## SOP FOR SMART SURVEYS IN YEMEN

**STEP 1: PLANNING**

1. Any partner planning to conduct a nutrition SMART assessment in any part of Yemen must ensure that they have adequately and in a timely manner communicated their plans for assessments with the Assessment Working group (AWG) at the beginning of every year or as soon as they consider conducting an assessment, even before including it to the project proposals for funding.
2. Any SMART assessment that is not included in the annual assessment plan will not be validated by the AWG, and thus the results of it could not be used by any cluster partners, including the one who conducted the SMART assessment.
3. Planning of all SMART surveys, including survey protocol, **MUST** be jointly done by the following stakeholders (executors and supporters) and each has the following responsibilities with regards to SMART surveys.
4. **Ministry of public health and its Governorate Health Offices (GHOs):** The Ministry is the owner of the survey and holds with the GHOs the responsibility of ensuring that there is provision of adequate human resources according to what is available to support the implementation of the survey. The GHO is also responsible in guiding the definition of the sampling frame (according to what is available) and what level of access is available to conduct the assessment in the governorate.
5. **Partner (NGO or UN agency):** The partner has the responsibility of providing financial and technical support to the GHO in conducting SMART assessment in the governorate. The partner will develop the survey protocol and update the sample frame if necessary in collaboration with the GHO; they will present the protocol to the AWG and will provide a full time survey manager from the planning of the survey to finalization of the report and its validation, partners are responsible for the accuracy and precision of the survey.

Note: in the situations where the MoPHP is conducting the SMART assessment without a partner, the responsibilities of a partner above will be taken by the MoPHP

1. **AWG:** the AWG has the responsibility to ensure that the protocol is validated. The AWG will provide technical guidance and feedback to the partner and GHO and to make sure that there is a clear follow up on the quality implementation of the survey.
2. Any SMART survey planned in Yemen **MUST** follow the methodology as articulated in the national guidelines for SMART surveys in Yemen.
	1. As per the Yemen SMART assessment guideline, all SMART assessments conducted in the country **MUST** cover the entire governorate or at least one stratum. Sampling for SMART surveys in Yemen **MUST** take into account the agro-ecological zones, livelihood zones in each governorates and provide appropriate samples.
	2. As per the Yemen SMART assessment guideline, the village is the smallest geographic unit that is going to be used in the selection of clusters in rural areas and the hara is the smallest geographical unit to be used in selection of clusters in urban areas. All partners **MUST** ensure that there is consistent adherence to the use of selection of clusters.
	3. A SMART survey conducted in Yemen **MUST** include all the Core Indicators as articulated in the SMART guidelines for Yemen. They can also include optional indicators, however only limited number of optional indicators can be included, as this would increase the duration of household data collection.
3. The SMART survey protocol should be submitted to the AWG and validated prior starting the training of enumerators and data collection. The protocol validation process is described below:
	1. The survey manager (partner or MoPHP) shares the protocol in MS Word in Arabic and English, survey tools and presentation with the summary of the protocol using the agreed in the AWG format with the Chair and co-Chair of the AWG.
	2. The Chair/co-chair circulates the survey protocol to all AWG members for reviews and comments, with the survey manager in copy. The duration of this stage is one week.
	3. The partner or MoPHP addresses all the comments prior to the AWG meeting and presents the protocol to the AWG.
	4. If there are no major comments the protocol is to be validated at the meeting. If there are major comments, the partner or MOPHP to address the additional comments within one week after the meeting.
	5. The partner or MoPHP shares the final protocol with the AWG Chair/co-chair.
	6. The Chair communicates the validation status of the protocol to the partner or MoPHP , then MoPHP will inform the GHO that the survey implementation can start. Only after this the implementation of the SMART assessment can start.

**STEP 2: IMPLEMENTATION**

1. The roles and responsibilities of each stakeholder in the times of survey implementation are articulated below:
2. **MoPHP and its GHOs:** The responsibility of the MoPHP and its GHOs is to provide all the human resources needed in conducting the survey (if that does not affect the ministry’s existing activities). This includes providing survey enumerators, and supervisors. If the partner is not able to provide data entry and analysis support then the GHO can provide these staff.
3. **The Partner (NGO/UN agency):** The partner is responsible to provide a survey manager to technically guide the process of survey implementation, the partner is also responsible of selecting of survey teams and data entry personnel in case the GHO is unable to select a team that meets the necessary criteria. The survey manager is jointly responsible for the management of the survey together with the GHO’s Nutrition focal point in the governorate. The partner will provide training to all survey teams; the partner will provide team leaders in the survey in case there is no capacity. The partner is also responsible for providing all the financial incentives and costs required during the implementation of the survey.

Note: in the situations where the GHO is conducting the SMART assessment without a partner, the responsibilities of a partner above will be taken by the GHO.

Note: All the incentives and the required expenses must be standardized and unified whether the survey is implemented by the government or the partners.

**STEP 3: VALIDATION**

1. The SMART survey preliminary report and accompanying data and documents should be submitted to the AWG and validated prior finalization of the report. The report validation process is described below:
	1. The partner or MoPHP shares the preliminary report, original datasets and presentation with the summary of the results using the agreed in the AWG format with the Chair and co-Chair of the AWG within 2 weeks after finalization of data collection exercise
	2. The Chair/co-chair circulates the shared preliminary report, original datasets and presentation to all AWG members for reviews and comments, with the survey manager in copy. The duration of this stage is one week.
	3. The survey manager addresses all the comments prior to the AWG meeting and presents the preliminary report to the AWG.
	4. If there are no major comments the preliminary report is to be validated at the meeting. If there are major comments, the survey manager to address the additional comments within one week after the meeting.
	5. The survey manager shares the final report with the AWG Chair/co-chair.
	6. The Chair communicates the validation status of the final report to the survey manager and the MoPHP informs the GHO that the survey was validated and the data can be shared and used.
	7. The Chair communicates the validation status of the final report to the Cluster Coordinator and the validated report is updated in the Assessment Database and widely disseminated to relevant stakholders.

## Diagrammatic representation of the SoP for SMART

Enumerator training + standardization test + pretest

Notify AWG about plans to conduct SMART survey

Protocol development and survey planning

Protocol validation by AWG

Preparation of final report

Preliminary report validation by AWG

Data analysis and preparation of preliminary report

10 days maximum

**Activities**

10 days maximum

14 days maximum

10 days maximum

5 to 7 days

10 days maximum

As agreed by AWG

ASAP

**Timelines**

**Stage**

**Planning**

**Implementation**

Data collection

**Validation and Dissemination**

1 day

Dissemination of final report