MONITORING AND EVALUATION FRAMEWORK

for WASH Market-Based Humanitarian Programming

GUIDANCE DOCUMENT

OXFAM

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FOR WASH MARKET-BASED HUMANITARIAN PROGRAMMING

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CONTENTS

DEFINITIONS OF KEY TERMS AND ABBREVIATIONS

Activities	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs (OECD, 2010).
Cash transfer programming (CTP)	All programs where cash (or vouchers) is directly provided to beneficiaries (individual's, household or community recipients; but not to governments or other state actors). It excludes remittances and microfinance in humanitarian interventions (CaLP, 2011).
Commodity	A marketable item – either a good or service – supplied to meet needs / demands
Critical market	A market that has a significant role in ensuring the survival and/or protecting livelihoods of the target population.
Effectiveness	Relates to the degree to which the given outputs are successful in producing the desired WASH goals (e.g. increased availability and affordability of WASH goods and service, improved market resilience to changes)
Essential/critical WASH goods and services	In this document, we refer to essential/critical WASH goods and services as a set of WASH goods and services that are defined by the programme design. For the purpose of measurement, "critical/essential WASH goods and services" can be whole set, or a subset of those focused on by the programme
Efficiency	Relates to how well inputs are converted into outputs of interest. In this framework only cost-efficiency is considered as the ratio between the value of goods and service obtained by the beneficiary to the overall cost.of the programme which enabled its delivery.
Funding	Funding is the act of providing financial resources, usually in the form of money or other values such as effort or time, to finance a need, program, or a project.
Household	The people who share the same: a) housing unit or shelter for sleeping, b) main meals or c) service contractor. These people may or may not be related.
Inclusion bias	Is related to sampling bias – whether there were any people included in the programme who should not have been included, or were any people excluded who should have been included.
Intervention	Refers to post-disaster responses in affected communities undertaken by external organizations (e.g. international, national, or sub-national organizations, including governments) i.e. actions not taken by the community themselves.
Market	Any formal or informal structure (not necessarily a physical place) in which buyers and sellers exchange goods, labour or services for cash or other commodities.
Market-based Programming (MPB)	A range of programme modalities that are based on understanding and supporting market systems local to the affected population (Global WASH Cluster, 2016).

Market Facilitation	Market facilitation is a type of market intervention or action, which works to stimulate markets while remaining outside of the market themselves. This approach targets relationships, ownership, incentives and exit strategy.
Market system	A network of market actors, supported by various forms of infrastructure and services, interacting within the context of rules and norms that determine how a particular commodity is produced, accessed, and exchanged. Market systems function at one or more levels—local, national, regional, and global. They can be formal and informal, and often are a mixture of both.
Outcomes	The direct effects of the project which will be obtained at medium term and which focus on the observable changes in behaviour, performance, relationships, policies and practices.
Outputs	The direct and early results of an intervention activities. Outputs refer to the most immediate sets of accomplishments necessary to produce outcomes and impacts.
Primary data collection	Data collected during the programme as a part of programme activities, or specifically for the task at hand.
Recall Bias	Systematic error introduced in e.g. a survey, because surveyees are unable to accurately recall the measure of interest. Very often such errors are introduced when one asks for recalling common events beyond 2 weeks in the past.
Secondary data collection	Data collected by other organisations that might be of use for the programme. Often found in various documents (reports, evaluations or project documentation)

1 INTRODUCTION

1.1 BACKGROUND

Engaging with and supporting markets and its actors is increasingly recognised as a key part of humanitarian programming as market actors are well positioned to provide services and distribute commodities to affected communities. There are a diverse range of humanitarian interventions which are informed by and/or integrate markets. One of them is cash transfer programming, which is increasingly utilised to assist communities' access to critical goods and services during and after an emergency.

There are ongoing discussions as to on what constitutes successful market based programming in WASH sector. A major constraint to widespread acceptance and uptake is the lack of evidence to prove that it is as- or more effective than traditional approaches in meeting programme delivery outcomes. But there remain major challenges to overcome this constraint related to:

1 A lack of a consistent logic model to frame monitoring and evaluation for a variety of different programmes that incorporate market based programing;

2 Timing challenges in acquiring data to prove programme outcomes are being met (particularly if the indicators need to be monitored post - activity e.g. 6 months to a year after the programme is implemented);

3 Lag time between programme development and delivery;

4 Lack of methodology to support comparative analysis between traditional and market-based programmes.

Thus, the WASH sector needs to progress and make a step change in how it measures the indirect and direct consequences of market-based programming. Other sectors, such as food and shelter, often use different market-based modalities in their responses, but these sectors also lack a systematic approach to assess the short and long term effects on the market related to functionality, access, and economic rehabilitation etc.

1.2 PURPOSE AND OBJECTIVES

Monitoring, evaluation, accountability and learning is identified as a gap by the Global WaSH Cluster's technical working group in WASH markets (Global WASH Cluster, 2016). Currently, the emergent use of market-based approaches in WASH programmes requires that each agency drafts their own monitoring and evaluation (M&E) framework.

To better support new WASH market-based programmes, Oxfam GB commissioned the development of a generic M&E framework and associated ICT tool for the WASH sector, which can be adapted to the different local contexts. This should help programmes to improve their monitoring and evaluation requirements and build the evidence-base for market-based approaches.

The main objectives of the M&E framework are to:

1 Monitor efficiency and effectiveness of involvement of market and various market actors in critical/ essential WASH goods and services delivery to affected communities.

2 Evaluate effects associated with WASH market rehabilitation.

3 Assess gender imbalances and access to WASH markets for poor and vulnerable groups.

4 Analyse overall performance (in terms of costs, benefits and quality) of market responses compared with traditional responses.

1.3 ASSUMPTIONS

The main assumptions of the Generic Monitoring and Evaluation framework are:

- Limited or no information is collected before the crisis, but where such information is available it should be used as the baseline for the monitoring
- Programme/project design articulates its logic, objectives, outputs and outcomes.
- We assume that minimum accounting and finance books are available from supported traders and service providers as such a minimal administration will help traders to sustain their trade under different conditions.
- For the purpose of measurement, we define households (see sections: Definition of key terms and Section 3.2) as a basic measurement unit. However, if local context do not allow identification of households as defined in this framework (for example in case of collective centers accommodation), the minimum measurement unit might be the beneficiary (a person).

We also assume that staff charged with the responsibility to undertaken the monitoring activities will have the following skills:

- Experience in field work and assessments;
- Ability to break down and rephrase complex questions;
- Ability to adapt the language to the interviewee (i.e. adapting to the cultural and socio-economic background of the interviewee);
- Ability to collect information using different tools;
- Language skills;(i.e. local language and common language to communicate between team members);
- Basic numeracy and analytical skills;
- Basic analytical skills for the analysis of the market price data,
- Good knowledge of the affected area, inhabitants, key informants, relevant secondary data and markets, as well as project main objectives.

1.4 AUDIENCE AND FORMAT

Audience: The intended audience of this document are WASH practitioners, MEAL advisors and managers, donors, programme and WASH cluster coordinators, market specialists and other professionals with an interest in monitoring and evaluation or in market-based programming.

The format of this document is presented in two main sections:

- **Section 1: Generic M&E framework**
  Presents generic logical framework and generic indicators related to it, and briefly explains method of measurements for the quick reader,
- **Section 2: Annexes**
  Provide more information and context for practitioners who wish to read, and understand more:
  - Annex 1 presents generic indicators in more detail.
  - Annex 2 provides an overview of the survey questions in relation to generic indicators.
  - Annex 3 describes methods of measurement.
  - Annex 4 provides additional guidance for survey design

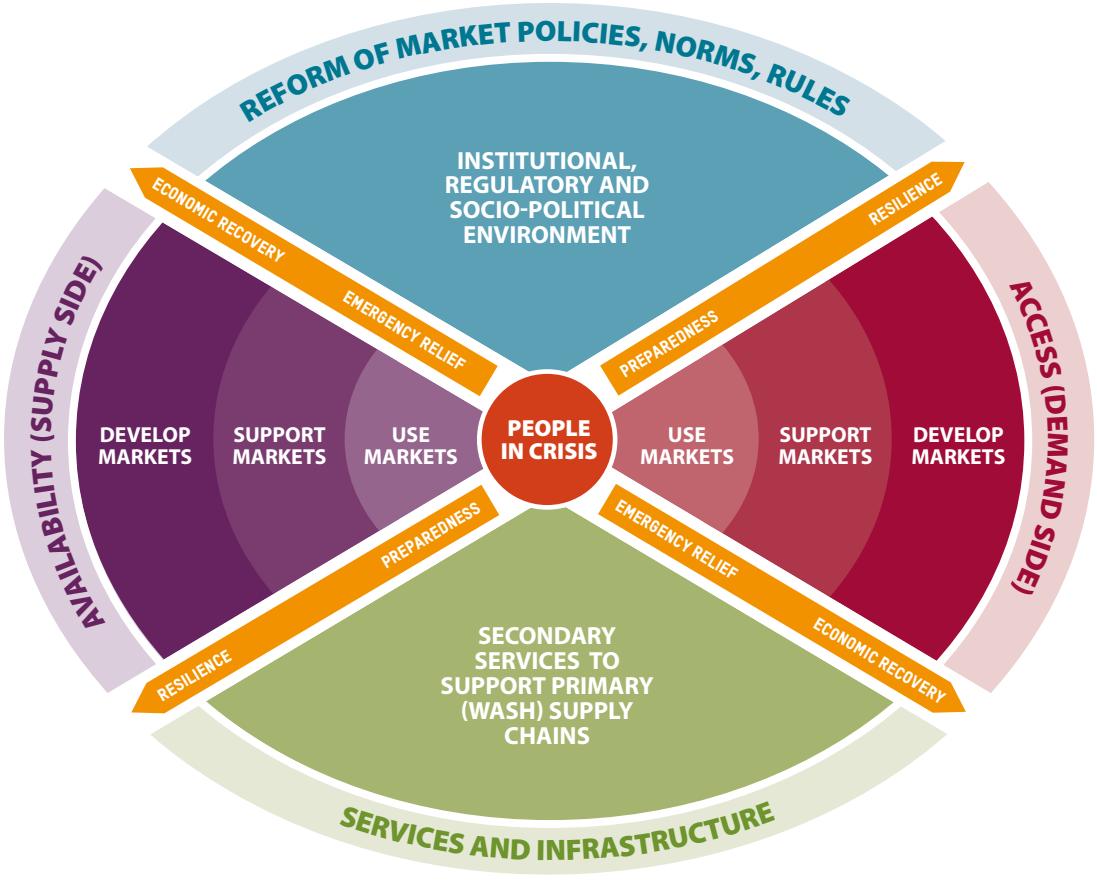
The M&E Framework and associated ICT tools should be ideally used together. To facilitate this process, user guidance for the ICT tool were also developed and can be found at:
www.emma-toolkit.org/sites/default/files/bundle/0xfam%20ICT%20Guidelines.pdf.

2 WASH MARKET-BASED APPROACH LOGICAL FRAMEWORK AND MODEL

A logic flow model has been drafted to make a relation between MBP goals and activities in WASH more explicit. By assuming that demand for WASH goods and services is required and needs to be stimulated, we identified and addressed two areas of market-based programming in WASH: 1) Supply / Availability and 2) Service / Infrastructure (see Figure 1). Other assumptions related to logic-flow model are:

- Market actors have financial, physical and social access to markets,
- Households typically use markets to access what they need,
- If lacking, willingness to pay needs to be stimulated (if satisfactory service level exist),
- Capacity to pay exist or is supported by the programme (if supply is rehabilitated, people can afford to buy goods and services),
- Informal / tacit context-specific social norms and activities need to be considered (project – related), and
- Sphere standards[1] are known and accepted by all actors in crisis.

Figure 1: The generic framework addresses 'Availability' (right), 'Market support' (bottom) and 'Demand' (left) side of the MBP framework[2]



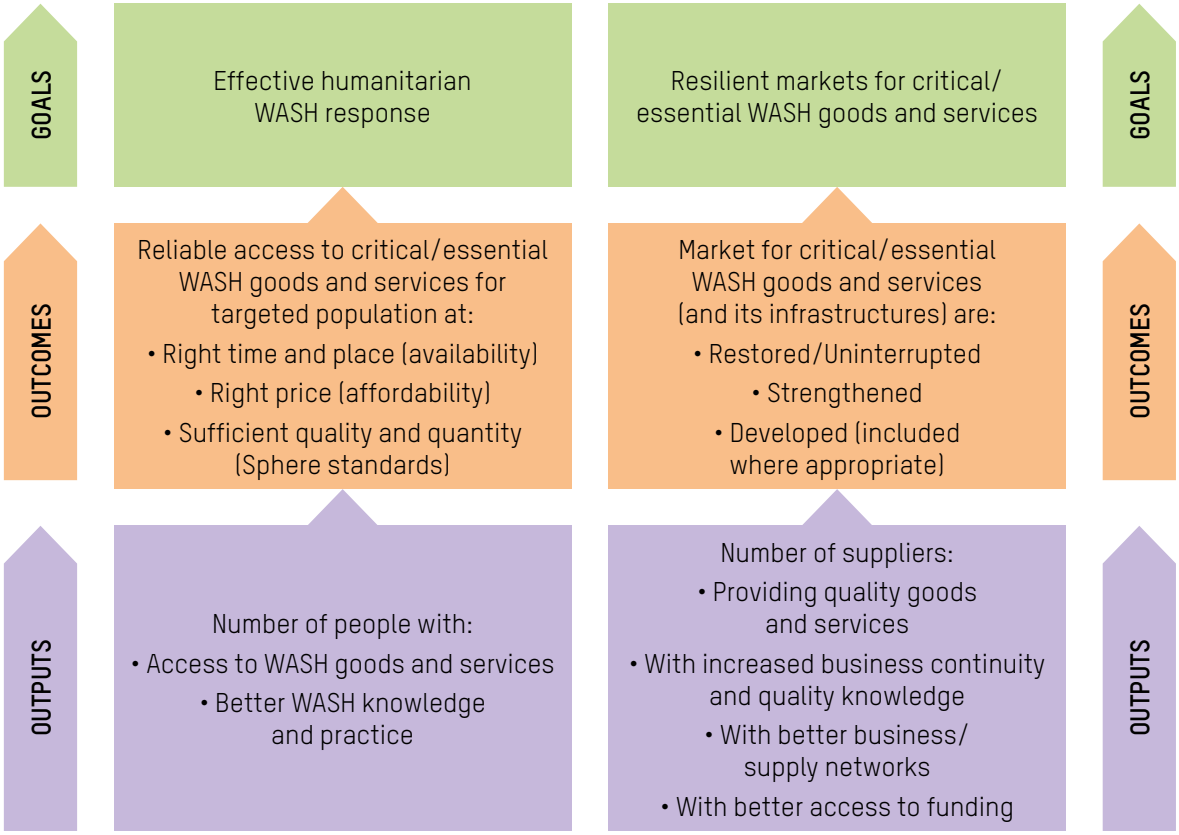
[1] www.spherehandbook.org/en/wash-standard-1-wash-programme-design-and-implementation

[2] Market Based Programming Framework, Market in Crisis, 2017

Figure 2 presents the logic-flow model for WASH market-based programming. The logic-flow model has been developed based on inputs and feedback from Oxfam WASH staff, CaLP Monitoring Workshop (London, October 2016), and a literature review (focusing at the monitoring and evaluation of cash transfer and market-based programmes).

The logic-flow model relates to essential/critical WASH goods and services as a main component of humanitarian response intervention. It is applicable to all types of MBP modality (market use, support or development) applied during the project cycle: traditional (such as in-kind), as well as cash transfer related modalities.

Figure 2: Logic-flow Model for Oxfam WASH Market-based Programming



2.1 KEY QUESTIONS

In the literature, cash transfer programming (CTP) is far better documented than the more overarching topic of market based programming, which covers supply as well as demand sides of the market system .The same focus can be found back in relation to the monitoring of market based approaches. When MBP is mentioned, it is usually to indicate the complexity of monitoring such an approach, illustrating a wide range of issues which needs addressing. These issues include timeliness, intervention appropriateness, achieved coverage among the targeted population, quality and flexibility of intervention, efficiency and effectiveness of across different MBP modalities (Oxfam,2016). Even more important are the comparison with approaches which do not rely on support of local markets, such as the traditional distributions of goods often used in emergencies.

For this generic M&E framework, we focus on indicators, methods and tools needed for answering next key questions:

- Does market-based program ensure equitable distribution and access to services that meets the needs and preferences of all members of the disaster-affected population?
- Does the market analysis and programming approach provide benefits in terms of effectiveness and efficiency of humanitarian responses in emergencies?
- Does market-informed approach contribute towards market system preparedness, recovery and resilience?

2.2 APPLYING THE FRAMEWORK

This framework provides a minimum set of indicators, and being a generic one, it is not intended to address specific response outputs and outcomes in various countries.
If conducted properly, it should however, allow systematic data collection, analysis and aggregation across different projects and programmes in order to estimate their efficiency and effectiveness.

Given the wide variety of contexts and programmatic interventions, it is expected that it will require modification / adaptation, but the generic framework provides a minimal set of indicators as a basis for practitioners to develop a programme specific monitoring framework.

Table 3 shows that indicators are relevant in a variety of situations.

There are three possible scenarios related to market-based humanitarian programming:

1 Pre-crisis market based strengthening and/or risk reduction activities are undertaken, but no response to crisis,

2 Pre-crisis market strengthening activities inform the response delivery, and

3 No pre-crisis activities are undertaken, but emergency market-based WASH response has been delivered.

To be as universally applicable, this generic framework is based predominantly on scenario 3 but can be applied in scenarios 1 and 2 as it benefits from pre-crisis market evaluations.

In addition, levels of market engagement can vary across programmes, from market use, market support to market development[3] (as presented in Table 1).

- **Use of markets** – a response activity which works through markets to provide relief and basic services to the targeted crisis affected population.
- **Support markets** – a response activity to rehabilitate or strengthen market systems to enable market actors to recovery after a shock, either through temporary or one-off actions.
- **Develop markets** – a longer-term approach that aims to expand the reach of existing markers to unserved areas or to introduce new commodities to improve access and/or improve quality.

[3] "Using Market Analysis to Support Sustainable and Resilient WASH in Crisis-prone Areas", 2017 WEDC workshop on MBP for emergencies (Loughborough, July 2017)

Table 1: Examples of Market Based Programming

	Level of market engagement		
	Use	**Support**	**Develop**
Supply	Contracts/framework agreements with existing suppliers	Grants for rehabilitation of damaged infrastructure	Investment in new supply chains
Demand	Cash transfer or vouchers programmes	Increase demand for existing products/services	Marketing of new products to better meet household needs/demands

This framework touches on all aspects of intervention. However, some of the indicators might become redundant if a programme does not cover all aspects as listed in Table 1. More details are presented in Table 3 in Section 3.2.

2.3 RELATION TO RELEVANT FRAMEWORKS IN HUMANITARIAN SECTOR

As illustrated in Figure 2, the ***ultimate goal of MBP interventions for the WASH sector is the effective provision of WASH goods and services in an efficient way to the targeted population by strengthened local WASH markets***.

Among different deliberated frameworks, we distinguish (and focus on) several, which we found the most significant for development of WASH MBP Generic Monitoring Framework. Most of the literature reviewed for this document deals with programme and project evaluations (as shown in Table 2). MBP covers such a wide variety of activities and possible outcomes that, covering all of these for the purpose of programme evaluation can become very demanding in terms of time and resources, not just during response delivery but potentially prior to (early warning system monitoring) and post response (post programme evaluations).

Assessing change necessitates identifying what the situation was like for households at different times listed below. Since the activities of an individual agency, and effects of these activities, will not occur in isolation but rather in a complex response, it becomes extremely difficult to identify what specific changes have resulted from a specific agency's intervention. Within the framework we aim, thus, to estimate the relative importance (or contribution) of the intervention to people's and market's recovery. In doing so, the framework embraces the 'Contribution to Change' principle (Few et al, 2014) that ***changes in people's well-being can be identified at a household level***.

Table 2: An overview of proposed criteria for this M&E framework in comparison with other humanitarian quality frameworks[4]

Identified M&E criteria for MBP in WASH	Criteria Description	Relevant humanitarian frameworks				
		OECD-DAC criteria	Core Humanitarian Standards	DfID Value for Money (VfM) Components	MERS standards[4]	Evolved Oxfam's Global Humanitarian Indicator Tool Benchmarks
Relevance / Appropriateness	• Adequate needs assessment, addressing different needs of all social and vulnerable groups • Good understanding of demand and supply for critical/essential WASH goods and services through market and risk assessment as well as mitigation strategies	Relevance & Appropriateness	1. Appropriate and relevant 4. Based on communication, participation and feedback 5. Complaints are welcomed and addressed.		Do No Harm Scope	1. Relevance 7. Accountability to affected people, strategy and plan being implemented 11. Programme addresses specific concerns and needs of vulnerable groups 16. Programme is coordinated with and complementary to the response of other humanitarian actors

Coverage, quality and flexibility	• Extent of which programme meet the needs of the most vulnerable people, disaggregated by social categories such as socioeconomic grouping, gender, age, ethnicity and worst-affected areas/ populations
	• Technical aspects according to Sphere standards
	• Inclusion bias
	• Gender equity and specific concerns and needs of women, girls, men and boys (breakdown through geographical analysis and by socioeconomic categories)
	• Beneficiary satisfaction with:
	  • delivery method used,
	  • quality and flexibility of aid received, and
	  • choice and dignity
		Coverage	6. Coordinated, complementary assistance	3. Quality: relevance, coverage, equality	Well-Defined Targeting and Intervention Strategy
					Timing
						3. Coverage: Programme reaches 10-25% of affected people
						10. Programme addresses gender equity and specific concerns and needs of women, girls, men and boys

[4] Core Standards for Economic Recovery and Assessment & Analysis Standards are taken into account

Identified M&E criteria for MBP in WASH	Criteria Description	Relevant humanitarian frameworks				
		OECD-DAC criteria	Core Humanitarian Standards	DfID Value for Money (VfM) Components	MERS standards[5]	Evolved Oxfam's Global Humanitarian Indicator Tool Benchmarks
Efficiency	• Difference between the planned project costs and actual implementation costs • Delivery cost efficiency (comparison) for different MBP approach • Comparison between the administration costs of the intervention and the proportion of funds that went directly to the beneficiaries • Reception cost efficiency[6] of various methods in present values	Efficiency	9. Effective and responsible resource management	1. Cost	Analysis	

Quality of delivery	• Timeliness
	• Beneficiaries' perception of the process:
	  • timeliness, (available when required),
	  • quality of aid (suitability of products),
	  • convenience of access (location, method)
	• Access to essential/critical WASH goods and services in the required quantity and quality (Sphere standards)
		Effectiveness	2. Effective and timely
			8. Competent, well-managed and supported staff
			7. Continuously learn and improve
				2. Speed
				3. Quality: utility, sphere standards
					Staff Competencies
					Programs
						2. Timeliness
						4. Technical aspects of programme align favourably with pertinent humanitarian standards

Market strengthening (as add benefit of MBP)	• Resilience of local markets • Impact on market prices, • Impact on availability of WASH goods and services, both locally and at a wider level • Impact on trader activity, or control over trade in the market • Impact on market rehabilitation • Impact on demand and supply of WASH goods and services in the area	Impact Sustainability	3. Strengthens local capacities and avoids negative effects.	3. Quality: coordination	Market-Oriented Programming Coordination and Effectiveness	8. Partner relationships defined, capacity assessed and partners fully engaged in all stages of programme cycle 15. Response is connected to longer-term efforts for resilient development

[5] Core Standards for Economic Recovery and Assessment & Analysis Standards are taken into account

[6] Cost efficiency of receiving goods and/or services in terms of time effort and money

3 GENERIC MONITORING AND EVALUATION FRAMEWORK

The generic logic framework (presented in Figure 2) aims to capture the key elements of most humanitarian WASH programmes that are based on market based approaches. Given its generic nature, the logic framework focuses at higher level outcomes and outputs rather than measures on the various pathways leading to such changes. Figure 3 presents generic indicators that can be used to monitor progress and impacts related to WASH MBP. The focus is both on:

1 Global accepted and standardised indicators; and

2 Practically measurable indicators by programme implementers.

In many cases, trade-offs had to be made in order to find an acceptable balance between different criteria.

3.1 INDICATORS OVERVIEW

In this section we propose and briefly explain a *minimum* set of indicators to monitor humanitarian WASH market-based programmes (see Figure 3). These indicators are based on generic logic-flow model presented in Figure 2 above.

Proposed generic indicators allow data disaggregation related to gender, poverty and other socio-economic factors (if specified in programme documentation). This is to ensure that the market-based response upholds gender equity and specific concerns and needs of women, girls, men and boys as well as vulnerable groups. The evaluation will therefore assess how well gender and the needs of vulnerable groups are addressed by market-based programming. Details related to data disaggregation for each indicator can be found in the description of each indicator.

Generic indicators, presented in Figure 3, are divided into 4 practical groups:

1 Access-to-WASH indicators (highlighted in purple colour[7]),

2 Quality-of-delivery (highlighted in light green colour),

3 Market recovery and development (highlighted in light pink colour), and

4 Efficiency-of-delivery (not included in the Figure 3 - see explanation below)

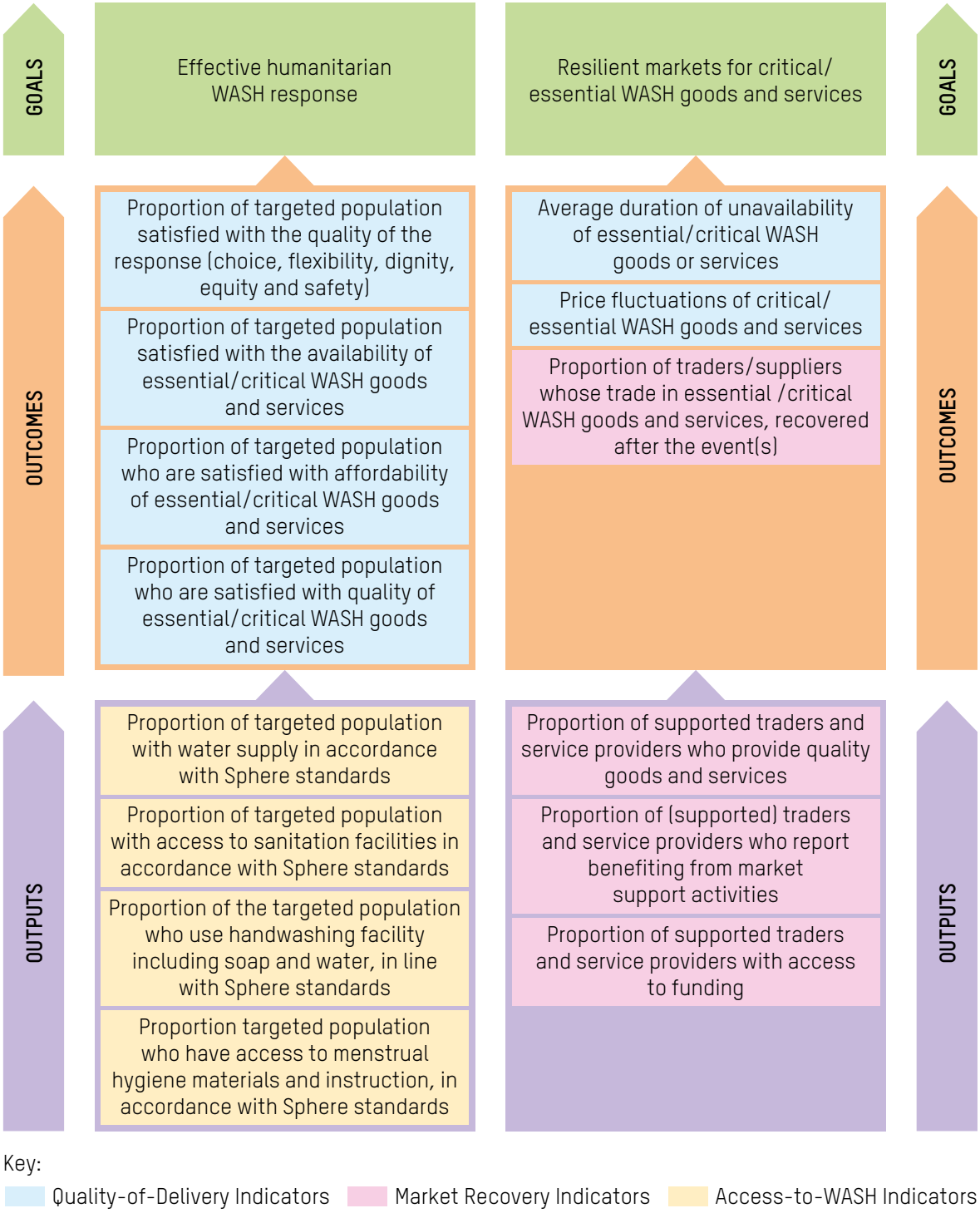
Each of the groups is described in this section with the list of (composite) indicators. Each indicator is described further in more details in Annex 1: Indicators overview.

Indicators relating to efficiency-of-delivery are not visualised in Figure 3 as they are overarching indicators. They are a relation between the achieved outputs and the invested inputs. In this generic framework and, as explained in the Section Summary of proposed indicators (see pg. 13) later in this document, we focus on financial efficiency as:

- the total programme cost per beneficiary reached; and
- the delivery cost ratio.

[7] Note that colours have no relation to colour scheme presented in Figure 2

Figure 3: Overview of generic indicators for humanitarian WASH market-based programmes



3.2 SUMMARY OF PROPOSED INDICATORS

In the reporting, an outcome has more relevance than an output as it describes something that has changed towards a goal. Such changes are typically slow, so early programme reporting relates more to outputs while later ones should relate more to outcomes. Although indicators in Figure 3 relate to outputs and outcomes (as presented in Figure 2), a more practical grouping has been proposed below:

1 ACCESS TO WASH

Proportion (%) of targeted population with access to:

- water supply in accordance with Sphere standards,
- safe sanitation facilities in accordance with Sphere standards,
- a handwashing facility including soap and water, in line with Sphere standards
- to menstrual hygiene materials and instructions, in accordance with Sphere standards.

2 QUALITY OF DELIVERY INDICATORS

Indicators in this group provide information about programme effectiveness from the beneficiary perspective, as defined in Table 1. The framework considers both the point of view of the implementer (provider and/or supplier) as well as the point of view of the beneficiary/consumer.

Proportion (%) of targeted population who are satisfied with the:

- quality of response: choice, flexibility, and dignity,
- availability of essential/critical WASH goods and services,
- affordability of essential/critical WASH goods and services,
- quality of essential/critical WASH goods and services,

as well as:

- Average duration of unavailability of supply of the essential/critical WASH goods and services, and
- Price fluctuations of critical/essential WASH goods & services.

3 MARKET RECOVERY AND DEVELOPMENT

For purpose of monitoring, market recovery is defined as portion of traders that achieve market share/volume, income and response to consumer demand equal-to or higher-than the pre-crisis situation. Although not addressed directly, these set of indicators can inform whether the livelihoods of traders and related staff are guaranteed in a market system. Indicators are formulated in a way that disaggregation per modality of delivery (vouchers, CT, in kind etc) and type of support to traders/suppliers is possible. Indicators include:

Proportion (%) of supported traders and service providers:

- who have access to funding,
- whose trade in essential/critical WASH goods and services recovered after the event(s) throughout the crisis,
- who provide quality goods and services as agreed with implementing agency or in accordance with Sphere standards, and
- who report benefiting from market support activities.

4 EFFICIENCY-OF-DELIVERY

As explained in previous section, efficiency is defined as the degree to which the inputs and activities achieve the desired output towards the end-user or direct-beneficiary. This regards both goods and services for which the minimum indicators focus on cost efficiency of delivering the outputs. Indicators include:

- Cost per beneficiary, and
- Cost delivery ratio.

There are many ways of categorising cost as well as different ways for looking at long term cost and savings which required more detailed cost and benefit analysis. Although we acknowledge its importance, a more detailed analysis falls outside the objectives of this generic framework and the above cost indicators should be considered the minimum required.

We refer to essential/critical WASH goods and services as a set of WASH goods and services that are defined by the programme design. For the purpose of measuring "critical/essential WASH goods and services" can be whole set, or a subset of those focused on by the programme.

3.3 APPLICATION OF THE GENERIC M&E FRAMEWORK

Framework is normally applied:

- In situations where there have been external interventions intended to help people's recovery. These interventions may be across different sectors.
- In communities of people who have continued to reside at the same sites affected by the disaster event, and are looking to restore or improve their lives and livelihoods in the recovery period.
- For situations in which disaster risk-reduction efforts have been under way to reduce future vulnerability to hazards.
- To different crisis type, impact, frequency and duration, to specific communities or across regions receiving aid programmes

The framework is applicable to different levels of market engagement as presented in Section 2.2 which some indicators may become redundant if a programme does not cover all aspects of market based programming (see Table 3).

Table 3: Application of the framework in different levels of engagement, with markets with an overview of type of data collected and main method for measurement for each generic indicator

Indicator/Intervention	Market Use	Market Support	Market Development	Type of data	Methods of measurement
1. Access to WASH					
Proportion of targeted population with water supply in accordance with Sphere standards	✓	✓	✓	Quantitative and Quantitative	Household surveys Observations
Proportion of targeted population with access to sanitation facilities in accordance with Sphere standards	✓	✓	✓		
Proportion of the targeted population who use handwashing facility including soap and water, in line with Sphere standards	✓	✓	✓		
Proportion targeted population who have access to menstrual hygiene materials and instruction, in accordance with Sphere standards	✓	✓	✓		
2. Quality of delivery					
Proportion of targeted population satisfied with quality of response (choice, flexibility, dignity, equity and safety)	✓	✓	✓	Quantitative and Qualitative	Household surveys Focus Group Discussions (FDG)
Proportion of targeted population satisfied with the availability of essential/critical WASH goods and services	✓	✓	✓		
Proportion of targeted population who are satisfied with affordability of essential/critical WASH goods and services	✓	✓	✓		
Proportion of targeted population who are satisfied with quality of essential/critical WASH goods and services	✓	✓	✓		
Average duration of unavailability of essential/ critical WASH goods or services	✓	✓	✓		Supplier survey Market Monitoring
Price fluctuations of critical/essential WASH goods & services	✓	✓	✓		
3. Market recovery and development					
Proportion of supported traders and service providers with access to funding			✓	Quantitative and Qualitative	Supplier survey Review of secondary data Registration Information
Proportion of traders/suppliers whose trade in essential /critical WASH goods and services, recovered after the event(s)		✓	✓		
Proportion of supported traders and service providers who provide quality goods and services			✓		
Proportion of (supported) traders and service providers who report benefiting from market support activities		✓	✓		
4. Efficiency-of-delivery					
Cost per beneficiary	✓	✓	✓	Quantitative and Qualitative	Review of secondary data FDG
Delivery cost ratio	✓	✓	✓		

3.4 BASELINE, PROGRESS MONITORING AND EVALUATION

Identifying change in people well-being at the household level can be done by setting out a logic pathway for the desired change, and measuring changes along the way within different monitoring periods:

1 **Preparedness** – time before the crisis in which a programme may (or not) collect data and prepare for a possible crisis. As not all programmes have the benefit of data collected in this period, the generic framework will only consider this data if it is available.

2 **Early crisis** – period in time when the effect of the event can be noticed, is recognised or continues to deteriorate. It is the period that assessments are made, mitigation strategies discussed and organisations start considering interventions.

3 **Response** – time during which mitigation strategies are taking place but the outcome (related to the intervention) might not yet be noticeable.

4 **Recovery** – duration when the effects of response activities can be noticed in term of outcomes and impacts.

5 **Rehabilitation** – time period after the immediate response is completed or long term rehabilitation activities are developed.

Baseline data can be collected using one of available (market) assessment tools[8]. PCMA and other exercises prior to an emergency or crisis are programmatically important in preparing for a response. Such preparation will not always be available or up-to-date. Some indicators such as those related to market recovery can benefit largely from information referring to a pre-crisis situation. However, in order to keep the framework as generic as possible, we are not assuming that such information is available. Thus, the pre-crisis data can be substituted by the data collected immediately after the crisis using this framework.

Although monitoring should be an ongoing process there are minimal three "moments" that can be distinguished and which are well accepted points over the project period. To determine these moments we adapt Contribution to Change framework (Few et al, 2014), taking into account specifics of WASH sector and objectives of the proposed framework:

BASELINE:

The earliest and most relevant moment for which data is available:

- before the crisis, OR
- early post-crisis:
  - when the effect of the event can be noticed, or
  - the situation is deteriorating and organisations start interacting.

Baseline data collection can be part of a wider assessment, which leads to initiating a response, and consequently mark starting of the monitoring activities. If conducted, existing market assessments should provide a baseline for comparison during the intervention.

PROGRAMME EVALUATION:

Monitoring and learning activity which add to the conclusion about programme efficiency and effectiveness. Usually conducted after response is completed.

PROGRESS MONITORING:

Continuous monitoring of activities outputs as planned in the logic framework and observe if they will lead to the expected outcomes. It is usually conducted during early post response, when the effects of response activities can be noticed.

[8] See Oxfam MBP compass www.cashlearning.org/markets/humanitarian-market-analysis-tools

3.5 DATA COLLECTION UNIT

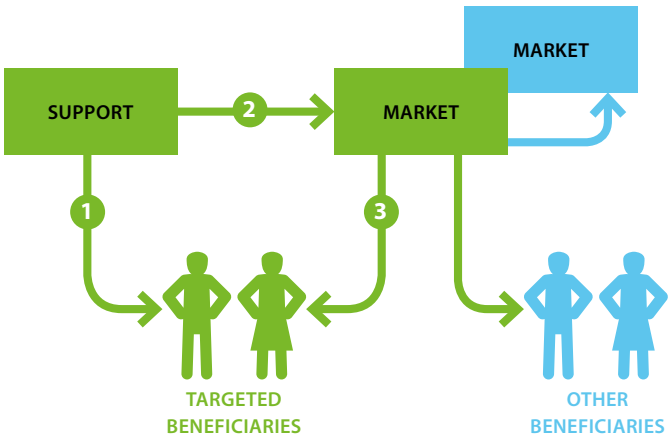
The data is collected at the household, which is defined as "all the people who are: a) sleeping in the same house or shelter, or b) sharing the same (main) meals, or c) share the same service provider". In case of emergency it is likely that people might be displaced. In urban areas, displaced people might share accommodation or live in non-functional public buildings, collective centres, slums and informal types of settlements. In rural settings, delivering protection and humanitarian assistance to displaced population through camps is common. The people who from the household may or may not be related - not all households contain families, but also people who live alone or who share their residence with unrelated individuals.

Although the data is collected at the household level, most indicators are related to the individual household member – beneficiary, as a unit of measurement.

3.6 UNIT OF MEASUREMENT

Estimating the absolute number of beneficiaries is challenging as described in more detail in Annex 4.1. For the purpose of this framework we therefore consider market-based activities as the means to reach the end beneficiary. This means that beneficiaries can only be categorised as direct or indirect when there is a sub group which receives clearly defined benefits. These direct beneficiaries are the targeted population of the intervention. Indirect beneficiaries are those that are expected to benefit from the market-based activities but are not directly targeted as shown in Figure 4.

Figure 4: Direct and indirect beneficiaries



For instance, in market-based programmes, which have some modality of cash transfer or demand generation, direct beneficiaries are defined as those receiving a direct support (cash transfers, voucher, cash for work etc), while indirect beneficiaries are those that use the same market system, for the same WASH items but do not receive the support from the program. When no clear distinction can be made between direct and indirect beneficiaries it is recommended not to use these terms but refer to them as beneficiaries. We distinguish two ways of estimating the number of beneficiaries as explained in detail in Annex 4.1.

3.7 METHODS OF MEASUREMENT

This framework employs a mixed methodology approach (see Table 3 above), incorporating both primary qualitative data collection, and analysis of existing quantitative data from program documents. Existing data included project documents, initial needs assessments, pre-crisis market assessments and baseline survey data (household and market surveys), project financial and HR records. In order to address the objectives of this framework, we propose a number of methods, briefly described in this section. For detailed description of methods for measurement, please see Annex 3.

HOUSEHOLD SURVEYS

Household surveys are a data collection method in which information is collected from homes where people live (see Annex 3.1). When not all households can be visited, a sample method can be used to reduce the number of households to visit (see Annex 4.2). The key is that the selection of the sample is representative for the larger population to get accurate results. During the household visit, surveyors can also conduct observations (see Annex 3.6). Household surveys are common as they allow for very standardised ways of data collecting. A large number of households in surveys allows for precise results.

FOCUS GROUP DISCUSSION (FGD)

FGDs are critical in determining the reasons behind the trends which emerge from the quantitative data collected and investigating more sensitive issues such strengthening or weakening of intra household and community bonds which may be a result of the market-based programming (see Annex 3.2) . A group of independent field monitors will be trained specially in the use of the techniques needed to gather this kind of data.

Focus group discussion is a process in which a variety of targeted people are selected with some degree of randomness to discuss mainly amongst themselves with as little as guidance as possible by the facilitator who only steers the discussion towards the topics of interest but does not participate actively in it. Focus group discussion should not be confused with group interviews in which questions are asked to a group of people and a consensus is found (or not) by the group in brief discussion.

REGISTRATION INFORMATION

The existing registration of beneficiaries by all project partners will enable the creation of a global list of beneficiaries which it is possible to disaggregate by gender, household size, socio-economic status (if known), age of a head of household and easy vs hard to reach areas (geographically). A representative (random) selected sample of the target populations (HH) could to be created to:

- Check if they received the intended response modality,
- If they used or could use the aid modality they received, and
- If their socio-economical profile fulfils that of the targeted population.

We assume that these information is available and that is standard part of response design and implementation. We also assume that its data quality will allow necessary disaggregation.

COMPLAINT MECHANISM

Complaint mechanism enables beneficiaries and non-beneficiaries who have issues with targeting, aid delivery or other aspects of the programme to register their complaint with the relevant implementing NGO in their area. Complaints can be made in two ways: 1) in person to a member of NGO staff, or 2) by calling or sending a text message to a designated mobile phone number. In both cases, the NGO fills in a form and follow up on the complaint. The use of both these systems will depend on whether people know about them or not. The extent to which it is uses is assessed on the administrative evaluation of the complaint process. We assume that the data is available and is standard part of response design and implementation.

INTERVIEWS WITH TRADERS

These short (semi-structured) interviews, conducted together with monthly market monitoring (see below), assess traders' perceptions of changes in market behaviour, demand, supply, market share and other qualitative factors. For more information on method see Annex 3.3.

MARKET MONITORING

Prices, availability and stock levels of essential/critical WASH goods and services collected (bi)weekly within the first month after the intervention, and later once a month to enable tracking of prices over time (see Annex 3.5) . The data will be used to assess the programme's impact on supply, demand and pricing in the market system.

3.8 FRAMEWORK IMPLEMENTATION WITH ICT TOOLS

This framework was created so it can be easily implemented without any need for technology beyond pen and paper. As data collection technologies are commonly used nowadays we provide an example of an ICT implementation which uses:

- SurveyCTO for data collection, and
- MS Power BI for data analysis and reporting.

Both are widely available and facilitate in particular programmes with the need for repetitive and comparative data collection and analysis. The advantage of a tool like Power BI is that it also allows to aggregate data and information from multiple programmes which allows a kind of meta-analysis. The tool selection was based on:

- tool's characteristics as described in ICT tool overview paper,
- tool's flexibility and sharing options (internal and external),
- easy-to-use interface for mobile phone, and
- Oxfam's internal ICT development strategies and policies.

Three comprehensive questionnaires are developed using Survey CTO:

- **Household (HH) questionnaire**, which address both WASH HH survey and post-distribution monitoring (PDM). It can be conducted at any moment during the programme (scoping study, baseline, midline, endline or ad-hoc) and is applicable for different MBP modalities due to the use of an elaborated skip logic.
- **Supplier survey**, which can be also used at any moment during the programme and focus on contribution of the intervention to market recovery.
- **Programme Data form**, which aims to collect, as detailed as possible, cost of the programme implementation by certain organisation.

The full set of questionnaires is presented in Annex 3 and available to download at:
https://oxfam.box.com/s/pxiugvjfqhpz7kluh1iyqkubn672c3gh

A detailed monitoring report was developed using Power BI's dashboards. The report presents the analysis and an overview of indicators defined in this framework. Report template files are available at:
https://oxfam.app.box.com/s/k21anp4wjtb1wy92md6ch0a0e8ee5z30.

User Guidelines for ICT implementation is available to download from:
www.emma-toolkit.org/sites/default/files/bundle/Oxfam%20ICT%20Guidelines.pdf

4 CAPACITY BUILDING RECOMMENDATIONS

Field / project staff responsible for data collection have to have the necessary capacity and skills to collect quantitative and qualitative data of sufficient quality and in accordance with indicators provided in this framework. Staff involved in monitoring activities need to be comfortable with different method and tools, as well as informed sufficiently about the purpose of the exercise as these influence greatly the quality of data collected. The team leader/project manager needs to be involved with and supervise data collection, data analysis and reporting process.

In addition, in order to use already developed ICT tools for this framework (as described in Section 3.7) staff need to get familiar with them, and therefore a basic orientation training need to be available (either on-line or face-to-face), ideally as a part of programme preparation phase. We recommend to have a focal point (either Global Oxfam WASH or M&E expert) whose responsibilities would also include ownership of - and sharing/capacity building for - this framework and associated tools.

It is foreseen that the Framework and ICT tools will be used in multiple countries. As Oxfam often work with (local) partner organisations, there is a need to ensure buy-in of the tool from partner organisation. We assume that local partners would be supported in data collection and sharing. Hence, some capacity building/training for data collection and analysis will be needed for field staff and local partners.

Aggregation of data and analysis at the HQ level over multiple programmes adds an extra incentive for the different programmes to coordinate and standardise the MBP-monitoring. This in turn can then contribute to the burden of proof of various implementation modalities.

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