and legal responsibilities do they have?

Analysing problems, identifying needs

15 (A1) Which needs are not yet being met? Have you distinguished between 'real' needs and 'expressed' needs?

16 (A2) Are people's needs directly linked to the crisis? What problems have caused these needs to emerge?

17 (E2) Can you identify any humanitarian needs that have arisen as a result of human rights violations? What are the most significant legal texts relating to these rights?

18 (E3) Can you identify any humanitarian needs that correspond to your agency's mandate? What are they? Are there any other agencies present that are better placed to respond to these needs?

Analysing local capacity and vulnerability factors

19 (D2) What coping strategies have people developed and would supporting these coping strategies have a positive impact?

20 (D4) Is there a risk that local vulnerability factors will persist over time, or indeed get worse?

21 (D5) Which local capacities, techniques and/or resources could you support, use or strengthen in order to ensure project sustainability and/or maximise project impact?

Analysing sociocultural characteristics

22 (F3) Have you identified the cultural, social and religious characteristics that must be taken into account if the project is to respect the population?

Identifying constraints

23 (B2) Has a thorough situation analysis been carried out in order to identify the constraints that may affect your intervention?

24 (J4) How do you correctly identify the management requirements that you will need to fulfil in order to comply with the legal and tax obligations specific to the context?

Identifying potential negative impacts

25 (C3) Do you have sufficient knowledge about the social and political context to ensure that your intervention does not have negative impacts?

26 (C2) Do you have sufficient knowledge about the local economy and livelihoods to ensure that your intervention does not have negative impacts?

27 (C1) Do you have sufficient knowledge about the local environment to ensure that your intervention does not have negative impacts?

28 (C4) Do you have sufficient knowledge about the security situation to ensure that your intervention does not place people at risk?

Identifying security risks for staff, goods and equipment

29 (J6) Have you assessed the security situation that your team will have to face?

30 (J5) What are the security and operational risks that may affect project goods and equipment?

Stakeholder and institutional context analysis

31 (H1) Who are the various actors that are present? What activities are they carrying out? What position have they taken on this crisis?

32 (H2) How are relief efforts coordinated in the current context?

33 (H3) Who could you set up a partnership, or some other type of alliance, with?

34 (E4) Which actors are likely to try to manipulate or exert pressure on your intervention? Should certain partnerships (e.g. for funding) be avoided?

Assessing available resources

35 (I1) Which resources - local and/or international - could be mobilised for a potential project?

36 (D5) Which local capacities, techniques and/or resources could you support, use or strengthen in order to ensure project sustainability and/or maximise project impact?

Learning from previous experience

37 (L3) What lessons can you learn from previous, or present, experience of providing aid in this context?

Finalisation and record keeping

38 (L1) What records do you keep from your initial diagnosis? What records do you keep about your decision to implement a project or not?

Project document template - Initial assessment report:

1 - Introduction to the diagnosis phase and methodology

2 - Context and assumptions

3 - Political and legal context

4 - Problems analysed and needs identified

5 - Local capacity and vulnerability factors

6 - Sociocultural characteristics taken into account

7 - Constraints identified

8 - Potential negative impacts identified

9 - Security risks for staff, goods and equipment

10 - Stakeholder and institutional context analysis

11 - Available resources (local and abroad)

12 - Lessons learnt from previous experience

DESIGN

During the design phase, the project and the monitoring system are planned in detail. The quality of the project design largely depends on the quality of information collected during the diagnosis phase and, in turn, will determine the quality of activities to be implemented. It involves a) developing an operational strategy, which will allow the agency to respond to target needs and b) designing the monitoring system.

Preparing the design phase

1 (I2)   Who is responsible for project design? What is the link between the design team and the team carrying out the diagnosis?

2 (J1)   How are decisions made and validated? Who makes these decisions?

3 (I3)   How much time do you allow for project design?

4 (F2)   In what way is the population informed, consulted and involved in the project design phase?

5 (E4)   How do you ensure that the project design phase is not subject to outside pressure (e.g. from donors)?

Targeting needs and population groups

6 (A3)   Have you clearly defined the needs your project will try to meet and set limits for your intervention? How have you identified/selected project beneficiaries (individuals or groups of people)?

7 (K2)   For the identification of target groups and priority needs, how do you decide whether to a) concentrate on one group or area for maximum impact per individual; or b) cover a larger area or more people, which would imply a lesser impact per individual?

8 (A1)   How are you going to monitor whether people's needs are changing?

Defining your agency's position on the political and legal context

9 (E3)   What position are you taking on the political and legal context to ensure that the project is consistent with your agency's mandate and principles? (i.e. substitution, partnership, persuasion or denunciation)

10 (E4) Which operational strategy carries the greatest, and the least, risk of manipulation? What limits are you going to set for an 'acceptable' level of risk?

Analysing assumptions and alternative operational strategies

11 (B1) What operational strategies could you adopt to meet target needs?

12 (G1) What information (source, type, etc.) do you use to establish possible scenarios? (i.e. how the crisis may develop, access to crisis-affected populations, etc.)

13 (G1) How are you going to monitor context changes in order to update and refine your initial assessment of the situation and to check that your project is still relevant?

14 (G1) Have you made contingency plans (plan A, plan B, etc.) which will allow you to adapt your project to developments in the context?

15 (G2) Will you be able to adapt your project to context changes? (i.e. relationship with donors, authorities, the population, distribution of responsibilities between head office and field offices, etc.)

16 (D5) How do you design your operational strategy (i.e. funding, partnerships, training, objectives, activities, resources) in order to ensure that your project is sustainable and/or to strengthen its impact?

17 (I4) How can you adapt your project if the necessary resources are unavailable, or if you are unable to mobilise them?

Analysing constraints

18 (B2) Are the constraints that will affect project implementation (both for the agency and the population involved) taken into account in the project design?

19 (J6) How does your project take into account the security constraints affecting your team? (i.e. project objectives, activities, how you decide to implement your project, etc.)

20 (B2) How are you going to monitor the constraints affecting project implementation and their impact on project achievements?

Defining objectives, results and indicators

21(K1) Which are the most efficient operational and targeting strategies for responding to priority needs?

22 (A2) How can your project respond to identified needs whilst also addressing the causes?

23 (F3) How do you ensure that your project does not counter people's beliefs or a fundamental element of their culture?

24 (B3) Are project objectives realistic and measurable? Have you established a timetable for achieving your objectives?

25 (J3) How do you ensure that your indicators and means of verification are based on data that is available or easily accessible, relevant and reliable? How do you ensure that your monitoring system is efficient? (i.e. in terms of time and money)

Planning project activities

26 (B3) What procedures are you going to put in place to monitor your project's progress (i.e. activities and achievements)? How regularly are you going to monitor your project's progress? (i.e. timetable, percentage of activities completed, results indicators)

Identifying positive impacts

27 (D1) Looking beyond primary objectives, how would you define the overall project purpose? Would it be advisable to clarify and communicate this purpose? What additional activities and resources are required in order to meet the project purpose?

28 (D2) Which coping strategies are you going to support to have a long-term positive impact?

29 (D3) How do you prepare the final phases of your project and the withdrawal process so that your intervention has both a positive and sustainable impact on the population?

30 (D4) Is your operational strategy designed to reduce vulnerability in contexts of recurring natural disaster or protracted crisis? Can you implement a disaster-preparedness and/or prevention strategy?

Identifying potential negative impacts, planning preventative or corrective action

31 (C4) How will your project (objectives, activities and how you decide to implement your project) protect people from existing risks and ensure that they are not exposed to additional risks?

32 (C4) How are you going to monitor the side effects that your project might have on people's security?

33 (C2) Have you taken into account the potential negative impacts that your operational strategy might have on the local economy (or even on the war economy) and on people's livelihoods in the short, medium and long term?

34 (C2) How are you going to monitor the side effects that your project might have on the local economy (or even war economies) and people's livelihoods?

35 (C3) Have you taken into account the possible negative impacts that your operational strategy might have on the social and political context in the short, medium and long term?

36 (C3) How are you going to monitor the side effects that your project might have on the social and political context?

37 (C1) Have you taken into account the possible negative impacts that your operational strategy might have on the environment in the short, medium and long term?

38 (C1) How are you going to monitor the side effects that your project might have on the environment?

Defining a participation strategy

39 (F2) How are you going to involve people in the project?

Defining the institutional set-up (partnerships)

40 (H2) How are you going to take other actors' projects and operational strategies into account, so as to avoid duplication and incoherency, and to promote synergy? Which coordination meetings are most appropriate for your project?

41 (H3) Who are you going to set up a partnership, or some other type of alliance, with? How do you ensure that your partnership agreement is clear, effective and professional during project implementation?

42 (H1) How are you going to monitor the arrival and departure of other actors in the field and whether their operational strategy has changed?

Defining a communication plan

43 (H2) How do you ensure that other actors (NGOs, organisations, donor agencies, general population) are fully aware of your agency's identity (mandate, principles) and of your programme?

44 (A4) If your project only covers some of the identified basic needs, what do you do about the needs that are not being met and how do you justify your position?

45 (F4) Have you clearly outlined the scope of your project to people? How do you ensure that the project is not a source of frustration?

46 (F4) How do you ensure that both the population and your project team have fully understood each other's commitments?

Defining a security plan for staff, goods and equipment

47 (J5) How do you take into account the risks affecting goods and equipment in your project design?

48 (J6) How are you going to monitor the security situation (including your project's impact on security conditions)? Have you set clear limits for your intervention should the security situation deteriorate?

Defining a lesson-learning strategy

49 (L2) How are you going to learn lessons from this project? What form will this take? (e.g. self-evaluation, group feedback and discussion, formal mid-term evaluation, etc.) Do you need to set aside a specific time and budget for these activities?

50 (L3) How do you integrate the lessons learnt from other projects or the experience of other agencies into your project design? (e.g. literature review, contacts, discussions with programme managers, etc.)

Identifying human resources, drawing up a project organisation chart

51 (I2) What skills need to be developed within the project team and what support can head office provide?

52 (J2) What role, status (salaried staff, volunteers) and responsibilities does each staff member involved in project implementation have?

53 (J1) How will reporting lines and decision-making responsibilities adapt to reflect changes in the project and the context? How will your decision-making system cope if faced with a major crisis?

54 (J2) How do you organise sending a team into an area where another team is already in place?

Calculating a budget, devising an budget timetable

55 (I1) Are the resources required for the project estimated correctly and in sufficient detail (i.e. time, action plan, budget, human resources, etc.)?

56 (K3) How do you take the cost-benefit analysis into account in your cost estimates and choice of resources? (e.g. human resources, choice of supplier, call for proposals, competition, etc.)

57 (J4) What system do you set up to ensure that the project's resources will be managed efficiently and transparently, and that your agency will comply with legal and tax requirements? Is your project (e.g. scope) adapted to your management capacity?

Finalisation and record keeping

58 (L1) What records do you keep about the decision-making process that resulted in the project document? (e.g. hypotheses, constraints, etc.)

Project document template – Design:

1 - Introduction to the design phase and methodology

2 - Needs and population groups targeted

3 - Agency's position on the political and legal context

4 - Assumptions and alternative operational strategies

5 - Constraints taken into account

6 - Objectives, expected results and indicators

7 - Activities planned (work plan)

8 - Positive impacts identified

9 - Potential negative impacts identified, preventative and corrective action planned

10 - Participation strategy

11 - Planned partnerships and their objectives

12 - Communication plan

13 - Security plan for staff, goods and equipment

14 - Technical and/or methodological references
    Lesson-learning strategy (evaluation, group discussion, etc.)

15 - Human resources, organisation chart, description of responsibilities

16 - Budget and budget timetable

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IMPLEMENTATION AND MONITORING

During the implementation and monitoring phase, agencies will carry out the activities outlined in the project document. Given that humanitarian contexts are often complex and changeable, the quality of project implementation depends above all on the project team's ability to a) update and broaden their understanding of the context and b) check on a regular basis that the project is well adapted to needs.

This phase principally involves the implementation of a pertinent and effective monitoring system to monitor the situation and the project as well as certain factors to do with the implementation of the project.

The implementation and monitoring phase has a significant impact on the quality of the subsequent phases of the project, whether this is project closure or the project continues in another form.

Preparing the monitoring phase

1 (I3) Despite the urgency of emergency relief operations, how much time is set aside for monitoring and analysing project developments?

2 (J3) How do you ensure that the data you collect produces a representative analysis of how the situation, project and project impact is changing? (i.e. a reliable and reactive monitoring system)

3 (G2) In view of the way the context is changing, can you adapt your project (objectives, activities, resources)? Can you suspend activities temporarily or definitively, or design a new project? How are you going to negotiate these changes (e.g. re-allocating resources, etc.)?

Monitoring the context, the crisis and assumptions

4 (G1) Are you continually looking to improve and update your understanding of the situation?

5 (H1) Is the overall situation undergoing any major changes? Are any changes taking place within the institutional context? (e.g. agencies/aid workers arriving or departing, projects, agencies changing their position on the crisis)

Monitoring the political and legal context

6 (E2) How are you monitoring the way the situation is developing on a political and legal level? Are fundamental rights being respected? Can you identify any needs that have been generated as a result of the violation of fundamental rights?

7 (E3) Given the way the situation is developing, is your project still consistent with your agency's mandate and principles? If not, how are you going to (re)define your agency's position on this crisis?

Monitoring the security situation

8 (J6) How is the security situation developing and what implication does this have on your project?

9 (J5) How do you deal with the risks affecting project equipment? How do you ensure that critical stocks (i.e. expensive items, items of strategic importance, delicate equipment) are controlled effectively (i.e. access, stock control, cold chain, transport)?

Monitoring constraints

10 (B2) Are the constraints affecting project implementation being monitored and are project activities being adapted accordingly?

Monitoring needs and population groups

11 (G1) Are you continually looking to improve and update your understanding of the problems that you are trying to address?

12 (A1) Are people's needs changing? How do you monitor this change?

13 (A3) Are your target needs and priorities still relevant given the way the situation is developing?

14 (K2) Over the course of the project, have other needs and/or population groups emerged which your project can respond to with the same resources?

15 (A4) If other basic needs emerge, what action do you take?

Monitoring objectives, results and indicators

16 (G1) Are your objectives and activities still relevant in view of the way the situation is developing?

17(B1) Given the way the context is changing, do alternative operational strategies exist that are more appropriate?

18 (D4) Given the way the context is changing, do alternative operational strategies exist that are more appropriate?

19 (K1) Given the way the context is developing (project costs, needs, constraints, funding availability, etc.), is your chosen strategy still the most efficient for responding to target needs? If necessary can your project be adapted?

20 (B3) How are you monitoring your project's progress (i.e. activities and achievements) in order to keep track of where you are and how much remains to be done? (i.e. timetable, percentage of activities completed, results indicators)

Monitoring progress in project activities (work plan)

21 (I4) How can you adapt your activities if, over the course of the project, you are unable to mobilise resources as previously planned?

Monitoring positive impacts

22 (A2) Does your project respond to identified needs whilst also attempting to address the causes?

23 (D5) Are new sources of funding available or could you set up a partnership to ensure the continuation of your project? Or could you develop a new operational strategy to guarantee project sustainability and/or long-term impact?

24 (D3) How do you prepare for the final phases of your project and the withdrawal process so that your intervention has both a positive and sustainable impact on the population?

Monitoring negative impacts, preventative and corrective action

25 (C4) What impacts is your project having on people's security? What action are you taking?

26 (C2) What impacts is your project having on the local economy? Is aid dependency setting in? What action are you taking?

27 (C3) What impacts is your project having on the social and political context? What action are you taking?

28 (C1) What impacts is your project having on the environment? What action are you taking?

Monitoring local participation

29 (F2) What methods are you using to inform, consult and involve people in project implementation? How will they communicate their opinions (expectations, grievances, advice, etc.)? How are their opinions taken into account? Is this participation strategy appropriate?

30 (F3) How are you monitoring whether your project takes into account people's beliefs, traditions, social practices/ taboos and calendar? If the project is modified in any way over the course of implementation, are these issues taken into account?

Monitoring partnerships

31 (H3) How do you set up and monitor partnerships and other types of alliance? Is it necessary to modify, expand or terminate any of these partnerships?

32 (H2) How do you coordinate with other humanitarian agencies in order to maximise complementarity? Do you need to modify your operational strategy (e.g. calendar, technical design, etc.) or can you suggest that other actors review their activities?

33 (E4) How are you managing your relations with stakeholders and how do you protect the project from outside pressure (donor agencies, local authorities, etc.) and from manipulation? Has the context evolved in such a way that there is an increased risk of manipulation? Do you need to alter your project accordingly?

Monitoring the communication plan

34 (E1) What action are you taking to ensure that the population and different stakeholders (NGOs, institutions, donor agencies, etc.) fully understand your agency's mandate and principles, as well as the project, its objectives and limitations? Do you need to alter your project accordingly?

35 (F4) If you have to revise your commitments, how do you communicate these changes? How are you going to handle conflict that may arise if commitments are broken by one party or another?

36 (E1) What action are you taking to ensure that your project team (expatriate and national staff) fully understand your agency's mandate and principles, as well as the project itself?

37 (J4) What management strategy do you put in place to ensure transparency and accountability to your partners and to donors?

Monitoring project resources

38 (I1) Are costs estimates updated on a regular basis to reflect the changing situation (i.e. devaluation, pay rises, an increase in rent, etc.)? Do you need to alter your project accordingly?

39 (K3) Do your procurement, recruitment, and rental policies etc. take into account the quality-price ration and possible delays? Do you need to alter your project accordingly?

Monitoring human resources management

40 (D1) Does the project team understand the meaning of the project and everything it aims to achieve? If not, do you need to clarify (or re-clarify) the project purpose?

41 (J2) How do you motivate your team to ensure successful project implementation? How do you handle crisis situations and their impact on staff motivation?

42 (J1) Does the way that responsibilities have been distributed amongst the team and agency as a whole promote timely and appropriate decisions?

43 (I2) How do you ensure that your project team (i.e. field staff with support from head office) has the necessary expertise for the duration of the project?

44 (J2) How do you deal with staff turnover?

45 (F1) How do you ensure that the project team is taking cultural factors and traditional practices into account when working with the population?

Monitoring lesson learning processes

46 (L2) How are you going to learn lessons from this project? What form will this take? (e.g. self-evaluation, group feedback and discussion, formal mid-term evaluation, etc.) Do you need to alter your project accordingly?

47 (L3) How do you disseminate information and use the lessons learnt from your project or other projects to avoid making the same mistakes? What lessons have been learnt about the decisions made and methods used?

Finalisation and record keeping

48 (L1) What documents are you compiling in order to create institutional memory about the project history and bring together your various analyses and conclusions?

Project document template – Monitoring report:

1 - **Introduction to the monitoring phase and methodology**   J

2 - **Monitoring the context, the crisis and assumptions**   G

3 - **Monitoring the political and legal context**   E

4 - **Monitoring the security situation**   J

5 - **Monitoring constraints**   B

6 - **Monitoring needs and population groups**   A

7 - **Progress made in meeting objectives and achieving results**   B

8 - **Progress made in work plan**   B

9 - **Monitoring positive impacts**   D

10 - **Monitoring potential negative impacts, preventative and/or corrective action**   C

11 - **Local participation in the project**   F

12 - **Functioning of partnerships**   H

13 - **Monitoring the communication plan**   H

14 - **Follow-up of budget and budget timetable**   I

15 - **Human resources management (staff turnover, conflict management, etc.)**   J

16 - **Lesson learning mechanisms (evaluation, group discussion, etc.) and summary of main findings**   L

PROJECT CLOSURE

During the project closure phase, agencies may decide to either:
- terminate project activities (because project impact has been attained and/or people's needs have been satisfied);
- extend project activities by handing them over to another organisation, the affected population or local authorities takes over responsibility for them; or
- start up a new project (because new needs have arisen or project impact has not been attained).

Preparing the project closure phase

1 (J1) How do you make the decision to close a project down? (i.e. planned or unplanned) Who makes the decision and who participates in the decision-making process?

2 (I2) What essential, and specific, expertise do you require to close your project? (i.e. head office support, what measures will be taken to safeguard local staff?)

3 (I3) How much time do you estimate is needed to close your project down? (i.e. withdrawal, closing down project infrastructure, administrative issues, etc.)

Monitoring needs and population groups

4 (A1) During the project closure phase, have you noticed any new basic subsistence needs?

Monitoring the context, the crisis and assumptions

5 (G2) Is your understanding of the context sufficiently thorough to allow you to close down the project satisfactorily? What measures need to be taken to close down the project in the current context?

Monitoring the political and legal context

6 (E3) Is the process of project closure consistent with your agency's mandate and principles? If not, why?

7 (E4) Is there a risk that stakeholders will be able to use your departure to their own advantage? What strategy can you adopt to limit this risk?

Monitoring the security situation

8 (J6) Does your management strategy enable you to deal with the risks affecting your team during project closure? (e.g. frustration due to job losses, lost orders, interruption of humanitarian aid)

9 (J5) How do you deal with the risks affecting project equipment during project closure? (e.g. theft, misappropriation, fire, etc.)

Monitoring constraints

10 (B2) In the present context, are there any constraints that may affect the way you decide to close the project down? Which of these factors need to be taken into account?

Monitoring objectives, results and indicators

11 (B3) To what extent have project results contributed to meeting project objectives and responding to targeted needs? What explanation can you give for possible shortfalls?

Monitoring project activities (work plan)

12 (D3) Do any specific activities need to be carried out in order to close the project in better circumstances?

13 (B3) To what extent have project activities contributed to meeting project objectives and responding to targeted needs? What explanation can you give for possible shortfalls?

Monitoring positive impacts

14 (D5) What type of handover (assets, skills, etc.) and follow-up is needed in order to consolidate achievements and ensure that your project is sustainable?

Monitoring negative impacts, preventative or corrective action

15 (C4) How will your departure affect people's security? What do you do to reduce this problem?

16 (C2) Has your project generated aid dependency? How do you resolve this problem before project closure?

17 (C3) Will the closure of your project have an impact on social and political equilibrium? How are you going to reduce or avoid this risk?

18 (H2) How are your partners involved in project completion and closure?

Monitoring local participation

19 (F4) How are you informing and involving the population and the local authorities in project closure? What procedures are you setting up to deal with potential discontent as a result of your departure?

20 (F4) What procedures are you setting up to deal with conflict that may arise if people feel that commitments have not been honoured on project completion?

Monitoring partnerships

21 (H3) How are your partners involved in project completion and closure?

22 (J2) How are you going to organise the handover of responsibilities to the new team or organisation?

Monitoring the communication plan

23 (B3) On project closure, how are you going to deal with possible shortfalls between planned objectives and results, and actual achievements? (i.e. communicating results to the population, donor agencies, within your agency, design a new project, adopt a different strategy, etc.)

24 (A4) What are you going to do if, at the end of your project, some basic needs are still not satisfied?

25 (J4) How will you communicate with the population and different stakeholders about the way in which project resources (especially goods, equipment and land) will be used after project completion?

Monitoring project resources

26 (I1) Have unexpected costs emerged during project closure? What resources are available to cover these costs?

27 (K3) What are you going to do with the remaining assets and stock? (sell them off, transfer, donation, send them back to head office, destroy them, etc.)

Monitoring human resources management at project closure

28 (J2) How are you going to organise your project team's departure (expatriate and local staff) on project closure? (withdrawal of the project team, return of expatriate staff, HR evaluations, etc.)

Monitoring lesson learning strategy

29 (L2) How are you going to learn lessons from this project? What form will this take? (e.g. self-evaluation, group feedback and discussion, formal mid-term evaluation, etc.) Would it be useful to plan an impact evaluation in the near future?

30 (L3) How do you bring together the lessons learnt from this experience and put forward recommendations for use in future projects? To whom and how should these lessons be disseminated so that they are integrated into general practice?

Finalisation and record keeping

31 (L1) What documents are you compiling in order to create institutional memory about project history and project closure?

Project document template- Project closure report:

1 - Introduction to the project closure phase and methodology

2 - Identified needs at project closure (per population group) (A)

3 - Progress made in meeting objectives and achieving results at project closure (B)

4 - Progress made in work plan at project closure (B)

5 - Constraints identified at project closure (B)

6 - Negative impacts at project closure, preventative and corrective action (C)

7 - Positive impacts observed at project closure (D)

8 - Agency's position on the political and legal context at project closure (E)

9 - Local participation at project closure (F)

10 - Context and assumptions at project closure (G)

11 - Partnerships at project closure (H)

12 - Communication plan at project closure (H)

13 - Final budget statement
  Stock/assets management at project closure (I)

14 - Human resources management at project closure (J)

15 - Security situation and risk management at project closure (J)

16 - Lesson learning mechanisms at project closure.
  Summary of main findings (L)

MONITORING OF CRITICAL EVENTS

The Monitoring of critical events tool allows the user to systematically monitor a certain number of predetermined incidents which could take place while the project is running and which could have repercussions for the quality of the project.

A. The project responds to a demonstrated need

- People show a general lack of interest in the project (i.e. large proportion of beneficiaries withdraw from the project, low attendance rates in project activities and meetings, etc.)
- People repeatedly ask for help with other needs
- People find alternative uses for project equipment or services (i.e. goods are sold, disposed of, exchanged, changed, etc.)

B. The project achieves its objectives

- Target needs persist or even intensify despite the implementation of project activities
- People are frustrated (i.e. results only partially attained, conditions have not noticeably improved, etc.)
- Project teams are discouraged (i.e. staff are exhausted, project has not made any progress towards achieving objectives, etc.)

C. The project removes or reduces the risk of negative impacts

- Observed negative impacts on the environment, security conditions, social and economic context or people's coping mechanisms
- Complaints that the project and/or project team have caused severe negative impacts on security, environment or the community
- Staff express their concern that they might be responsible for certain negative effects on the environment, security conditions, social and economic context

D. The project aims for positive impacts beyond implementation

- People ask questions such as "what is the meaning of this project?" and "what is it trying to achieve?"
- There is doubt, even disillusion, about the impact the project is having on people's needs

E - The project is consistent with the agency's mandate and principles

- There are complaints about the agency or the project (e.g. agency accused of supporting one of the parties to the conflict, or providing political support, etc.)
- People find alternative uses for project resources or project objectives are distorted
- Problems arise because the agency does not have the appropriate mandate, technical expertise and/or legitimacy to assume the responsibilities vis-à-vis the population that the project implies
- There are doubts or discussions about whether the project is coherent with the agency's mandate and principles

F. The project respects the population

- Problems, incidents or accidents have arisen because of a poor relationship between the project team and the population (e.g. inappropriate and/or disrespectful behaviour)
- People show a general lack of interest in the project (e.g. large proportion of beneficiaries withdraw from the project, low attendance rates in project activities and meetings, etc.)
- The project team's behaviour or project activities reveal a certain degree of misunderstanding or lack of respect vis-à-vis the population

G. The project is flexible

■ There are doubts about the relevance and/or feasibility of the project (e.g. activities brought to a standstill, impossible to gain access to the population, etc.)

■ Rash decisions and changes are made (e.g. decisions are made unilaterally, without authorisation or without prior planning)

■ Inconsistencies persist (e.g. target needs, operational strategies, team management, security management, etc.) despite the team's awareness of their existence

H. The project is integrated in its institutional context in an optimal manner

■ Other projects, local initiatives, private enterprise or interventions carried out by local authorities, etc. have been affected by the project (e.g. project objectives, modus operandi, resources, etc.)

■ There is friction, problems, misunderstanding between project stakeholders and other actors present in the context

I. The agency has the necessary resources and expertise

■ Repeated delays affect the activities timetable

■ Problems arise because the people involved in the project do not have the necessary expertise or skills (complaints about staff's technical or social skills, vacancies or high turnover, etc.)

■ Problems arise because the project does not have the necessary infrastructure, technical, logistical and administrative equipment, or consumables

■ The project encounters difficulties or finds it impossible to fulfil certain commitments with the available budget

J. The agency has the appropriate management capacity

- Recurring cash flow problems
- Problems arise because project fails to respect commitments made to suppliers, partners or staff
- Security incidents affecting staff, project infrastructure or project resources
- There are problems linked to stock management (stock shortage, loss of stock, out of date or inappropriate products, etc.) and programme delays related to problems in the supply chain
- There are problems linked to the management of project infrastructure (availability, maintenance), equipment (vehicles, building materials, medical equipment, IT equipment, etc.) and supplies
- There are irregularities or difficulties in complying with administrative and legal obligations (customs, visas, working papers, staff registration, licensing, insurance, etc.)
- High staff turnover
- There are problems within the team (conflict, friction, discontent, complaints, numerous resignations, etc.)

K. The agency makes optimal use of resources

- Phenomenon of aid being spread too thinly (inadequate response in relation to people's needs, scattered operations, lack of strategic analysis of the situation as a whole)
- Phenomenon of project resources being overly concentrated on certain needs or certain population groups

L. The agency uses lessons drawn from experience

- Repeat of mistakes made in other projects or typical mistakes of the sector
- Project team, partners and/or population display signs of dissatisfaction (weariness, despondency) or distrust as a result of failure to rectify mistakes or of mistakes continually being repeated
- Repeated losses in energy, time and money to rectify mistakes made several times

PROJECT EVALUATION
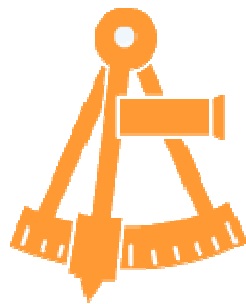
User notes

A **criterion** is an element that operators refer to in order to assess project quality.

A **key process** is the sum of activities carried out to ensure conformity between project results and quality criteria.

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(1) Target needs/ population groups	(1') Real needs	Difference between target needs (1) and real needs (1')	A. The project responds to a demonstrated need	A1. People's needs are identified and monitored
				A2. The origins of people's needs are analysed and taken into account
	(2) Project objectives	Conformity between target needs (1) and project objectives (2)		A3. The project responds to clearly defined needs
				A4. The decision not to address all of the identified basic needs can be justified

Sentinel indicators
* People show a general lack of interest in the project (i.e. large proportion of beneficiaries withdraw from the project, low attendance rates in project activities and meetings, etc.)
* People repeatedly ask for help with other needs
* People find alternative uses for project equipment or services (i.e. goods are sold, disposed of, exchanged, changed, etc.)

An **indicator** is a variable which measures a criterion. It informs the user by comparing:

A **critical event** defines an exceptional event which points to a serious failure.

- information stemming from project strategy (cf. **intervention logic**).

- information collected throughout the project (cf. **project monitoring and evaluation**)

Thus, each criterion is equipped with its own indicators on one side and a series of key processes on the other. Together, the quality criteria, results indicators and key processes form a central reference point for project management (management of key processes by means of key questions) and for project evaluation (use of indicators to measure project results).

The tables presented over the following twelve pages (one table for each criterion) are compiled into a single document: the **COMPAS Board**. The COMPAS Board gives a global perspective of the key characteristics of the project strategy (Intervention logic column) and of the information required to monitor and evaluate the project (Project monitoring and evaluation column). It seats project results alongside the management of project processes and thus lays the foundations for the systemic analysis of project quality.

A. The project responds to a demonstrated need

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(1) Target needs/ population groups	(1') Real needs	**Difference between target needs (1) and real needs (1')**	**A. The project responds to a demonstrated need**	**A1. People's needs are identified and monitored**
				A2. The origins of people's needs are analysed and taken into account
	(2) Project objectives	**Conformity between target needs (1) and project objectives (2)**		**A3. The project responds to clearly defined needs**
				A4. The decision not to address all of the identified basic needs can be justified

Sentinel indicators
* People show a general lack of interest in the project (i.e. large proportion of beneficiaries withdraw from the project, low attendance rates in project activities and meetings, etc.)
* People repeatedly ask for help with other needs
* People find alternative uses for project equipment or services (i.e. goods are sold, disposed of, exchanged, changed, etc.)

B. The project achieves its objectives

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(2) Project objectives	(2') Achieved objectives	**Difference between objectives (2) and achieved objectives (2')**	**B. The project achieves its objectives**	**B1. Several operational strategies are explored**
(3) Expected project results	(3') Achieved results	**Difference between expected project results (3) and achieved results (3')**		**B2. Constraints are analysed and taken into account**
(4) Planned activities	(4') Activities required to achieve objectives	**Difference between planned activities (4) and activities required to achieve project objectives (4')**		**B3. The project measures its progress towards achieving objectives**
	(4'') Successfully completed activities	**Difference between planned activities (4) and successfully completed activities (4'')**		

Sentinel indicators
* Target needs persist or even intensify despite the implementation of project activities
* People are frustrated (i.e. results only partially attained, conditions have not noticeably improved, etc.)
* Project teams are discouraged (i.e. staff are exhausted, project has not made any progress towards achieving objectives, etc.)

C. The project removes or reduces the risk of negative impacts

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(5) Anticipated potential negative impacts	(5') Observed negative impacts (anticipated or otherwise)	**Existence, nature, degree and frequency of observed negative impacts (5')**	**C. The project removes or reduces the risk of negative impacts**	**C1. The risk of negative impacts on the environment is anticipated, and removed or reduced**
				C2. The risk of negative impacts on local economy and of aid dependency is anticipated, and removed or reduced
(6) Planned preventative or corrective measures	(6') Preventative or corrective measures that were taken. Effect of these measures	**Existence and effect of preventative and corrective measures taken by project team (6')**		**C3. The risk of negative impacts on the social and political context is anticipated, and removed or reduced**
				C4. The risk of negative impacts on people's security is anticipated, and removed or reduced

Sentinel indicators
* Observed negative impacts on the environment, security conditions, social and economic context or people's coping mechanisms
* Complaints that the project and/or project team have caused severe negative impacts on security, environment or the community
* Staff express their concern that they might be responsible for certain negative effects on the environment, security conditions, social and economic context

D. The project aims for positive impacts beyond implementation

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(7) Intended positive impacts	(7') Observed positive impacts (anticipated or otherwise)	**Existence, nature, degree and frequency of observed positive impacts (7')**	**D. The project aims for positive impacts beyond implementation**	**D1. The project purpose is identified**
				D2. The project strengthens people's capacity to cope with crises
				D3. The post-project period is thought about and planned in advance
				D4. Where appropriate, disaster-preparedness and/or prevention strategies are planned
				D5. Where appropriate, the project aims for economic and technical sustainability

Sentinel indicators
* People ask questions such as "what is the meaning of this project?" and "what is it trying to achieve?"
* There is doubt, even disillusion, about the impact the project is having on people's needs

E. The project is consistent with the agency's mandate and principles

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(8) Agency's principles Practical application of principles during the project	(8') Principles that are respected Principles that are not respected	**Difference between agency's principles (8) and principles that have effectively been respected (8')**	**E. The project is consistent with the agency's mandate and principles**	**E1. The agency's mandate and principles are clearly defined and are actively communicated, both internally and externally**
				E2. Political and legal issues relating to the crisis are analysed
(9) Agency's mandate (expertise, legitimacy, recognition and/or legal obligations)	(9') Appropriate mandate (expertise, legitimacy, recognition and/or legal obligations) for project implementation	**Difference between agency's mandate (9) and appropriate mandate for project implementation (9') (expertise and legitimacy)**		**E3. The agency makes its position on the crisis clear**
				E4. The risk of the project being manipulated is identified and, if possible, reduced

Sentinel indicators
* There are complaints about the agency or the project (e.g. agency accused of supporting one of the parties to the conflict, or providing political support, etc.)
* People find alternative uses for project resources or project objectives are distorted
* Problems arise because the agency does not have the appropriate mandate, technical expertise and/or legitimacy to assume the responsibilities vis-à-vis the population that the project implies
* There are doubts or discussions about whether the project is coherent with the agency's mandate and principles

F. The project respects the population

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(10) Degree and means of involvement of the population (planned)	(10') Degree and means of involvement of the population (achieved)	**Difference between planned degree and means of involvement (10) and achieved degree and means of involvement (10')**		**F1. Teams are aware of the appropriate behaviour they should adopt in order to show respect for the population**
	(10") Degree and means of involvement that the population was expecting	**Difference between planned degree and means of involvement (10) and what the population was expecting (10")**	**F. The project respects the population**	**F2. The population is informed, consulted and involved in the project**
(11) Planned measures to guarantee respect for the population's social and cultural characteristics	(11') Measures required to guarantee respect for the population's social and cultural characteristics	**Difference between planned measures (11) and those required to guarantee respect for the population (11')**		**F3. The project takes into account the cultural, social and religious characteristics of the population**
	(11") Project team's behaviour towards the population and population's behaviour towards project team	**Quality of the relationship between project team and population (11")**		**F4. Necessary measures are taken to remove or reduce the risk of frustration and of raising false expectations**

Sentinel indicators
* Problems, incidents or accidents have arisen because of a poor relationship between the project team and the population (e.g. inappropriate and/or disrespectful behaviour)
* People show a general lack of interest in the project (e.g. large proportion of beneficiaries withdraw from the project, low attendance rates in project activities and meetings, etc.)
* The project team's behaviour or project activities reveal a certain degree of misunderstanding or lack of respect vis-à-vis the population

G. Le project is flexible

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(12) Planned margin of adaptation	(12') Changes made to the project	**Changes made to the project in relation to the evolving context (12')**	**G. The project is flexible**	**G1. Context changes are anticipated and monitored (anticipation)**
				G2. The project is adapted in relation to context changes (reaction)

Sentinel indicators
* There are doubts about the relevance and/or feasibility of the project (e.g. activities brought to a standstill, impossible to gain access to the population, etc.)
* Rash decisions and changes are made (e.g. decisions are made unilaterally, without authorisation or without prior planning)
* Inconsistencies persist (e.g. target needs, operational strategies, team management, security management, etc.) despite the team's awareness of their existence

H. The project is integrated in its institutional context in an optimal manner

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(13) Planned alliances (partnerships, coordination activities, other types of cooperation)	(13') Established alliances	**Difference between planned alliances (13) and established alliances (13')**	**H. The project is integrated in its institutional context in an optimal manner**	**H1. Actors and their activities are identified**
	(13") Alliances that could enhance project effectiveness. Missed opportunities	**Difference between planned alliances (13) and alliances that could enhance project effectiveness (13")**		**H2. Effective coordination links the project with other interventions**
(14) Planned objectives of alliances	(14') Results of alliances	**Difference between planned objectives of alliances (14) and outcomes from alliances (14')**		**H3. Opportunities to cooperate with other actors are explored and utilised**
Sentinel indicators * Other projects, local initiatives, private enterprise or interventions carried out by local authorities, etc. have been affected by the project (e.g. project objectives, modus operandi, resources, etc.) * There is friction, problems, misunderstanding between project stakeholders and other actors present in the context				

I. The agency has the necessary resources and expertise

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(15) Planned resources - time - expertise - logistics (e.g. infrastructure, equipment, goods, etc.) - funds	(15') Mobilised resources	**Difference between planned resources (15) and mobilised resources (15')**	**I. The agency has the necessary resources and expertise**	**I1. Necessary and available resources are estimated correctly**
				I2. Staff and other people involved in the project have the necessary expertise
	(15") Necessary resources	**Difference between planned resources (15) and necessary resources (15")**		**I3. An appropriate amount of time is allocated to each phase**
				I4. The project is compatible with available resources

Sentinel indicators
* Repeated delays affect the activities timetable
* Problems arise because the people involved in the project do not have the necessary expertise or skills (complaints about staff's technical or social skills, vacancies or high turnover, etc.)
* Problems arise because the project does not have the necessary infrastructure, technical, logistical and administrative equipment, or consumables
* The project encounters difficulties or finds it impossible to fulfil certain commitments with the available budget

J. The agency has the appropriate management capacity

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(16) Planned management system for: - Administration and Finances (budget follow-up, cash flow, etc.) - Operational information (collecting and processing data) - Logistics (stock management, maintenance, etc.) - Security (global policy, security procedures, etc.) - Personnel (organisational chart, internal communication, etc.)	(16') Management system in place	**Difference between planned management system (16) and management system in place (16')**	**J. The agency has the appropriate management capacity**	**J1. Reporting lines and decision-making responsibilities are clearly defined**
				J2. Good team management enables the project to run smoothly
				J3. The methods used for collecting and processing information are appropriate
	(16") Optimal management system	**Difference between planned management system (16) and optimal management system (16")**		**J4. Administrative, financial and logistics management is effective and transparent**
				J5. The risks affecting project equipment are identified, taken into account and monitored
				J6. The risks faced by your team are identified, taken into account and monitored

Sentinel indicators
* Recurring cash flow problems
* Problems arise because project fails to respect commitments made to suppliers, partners or staff
* Security incidents affecting staff, project infrastructure or project resources
* There are problems linked to stock management (stock shortage, loss of stock, out of date or inappropriate products, etc.) and programme delays related to problems in the supply chain
* There are problems linked to the management of project infrastructure (availability, maintenance), equipment (vehicles, building materials, medical equipment, IT equipment, etc.) and supplies.
* There are irregularities or difficulties in complying with administrative and legal obligations (customs, visas, working papers, staff registration, licensing, insurance, etc.)
* High staff turnover
* There are problems within the team (conflict, friction, discontent, complaints, numerous resignations, etc.)

K. The agency makes optimal use of resources

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(17) Target needs/population groups See Intervention logic (1)	(17') Other needs, or other population groups, that the project could have addressed with same resources	**Difference between target needs/population groups (17) and those that could have been addressed with the same resources (17')**	**K. The agency makes optimal use of resources**	**K1. The chosen strategy ensures optimal impact**
(18) Projected cost of project strategy (resources: time, expertise, consumables, modus operandi, etc.) See Intervention logic (15)	(18') Cost (in time, effort, financial, etc.) of other strategies that would have achieved the same objectives	**Existence of other less costly strategies that would have achieved the same objectives (18')**		**K2. Project coverage is optimal**
(19) Impacts (positive and negative) of planned strategy See Intervention logic (6) & (7)	(19') Impacts of other potential strategies (for the same cost)	**Existence of other strategies that could have increased the impact for the same cost (19')**		**K3. Available resources are mobilised and used rationally**

Sentinel indicators
* Phenomenon of aid being spread too thinly (inadequate response in relation to people's needs, scattered operations, lack of strategic analysis of the situation as a whole)
* Phenomenon of project resources being overly concentrated on certain needs or certain population groups

L. The agency uses lessons drawn from experience

Intervention logic	Project monitoring and evaluation	Results indicators	Criterion	Key processes
(20) Technical and methodological foundations of the project (guidelines, techniques recognised within the sector, hypotheses, local experience, etc.)	(20') Up-to-date techniques that have been validated by experts in the sector	**Difference between proposed techniques and methodology (20) and current expertise within the sector (20')**	**L. The agency uses lessons drawn from experience**	**L1. The agency records relevant information over the course of the project**
(21) Planned process for improving the project (system for recording project information, monitoring and evaluating methods, etc.)	(21') Recurring problems regularly pointed out by stakeholders	**Problems persist (21')**		**L2. The agency learns lessons from experience**
	(21") Changes introduced	**Improvements made to the project (21")**		**L3. The agency uses lessons learnt from experience**

Sentinel indicators
* Repeat of mistakes made in other projects or typical mistakes of the sector
* Project team, partners and/or population display signs of dissatisfaction (weariness, despondency) or distrust as a result of failure to rectify mistakes or of mistakes continually being repeated
* Repeated losses in energy, time and money to rectify mistakes made several times

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