**Facilitation Guide**

**Emergency Response Training**

**November 5th-9th, 2012**

**Main Topics:**

1. Accountability to Beneficiaries
2. Introduction to Sphere
3. Emergency Needs Assessments
4. Targeting, Registration & Distributions
5. Cash & Voucher Programming

**Objectives:**

1. Understand the basics of being accountable to the people we serve and how to apply to our emergency response programs.
2. Become familiar with the Good Enough Guide and how to effectively utilize GEG tools in our programs.
3. Strengthen knowledge of Sphere & know how to apply Sphere to help us improve the quality of our emergency programs.
4. Improve capacity to design & implement quality emergency needs assessments
5. Know how to make geographic and household targeting decisions
6. Know how to design a registration form and understand the importance of good registration practices
7. Know how to set up a safe distribution site that meets Sphere standards
8. Increase knowledge of when cash and voucher programming is appropriate

**Day 1**

**Session 1.1: General Introductions 45 Minutes (8.30-9:15)**

**Objectives of the session:**

* Formally open the workshop
* Ensure all participants understand objectives
* Begin to learn more about each other

**Materials:**

* PowerPoint Presentation

**Facilitation**

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| Time | Method | Content |
| 45 mn | PowerPoint  Plenary | * Welcome * Introduce facilitators * Topics & objectives of the 5 day workshop * Introductions of participants * Weekly Schedule & Housekeeping |

**Session 1.2 Fundamental questions for Aid Workers (Understanding accountability) 40min (9.15 -9.55)**

**Objective:** Make people aware that accountability and impact measurement are not about bureaucracy, processes or theory. They are about putting “people first.”

**Key Messages:** See task 3

**Materials:** cards and markers / PowerPoint: “fundamental questions”

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| Task 1: buzz group work: bedtime thinking [15’]  * Put participants in small buzz-groups (2-4 people each). Ask them to discuss with each other: * *When you go to sleep, after a long day spent working on a humanitarian response, what are the questions that mills in your head?*   Explain that we are focusing on “bedtime thinking” as it is a time of reflection, when people think back at what really matters to them, and look at important issues! Ask people to give very practical **examples of questions that have bothered or challenged them** re: their humanitarian work.   * Ask participants to write their most significant questions on cards.  Task 2: plenary discussion: so, what questions are important to us? [15’]  * Get back to plenary. Ask one group: * *Can you share one of your questions with us?* (Put their cards on the flipchart) * Then ask: * *Do other groups also have this question? (Mark with one or more stars \*\*\* the cards that are shared by other groups, to show that they matter to many people)* * Ask a question to another group. Repeat the process until you feel you have several significant questions on the flipchart * You should try to **cluster questions** on the flipchart according to * Questions that relate to ***impact measurement***, such as “are we making any difference?” Questions likes “are we spending our money well”, “is our project working”, “is the technical solution I am piloting a good one” might fall in this category. * Questions that relate to ***accountability to the beneficiaries***, like “are we involving, listening, and satisfying affected people?” Questions such as “Are we capable to reach and listen to those most in need and vulnerable?”, “are we sufficiently involving women / elders / disabled / marginalized people?”, “how can we ensure that the local leaders do not take unduly advantage”; “how to counteract the power of leaders/faction?” can be clustered in this category. * Question related **“*how well are we doing*?”** Other questions in this category include “are we good enough?”, “how can we do better?”, and “how can my team be stronger” fall in this cluster. * Other questions  Task 3: presentation and summing up the session [10’]  * Explain that you have clustered questions according to several broad concerns. Concerns relate to 1) impact measurement, to 2) accountability, and 3) level of achievement. * Show the PowerPoint presentation “key questions”. [note: you could start showing the presentation at the beginning of the activity, and leave the first slide – the one saying “What question do you ask yourself about your humanitarian work? as a backdrop for the buzz group work and reporting]. * Read aloud the three fundamental questions presented in the second slide, in the thought bubbles. * Move to the last slide to explain that Good Enough Guide addresses these very questions * **Impact assessment means asking: What difference are we making?** * **Accountability is about considering: How are we involving the women, men and children most affected by the emergency in planning, implementing and judging our response**? * **And of course we need to understand if we are “good enough.”** * Close by emphasizing that not only accountability and impact measurement should be key concerns for your organizations and the humanitarian system (and in fact there are many initiatives and policies to address them), but are **also questions that matter to the individual practitioners**. It is when we can respond positively to such questions that we shall **feel proud** of what we do, or at least satisfied that we are doing all that we can to respond to challenging emergencies! * Also explain the question “what difference are we making” applies to all stakeholders intervening – for the good or the bad - in an emergency. For example, even fighting factions will ask themselves “are we making any difference?”   It is the question on accountability, **“are we putting the interest of vulnerable people first?”, that defines true humanitarian action.** This is why this training will focus a lot on understanding what “accountability to vulnerable people” means and implies. Also, reference how this relates to Targeting which will be covered in more detail on day 4. |

**Session 1.3: What is accountability and what are its elements? 55 Minutes (9.55 - 10.50)**

**Objectives of the session:** Understand what accountability means and what the “5 elements of accountability” are.

**Materials:** cards or post-its / flipchart and markers / prep 5 cards with the accountability elements / PowerPoint “accountability elements” / accountability elements handout

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| Task 1: small group work [10’]  * Explain that this **session will seek to explore accountability** * Split into small groups and give each group some blank cards. Ask to discuss for 5 minutes and to write on cards or post-its (one concept on each card): * ***What is accountability?*** * Ideas you may expect to see on cards include: * *personal accountability* * *listening to stakeholders* * *participation* * *responsibility to people and communities* * *accountability and its elements.jpegtransparency*   Donal   * *indicators to measure change or progress* * *measuring if project meets the needs of beneficiaries* * *feedback mechanisms* * *changing and adapting based on feedback* * *affected communities’ right to be heard*  Task 2: plenary revision [15’]  * Collect cards, read them aloud and place them on a flipchart * Put the cards on flipchart, imagine that it is divided as below. Pretend, however to put them randomly on the flipchart! * Some cards can go in more than one box, but use your best judgement  |  |  |  | | --- | --- | --- | |  | Leadership |  | | Transparency | DME | Feedback | |  | Participation | [other] |  * When all the post-its are on the board. Circle, with a marker, each group of post-its.      |  |  |  | | --- | --- | --- | |  | Leadership |  | | Transparency | DME | Feedback | |  | Participation | [other] |  * Explain that you put them accordingly to the “accountability elements”. **Show 5 large cards where you have written the 5 accountability elemen**ts (leadership, transparency, feedback, participation, DME). * Ask participants on what circle each card should be placed. As you discuss the placement, you might want to stress interesting points relating to the elements made on the post-its. Place the cards on the flipchart.  Task 3: presentation of the framework [10’]  * Show the PowerPoint “accountability elements”. As you present it, * **Recall important ideas captured in the post-its**; * highlight gaps and prompt participants to identify missing points for each element; and * **emphasize interconnection** between the elements. For example, ask participants why the concept of accountability would not be complete without a given element.  Task 4: An accountable organization… [10’]  * As a way to sum up the discussion, ask participants: * ***So, what does an accountable organization do?*** *(suggest to participants to look at the elements and at their post-its when replying).* * Write answers on a flipchart titled **“An accountable organization will…”.** Answers should include: * *…try to ensure that people have no real cause for complaints* * *… listen to affected people (in particular the most vulnerable)* * *…solicit and welcome feedback in a respectful way* * *…take appropriate action based on this feedback* * *…be able to explain its actions (based on the fact that “the action was appropriate, in accord with peoples’ needs, as assessed”)* * *…have simple but strong process to understand impact* * *…have a leadership committed to accountability*   *Note*: you might want to stress that the accountability elements are not part of the Good Enough Guide, but they are important to understand better what accountability is! |

**Tea Break**

**(10.50 – 11.10)**

**Session 1.4: Defining accountability 20 Minutes (11.10 – 11.30)**

**Objectives of the session:** To share the definitions in the Good Enough Guide (GEG) and ensure that everyone is using the same definitions

**Materials:** PowerPoint “defining Accountability” / copies of GEG

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| Task 1: PowerPoint presentation [10’]  * Show the PowerPoint “defining accountability”. Use the notes in the PowerPoint presentation to inform the slide show.  Task 2: distribution of Good Enough Guide [10’]  * Distribute copies of the Good Enough Guide to all participants. * Ask participants to take a few minutes and read the descriptions of accountability and impact measurement on page 4. |

**Session 1.5: What is “good enough”? 30 Minutes (11.30-12.00)**

**Objectives of the session:** Understand what “good enough” means, and be clear that “good enough” does not mean “second best”!

**Materials:** PowerPoint “Is it Good Enough?”; prep flip charts; print and cut out 3 cards

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| Task 1: plenary presentation  * **Tell participants that this session will define what is “good enough**”. Take the “good enough” prop and place it at the centre of a flipchart. * Now say to participants: * *Good enough is less then “perfect”. But it is not “bad”.*And as you say this, place the corresponding cards on the flipchart or draw them in. * Ask: * *What is bad practice? What is perfect practice?* Write examples from participants on the flipchart  |  |  |  | | --- | --- | --- | |  |  |  | | **Bullet points here on what does “bad practice” is.**  For example:   * Practices that harm people * Corrupted practices * Slack work * Misuse of resources, lack of value for money | ?  ***Second best?*** | **Bullet points here on what is “perfect” practice.**  For example:   * Response covers all needs of the vulnerable and they are satisfied… * The work fits in context, and it is well adapted… |  * Now ask participants: so, what is *good enough*? Does it mean “second best”? * Lead the discussion to make the following points: * “*Being ‘good enough’ means choosing a simple solution rather than an elaborate one*” [GEG page 5] * *“‘Good enough’* ***does not mean second best****: it means acknowledging that, in an emergency response, adopting a quick and simple approach to impact measurement and accountability may be the only practical possibility.”* [GEG page 5] * *“When the situation changes, you should aim to review your chosen solution and amend your approach accordingly.”* [GEG page 5] What is good enough on the first day of an emergency will not be good enough at a time when you are supposed to have deeper knowledge of a context!   You can use the following Voltaire quote ““**The perfect is the enemy of the good**”. It reminds us that “perfection” is an ideal thing. Achieving a “perfect thing” becomes infinitely more difficult as you near it. There will always be more things to consider, or details to fix. At some point you must simply say -- "Good enough!". “Good enough is not a justification for shoddy work, or for laziness! **The point to know when any additional improvement will not justify the resources, efforts, time that will need to be invested to achieve it (and actually will mean that time, resources, effort are lost for more vital stuff).** |

**Session 1.6:** **Hands on the Good Enough Guide! 30 Minutes (12.00 – 12.30)**

**Objectives of the session:** To explain where the Good Enough Guide came from and what it contains

**Materials:** PowerPoint “the Good Enough Guide” / copies of the *Good Enough Guide*

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| Task 1: PowerPoint presentation “The Good Enough Guide”  * **Show the PowerPoint presentation** “The Good Enough Guide”. As you mention each part of the contents ask participants to look for it in the book and call out the page. They can mark the sections with post-its if it makes it easier to navigate the Guide. * Ask for comments on the Guide. * ***What are your reactions to the guide?*** * Emphasise **that the Guide is not prescriptive**, but designed to offer simple tools to field workers to help them become more accountable in their projects. They do not have to use the Guide. * Remind participants that the Guide can be found online, in over 12 languages. Also tell them that on the ECB site ([www.ecbproject.org](http://www.ecbproject.org)) they can download many posters, leaflets, and films in six languages to communicate the key messages of accountability with different audiences. * Show slide highlighting other accountability initiatives. Emphasize link to the Sphere Project. * Start GEG video with time remaining to give them a taste if time allows. This video is something they should share with their staff and partner staff and ask them to watch and discuss. |

**Lunch (12.30-1.30)**

**Session 1.7: Five steps for Accountability & Impact Measurement 10 Minutes (1.30-1.40)**

**Objectives of the session:** To introduce five practical steps to becoming accountable as described in the Good Enough Guide

**Materials:** PowerPoint “five steps for Accountability”

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| Task 1: PowerPoint presentation and plenary discussion  * Show PowerPoint: “Five steps for accountability”. Broadly explain the “why” as “when” as per the Good Enough Guide. Use the notes in the PowerPoint. * Explain to participants that the following activities will enable them to look closely at each process. Ask if they have any immediate comment. |

**Session 1.8:** **The Five steps: why, when, what 50 Minutes (1.40- 2.30)**

**Objectives of the session:** To share practice for each of the five steps

**Materials:** PowerPoint “five steps for accountability”, flipchart and markers

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| Task 1: PowerPoint presentation and plenary discussion  * Refer back to the PowerPoint “Five steps for accountability”. Explain that this activity will look in detail at steps 1-5.  Task 2: groupwork – why is this step important? a pitch line [30’]  * Divide participants into 5 groups. Each one will be assigned one step (print out the PowerPoint and give to each group a different cartoon). * Ask each group to do the following (you can write these on a flipchart ahead of time): * Read the Good Enough Guide, and understand what the step is all about. * **Share stories and experiences**, and chose **one example** that can illustrate “**good enough practice**” and one illustrating “**bad practice**”. * Identify **3 main challenges in realizing the steps**, based on personal experience (and possibly, solutions to overcome them!) * **Create a pitch line** that can explain why this step is important. * Consolidate all the above in a flipchart. Encourage participants to **make creative flipcharts, and to prepare a lively presentation.**  Task 3: presentation to plenary [20’]  * All flipcharts are put on the wall, in a gallery. * Each group is assigned to briefly present and explain its step to the other participants. |

**Session 1.9: Responding to feedback 60 Minutes (2.30 - 3:30)**

**Objectives of the session:** **Participants are confronted with the perceptions from affected people about an emergency, and are asked to make sense of them using the 5 steps.**

**Materials:** flipcharts and markers, one copy; a set of “people quotes” for each group; handout of scenario

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| Task 1: presentation of the scenario and of the exercise [5’]  * Present participants with an overview of the scenario or create an actual scenario to fit the context * *You are working in a country recently affected by a major earthquake, which hit a big urban area. Many people have been displaced and made homeless. Many organizations work in the area and yet resources are not sufficient to respond to the acute need of the population. The risk of duplication of work is high, particularly in the early stages of the response. Some affected people were left out. Those who lost their houses are now living in camps run by the NGOs, or they squat in camp that they self-manage. Many try to live near their house, but find it hard to access aid. Research about people’s perception has been commissioned. You will need to look at the raw data and identify what you agency need to do to improve accountability.*  Task 2: groupwork [40’]  * Divide participants into groups. Set up one flip chart for each of the 5 steps. Draw a positive (+) and negative (-) columns on each of the flip charts. Divide up the quotes and divide between the groups. They will have to do the following (you can write these on a flip chart ahead of time or put on PowerPoint slide so they can refer to them throughout the activity).  1. Ask the teams to place their quotes on the most appropriate step. This shows how the steps help to systematize concerns on accountability and impact measurement. 2. Arrange quotes by “positive input” and “negative input”. 3. Then assign each team one ‘Step’ flip chart. Ask then to verify the quotes and identify ones that may fit better in under a different step. (note some quotes could appear under different steps – (NOTE - we need to develop a facilitator cheat sheet for the placing of the quotes) 4. Try to identify what are the main issues expressed in the quotes, and mark them on the flipchart. This will lead to identifying “learning point”, “concerns that can be addressed”, “concerns that cannot be addressed”. 5. Chose one or two steps that are particularly relevant or interesting for participants. 6. Define how to respond to the concerns expressed by people: what can you do to improve this step? And what strategy can be put in place to minimize negative impact on people?   *Note*: explain to participants that they should **not focus so much on technical issues (e.g. toilets needs to be repaired**) but on **accountability ones** (e.g.: **how to consult** local committees to find out better way to keep toilet clean? How to work with women groups to understand how to improve hygienic facilities?).  (Note - adjusted from original Task in GEG where each group will receive a full set of quotes – felt this would take too long.)   |  |  |  | | --- | --- | --- | | **QUOTES RELATED TO STEP #** | | | | **Quotes** | **What are the key issues?** | **What can be done to improve this step?** | | Positive quotes | * List key achievements | Identify lessons learned, practices to continue. | | Negative quotes | * List key concerns that can be addressed by individual agencies | Highlight practical options for addressing concerns | |  | * List key concerns unlikely to be addressed (requiring, for example, advocacy) | Identify advocacy / coordination action for minimizing negative impact on communities. |  Task 3: plenary revision [15’]  * Get back together in plenary. Ask people to illustrate one of their flipcharts. Have a final discussion, highlighting * *What hit you about the comments made by people?* * *What are the main challenges in addressing them?* * *How does this relate to your experience?* |

**Tea Break (3.30 -3.50)**

**Session 1.10: Tool Overview 25 Minutes (3.50 – 4.15) (shorten this session if squeezed for time)**

**Objective of the session:**

To provide participants with an overview of the tools in the Good Enough Guide.

**Materials:** PowerPoint ‘overview of the tools’

**Facilitation**

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| * Present the PowerPoint “overview of the tools” * Give participants a quick overview of each tool, stressing its value for accountability and impact measurement. * Remind participants that these tools are not prescriptive, and are only some of many tools that can be used for accountability and impact measurement. * Ask participants to share examples of how they used any of the tools in their practice. * Ask participants to share any tool they routinely use and is not included in the Good Enough Guide. |

**Session 1.11: Accountability Implementation Challenge 45 Minutes (4.15 – 5.00)**

**Objectives of the session:** Share an accountability implementation challenge and link with GEG tools.

(Develop a common scenario, if you can link it to a a targeting issue then do so, and ask the participants to develop an approach to addressing the problem)

**Materials:** GEGs, Flipchart, markers, challenge scenario

**Facilitation**

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| **Task 1: Solve the accountability challenge**  Share the scenario with each group.  What could we have done differently?  What tool could we have used? |

**Day 1 Wrap Up**

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|  |  | **Day 1 review and day 2 preview**  **Review of key messages and outputs of the day.**  **Brief preview of next day. Identify participant who will lead review of Day 1 information tomorrow morning.**  **Daily Evaluation.**  Distribute ‘post its’ to the participants.   * What went well today? * What could have been done better? |

**DAY 2**

**Recap & Preview 30 minutes (8.30-9.00)**

**Objective:** To recap yesterday’s sessions on accountability and preview Day 2

**Materials:**

* Quiz questions
* Basket or bowl (optional)

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| Content |
| **Task 1: Recap of main points of yesterday’s sessions through a quiz.**  This can be led by a training participant. Play music and pass around a bowel with recap questions, for example. Person hold the bowel when the music stops picks and reads out questions.   1. **List 5 elements of accountability** 2. **What does an accountable organization do?** 3. **What do we mean by ‘good enough’?** 4. **What are the 5 steps to accountability?**   **Task 2: Share results of Day 1 evaluation.**  **Task 3: Outline Day 2** |

**2.1 Introduction to Sphere 45 minutes (9:00 - 9.45)**

**Objective:**

* To become familiar with the Sphere project, the humanitarian charter and the handbook.

**Key Messages:**

* People affected by disasters have a right to life with dignity that is enshrined in international humanitarian law; Sphere minimum standards are an expression of this right.

**Materials:**

* Sphere presentation (PowerPoint)
* Sphere books and Post It notes
* Handout 2.1: A Brief Introduction to Sphere

**Facilitation**

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| Content |
| **Task 1: introduction to Sphere [45’]**  **Ask questions** to establish how much participants already know: What is Sphere? How have they used it? Why is it needed?  *Take responses from a few participants*  **Present:** What is the Sphere Project? [Use powerpoint]  **Slide 5:** Distribute Sphere handbooks. Give participants 5 minutes to mark sections with Post-It notes.  Introduce the Humanitarian Charter and discuss as necessary. Highlight key points   * “we affirm the primacy of the humanitarian imperative…” * “as humanitarian agencies, we interpret our role in relation to the needs and capacities of the affected population and the responsibilities of their governments…”   Point out what is new in 2011 version : Protection Principles, Key Actions  Introduce Standards, Actions, indicators and guidance notes  **Discuss** the participants’ experiences of applying Sphere in emergencies, or their opinion on the potential advantages and difficulties associated with doing so. In particular, discuss how Sphere applies to targeting and advocating for humanitarian targeting criteria.  **Distribute** Handout 2.1 |

**Session 2.2 Code of Conduct 1 hour 5 min (9:45-10:50)**

**Objectives:**

* To become familiar with the Red Cross & Crescent and NGO Code of Conduct
* To reflect on our strengths and weaknesses in regards to the Code of Conduct
* To share experiences of challenges and successes in applying the Code of Conduct.

**Key Messages:**

* Code of conduct is a shared commitment
* Increasing focus on accountability in the humanitarian sector has implications on how we work and, in particular, on how we engage with beneficiaries.

**Materials:**

Sphere books, Code of Conduct page 370

**Facilitation**

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| Time | Method | Content |
| 30 mn  30 mn  5 mn | Plenary discussion  [Use Sphere books; write group instructions on flipcharts]  Group exercise  Group presentations  Plenary discussion | **Introduce** the Code of Conduct and draw attention to the note that names CRS and Caritas Internationalis as contributors (p. 368).  **Divide** participants into 4-5 groups to read and discuss the principles.  *Group Work Instructions: In groups, participants should identify 1 principle where, based on specific experiences, your organization is doing particularly well; and 1 principle where your organization is weaker (or has faced challenges in applying the Code of Conduct in emergencies). Be prepared to share.*  **De-brief:**  Ask one group to share and explain the ‘principle’ they identified with the larger group, illustrate with the example. Start with what we are doing well (round robin), then share the challenges.  **Discuss:** Any contradictions or principles cited as both positive and challenges? Are there any trends that emerge (i.e. areas of strength or weakness)? Why do some of the challenges emerge? What can we do about them?  Specifically discuss the principles that relate to targeting.  Wrap up with key messages |

**Tea Break**

**(10:50-11:10)**

**Session 2.3 Sphere Technical Standards, Actions, Indicators, Guidance Notes: Analyze and Categorize 1 hr 20 mins (11:10-12:30)**

**Objective(s):**

* To review the difference between a minimum standard, action, indicator and guidance notes.

**Key Messages:**

* The standards are fixed and absolute and we must strive to meet them.
* The actions are suggested activities and inputs to help meet the standards.
* The indicators are suggested ways to measure whether we attain the standard. In different contexts, different indicators may be appropriate.
* A single indicator should not be used in place of a standard. E.g. water 15 l per person per day is only one indicator for “All people have safe and equitable access to a sufficient quantity of water…”
* Sphere provides both quantitative and qualitative measures of performance; one is not inherently a better measure of the standard than the other. It is context-specific.
* Sphere standards set the minimum and can be exceeded.

**Materials:**

* Sphere books
* Handout 2.3 of Sphere Categorize and Analyze Exercise Cut Outs (cut out each one and mix up) and Bags for each groups
* Reference Sheet for Facilitators
* Tape

**Facilitation:**

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| Time | Method | Content |
| 15 mins | Plenary discussion | **Explain** difference between a standard, action, and indicator. Read the definitions. Refer to an example of each (but not one that is part of the upcoming exercise)   * **Standards** are universal, absolute goals or norms that we should aim to achieve * **Actions** are suggested activities and inputs to help meet the standards * **Indicators** are signals or measuring units. In Sphere they are used to measure whether and how much we have achieved the standard * **Guidance notes** share experience and clarify the indicators. |
| 45mn | Group Exercise | **Divide** the participants into groups and provide each group with the 36 slips of paper (9 standards and one related action, indicator and guidance note for each standard). So 9 sets of 4.  *Instructions: Analyze and categorize. Identify which are standards and which are key action, indicator and guidance note for each standard. There is only one action, indicator and guidance note for each standard. Tape your 9 groups of 4 on to your flip chart page.*  Facilitator should circulate and correct as needed as they post up their sets of 4. Call out which group is getting it done first to encourage competition (for example – “this group has three correct sets up”) |
| 20mn | Plenary | Take feedback on the exercise. How they found it helpful. Remind them that they do not need to memorize everything in Sphere, but they need to be able to find what they need quickly.  **Refer** participants to pg. 8-9 “Conforming with the Sphere minimum standards”.  **Conclude** with key messages. |

**Lunch**

**(12:30-1:30)**

**Session 2.4 Sphere Core Standards 1 hr 15 mins (1:30-2:45)**

**Objective**

* To be familiar with the Sphere core standards and know how to apply them.

**Key Messages:**

* Beneficiaries should be actively involved in all stages of the project cycle, including the assessment, design, implementation, monitoring and evaluation.

**Materials**

* Sphere books
* Flip charts

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| Session |
| **Task 1: Introduce core standards [10’]**  Briefly **discuss** the core standards as an integral (and often overlooked) part of Sphere. Read all 6 standards and assign standards, one standard per group. |
| **Task 2: Getting to know the core standards. [30’]**  Divide the participants into 6 groups – 1 standard per group  **Ask** participants to review the standard, actions, indicators and guidance notes and discuss 2 questions:   1. *Do you think it is possible to maintain this standard, meet the indicators and take these actions in an emergency?*   *2. How can you try to ensure that you do this better? (i.e. cite practical steps you can take)* |
| **Task 3: Report back on core standard exercise [35’]**  In plenary, **ask** groups to read aloud their standard and their proposed ‘steps’. Q&A. [5 mins max per presentation]  **Conclude** by emphasizing the importance of Core Standards and “principles” behind Sphere (not just technical guidance or quantitative indicators). Beneficiary participation – **Accountability**- is theme cross cutting all Core Standards.  Ask questions to check that core standards have been understood. Ask whether they will be useful in people’s current projects, and ask for practical examples of their usefulness. |

**Session 2.5 Sphere Technical Standards, Actions, Indicators, Guidance Notes : Applying to Scenarios 1 hr 15 mins (2.45-3.20, and 3.40- 4.20)**

**Objective(s):**

* To learn how to apply a minimum standard, action, indicator and guidance notes in particular scenarios.

**Materials:**

* Sphere books
* Handout 2.5: Printed scenarios and Instructions for Sphere Standards Exercise.

**Facilitation:**

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| Time | Method | Content |
| 35 mn | Group Exercise | **Divide** the participants into 5 groups and provide each group a short scenario [see Hand-outs] with instructions.  *Instructions: Read the scenario in your groups and answer the following questions:*  *\* What standard(s) apply to the scenario?*  *\* What are the key actions that we should take?*  *\* What are the relevant indicators that we have to reach?*  *\* What guidance notes would best help to design the intervention to achieve the standard?*  *Be prepared to briefly present scenario and discussion.* |
| 40 mn | Plenary de-brief and discussion | Each group should **briefly present** and, in particular, identify the process and challenges process that they followed in their group work.  **Discuss** the following Key Questions:  1. Are the indicators, actions, guidance notes and standards useful and/or appropriate?  2. What are some potential limitations of the SPHERE standards, actions indicators and guidance notes (e.g. – 15L per capita)  **Review** and identify some participant practices in use of Sphere and challenges as time allows  **Conclude** with key messages. |

**Tea Break**

**3:20-3:40**

**Session 2.5 Sphere Technical Standards, Actions, Indicators, Guidance Notes; Applying to Scenarios (continued from before tea break) (3.40- 4.20)**

**Session 2.6 Sphere Quiz 40 minutes (4:20-5:00)**

**Objective:**

* Test knowledge of how to use Sphere book.

**Materials:**

* Handout 2.6: Sphere Quiz and Answer Sheet

**Facilitation**

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| Time | Method | Content |
| 20 mn | Group exercise | **Divide** participants into teams of 2 and **explain** that they need to work together to find the answers to the quiz.  **Provide** QUIZ and allow for 20 mins to complete it. Encourage participants to **USE** the book. |
| 20 mn | Plenary discussion | **Provide** answer sheet and ask participants to self-score. Share scores and check on what they found easy or difficult. Discuss questions that were especially difficult or provided new knowledge.  **Conclude** by checking on key learning and whether/how they found the quiz useful. |

**Day 2 Wrap Up**

|  |  |  |
| --- | --- | --- |
|  |  | **Day 2 review and day 3 preview**  **Review of key messages and outputs of the day.**  **Brief preview of next day. Identify participant to lead next day review**  **Daily Evaluation.**  Distribute ‘post its’ to the participants.   * What went well today? * What could have been done better? |

**DAY 3**

**Day 2 Re-Cap & Preview 30 minutes (8:30-9:00)**

Good and bad summary from previous day

Review summary of Day 2 sessions. Participant can lead a game/quiz to do this.

Walk through session topics for Day 3

**Session 3.1. Emergency Assessments: Introduction 45 mins (9:00-9:45)**

**Objective:**

* To recognize the importance of conducting a rapid initial assessment before deciding whether and how to respond to an emergency.

**Key Messages:**

* Emergency assessments should take place as soon as possible after a disaster strikes
* The aim is to confirm how urgent the needs are and **whether** a response is required. If so, field assessments should trigger the decision on **what type** of emergency response to start.
* The assessment information should provide information on **where** to conduct an initial response.
* The assessment findings can mobilize immediate funding for emergency interventions.

**Materials:**

Handout 3.1: Case Study

PowerPoint presentation Emergency Assessments Slides

**Facilitation**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 25 mins  10 mins  10 mins | Individual reading, pair buzz  Plenary discussion  Plenary  Plenary discussion  PowerPoint presentation | **Introduce objectives of Emergency Needs Assessments**  **Distribute** the case study and read aloud or **Ask** participants to share their reaction to the case study in pairs. What did the partner do well? What could they have done better?  Participants shares their ideas in plenary. Participants should recognize that, informed by an assessment, the response could have reached the worst affected people with a more appropriate package, with little delay. Ask if anyone can share a similar experience that happened to them in their work, particularly regarding recent assessments.  **Ask** participants to think of 2-3 key recommendations for the partner to ensure best practice in future?  Share ideas in plenary. Check that key messages above have come out in the discussion, if not summarize.  The facilitator underlines the importance of the needs assessment as the first step in any emergency response.  Brief PowerPoint presentation on “Why do we do Assessments.” [slides]. Discuss whether tips for conducting a good assessment correspond with best practice recommendations from the pair buzz.  Specifically reference the importance of needs assessments to justify targeting |

**3.2 Emergency Assessments: Planning 1hr 30 mins (9:45-10:30, 10:50-11:35)**

**Start here and continue after tea break**

**Objective:**

* To identify information needs required to make key decisions in an emergency response.
* To review approaches to assessment planning.
* To put into practice assessment planning skills based on a scenario.

**Key Messages:**

* Emergency assessment should be focused and time bound – one tool should be developed and used within a well defined period of time.
* Emergency assessments are iterative. Plan to reassess as your response and the context evolves
* Focus on collecting timely, reliable information that you will USE.
* Accuracy is often a challenge for collecting numbers/statistics. Use secondary sources and focus your primary data collection on qualitative information on how people are doing and their coping strategies.
* Good planning is essential. Planning means deciding: who should be on the assessment team; where you will go and who you will talk to; what information you require; what methods you will use to collect that information.

**Materials:**

Handout 3.2.1: Assessment Exercise (Memo with description of disaster and group work instructions)

Handout 3.2.2: Assessment Tips and Planning Table

PowerPoint Slides

Note Cards of 3 different colors, markers

**Facilitation**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 45 mins | Presentation  Group Exercise  [Simulation memo as Handouts] | **Introduce** the topic: For all assessments it is essential to make a plan of action. Without a plan, it is easy to find yourself in a situation where you may collect too much information with no clear idea of what to do with it. Now we will do an assessment planning exercise.  **Divide** into groups and **provide** Handout with scenario background  Based on the information in the scenario, **ask** the participants to plan an immediate emergency needs assessment and determine:   * 1. WHY – objective of the assessment   2. WHAT information to collect   3. HOW – what methods   4. WHO – key informants   After 10 mins, **distribute** next memo. Focus on one assessment period at a time and complete task. Repeat to develop assessment plan for the **first days – weeks – months**  *Tip: Use different color stock cards for each period (if available).* |
| 30 mins | Plenary de-brief | **Ask** participants to post all cards on the wall on large matrix:   |  |  |  |  | | --- | --- | --- | --- | |  | *1st assessment* | *2nd assessment* | *3rd assessment* | | Objective |  |  |  | | Information |  |  |  | | Methods |  |  |  | | Who to talk to |  |  |  | | Use |  |  |  |   **Ask** one group to present their findings for the 1st assessment – Q&A for clarification and for additions from other groups. Work column by column, allowing for clarification at each stage.  **Review** overall assessment plan, ask:   * + Are there any gaps with what we have posted? Is there anything you would change (e.g. HH survey in first or 2nd assessment)?   + Working row by row, what are the key differences in each phase? E.g. how do information needs and methods evolve? Who does it at each stage?   + How do we characterize each assessment (more general observations)? What are some of the key differences between types of assessments?   + What key learnings do you draw from this exercise? Do they correspond to particular time periods?   *Look for: triangulation, variation in methods and sources, inclusion of vulnerable groups, inclusion of other stakeholders, opportunities for more participatory approaches, too much information in first days, use of sphere checklists, etc .* |
| 15 mins | Summary  PowerPoint  Q&A | **Distribute** Assessment Tips and Planning Table. Invite participants to read it. Ask participants to share anything that stands out from the guidance. Any new learning?  **Review** with key messages on types of assessment, timing and tips. |

**Tea Break 10:30-10:50**

**3.2 Emergency Assessments: Planning (Continued from before tea break) (10:50-11:35)**

**Session 3.3 Research methods: Bias and Triangulation – 30 mins (11:35-12:05)**

**Objective:**

* To reflect on biases and prejudices that exist in any emergency assessments and identify ways to overcome them.

**Key Messages:**

* Biases and prejudices can influence our understanding of a situation. Bias is natural, we are all biased by whom we are, there is little we can do to prevent it, the issue is how to mitigate it. Recognizing our biases and prejudices is the first step in overcoming them.
* Triangulation reduces the risk of bias in a needs assessment. Triangulation means the assessment is conducted by a diverse, multi-disciplinary team, using multiple tools and techniques, with individuals and groups of people who represent the diversity of the community.

**Materials:**

* Optical Illusions on PowerPoint slides
* Handout 3.3 Biases and how to Overcome them with Triangulation

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 5 mins | Plenary | **Project** the first optical illusion. The facilitator asks the participants - What do you see? Ask participants to describe what they see, and explain it to others who may see something different. Ask them to take a closer look and see if they notice something different.  Then, **provide** the second optical illusion and repeat the process, asking questions and encouraging closer observation and sharing different points of view.  Ask, “What did you learn from this discussion?” Participants arrive at the conclusion that they saw what they expected to see, not what was actually there. |
| 10 mins | Plenary (pairs if time | The facilitator asks, “What are the different biases and prejudices that may affect our post disaster needs assessment?”  Write them on a flipchart: Examples might include - past experience; gender bias; language or dialect bias; age bias; cultural bias; religious bias; political bias; ethnic bias; seasonal or time bias (visiting when the fields appear fertile or visiting in the morning when men are out looking for work) area bias (only visiting accessible places, e.g. more prosperous villages close to the main road); superiority bias (talking to the better educated and assuming the poor have few skills or capacities). Note the affect this can have on targeting criteria. |
| 15 mins | Plenary (pairs if time) | **Ask**, “How can we minimize biases and prejudices?” (If time assign different bias to different pairs to ensure all situations are addressed. Elicit examples, and note ideas on flipchart, avoiding repetition.)  Conclude with the concept of **triangulation.** **Sum up** the session by sharing key messages.  [Provide and discuss Handout on Biases.] |

**Session 3.4: Who to Talk to: Stakeholder Analysis -55 minutes**

**Start here and continue after lunch break (12:05-12:30, 1:30-2:00)**

**Objective:**

* Participants are able to identify stakeholders in a disaster situation and to identify who should take part in the assessment.

**Key Messages:**

* + Communities are never homogeneous. We need to understand the composition of various groups and sub groups within a community.
  + Each group has particular interests (what they have to gain or lose) and influence (positive or negative) which need to be factored into assessment planning.
  + A good stakeholder analysis is the basis of good gender and vulnerability analysis.
  + Stakeholder analysis needs to be repeated at various steps in the project cycle (assessment planning, analysis, strategy review) to inform project decisions (what to do, where, targeting, coordination).

**Materials:**

Handout 3.4 Stakeholder Analysis

Prep flip chart pages for 4 categories

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content / facilitation notes |
| 10 mn | Plenary discussion | In plenary, **ask**: What are stakeholders? What does the term mean?  -> Stakeholders are persons, groups or institutions, who may have *interest* in or *influence* over a project.  -> Interest refers to what people may gain or lose, expectations or resources invested  -> Influence refers to power due to decision-making authority, ability to influence activities or other stakeholders in a positive or negative way.  **Explain** what a stakeholder analysis is: it is a step by step process of identifying the stakeholders that we need to talk to when conducting an assessment. The purpose of the analysis is:  1) to identify different groups who may have interests or influence on the possible project; and  2) to investigate relationships among different groups and anticipate potential conflict (Do No Harm). |
| 15 mn | Plenary discussion | **Refer** to scenarios they are experiencing and ask participants to identify all the stakeholders. Note them up on the flipchart. |
| 15 mins | Plenary | **Distribute** handout. Refer to the Stakeholder Analysis handout grid :     |  |  |  | | --- | --- | --- | | *Interest* | | | | *Influence* | **Low interest, high influence:** Should be informed that an assessment is taking place and project is starting and ask for their cooperation. | **High interest, high influence:** Should be consulted, can provide useful information, which might have to be double checked. Could help mobilizing the community for project activities. | | **Low interest, low influence:** This groups is less important but it might be useful to share information | **High** **interest**, **low influence:** Should be the primary participants for providing information in the assessment, they should be consulted during project planning and they are the primary beneficiaries. Share  information and coordinate with them. |   **Place** names of stakeholders from scenarios they are experiencing on the grid to analyze their level of interest and influence on the emergency response  Does the table help us to think how to involve stakeholders with high interest and low voice? |
| 15 mins | Plenary discussion | Review challenges of systematically talking to key stakeholders in assessments and share ideas on how to ensure that needs, particular those of the most vulnerable, are appropriately identified. Importance of this in relation to targeting.  **Wrap-up** with Key Messages. |

**Lunch Break 12:30-1:30**

**Session 3.4: Who to Talk to: Stakeholder Analysis**

**Continued from before lunch break (1:30-2:00)**

**Session 3.5 What Information to Collect: Emergency Assessment Tools- 1hr 45 mins (2:00-3:00, 3:20 -4:05)**

**Objective(s)**

* To be capable of designing appropriate tools for emergency assessments.

**Key Messages:**

* A good understanding of the exact nature of the problem is necessary in order to define a program that meets people’s immediate and longer term needs. A good needs assessment is essential for good program design.
* Sphere provides checklists on food security, health, shelter and wat-san that can be used as a reference for conducting a needs assessment.
* The tool informs the interviews, transect walk or other participatory methods used during the assessment. The focus should be on the process, not on the tool.
* Do not reinvent the wheel but adapt tools to the local context and your information needs.
* Avoid using close-ended questionnaires in early assessments ; use open-ended questions, probing for a broad range of issues.

**Materials:**

* [Sphere Handbook](http://www.sphereproject.org/content/view/27/84/lang,English):
  + Core Standard 3, page 61
  + Appendix 1: Water Supply and Sanitation Initial Needs Assessment Checklist, page 124
  + Appendix 1: Food Security Checklist, page 214
  + Appendix 1: Shelter, Settlement and Non-Food Items Initial Assessment Checklist, page 278.
  + Appendix 1: Health Services Assessment Checklist, page 338.
* Handout 3.5 Tool Review Questions-Information

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 15 mins | Reading in plenary | The facilitator **asks** everyone to turn to their Sphere handbook and read Core Standard 3 on *Needs Assessment*, page 61.  Then, invite participants to review relevant appendices with assessment checklists. Solicit comments on the reading. |
| 45 mins | Group Exercise and plenary discussion | **Assessment Tools – Part 1**  In small groups, using SPHERE, develop your checklists to inform what information will be gathered in the 2nd assessment (refer back to scenario from Session 3.2 and Handout 3.2.2 Tips and Planning Table). Explain the checklist can inform interviews, transect walk or other participatory methods used during the assessment – it is a list of information required, not a list of interview questions. [30 mins].  Plenary de-brief: Each group posts flipcharts on wall and conduct a *gallery walk*. Review and compare group work. How are the groups different? What key information cannot be omitted? How has Sphere informed the checklists? [15 mins] |
| 45 mins | Plenary  Groups  Plenary | **Emphasize key message about need to focus on process of information collection and information needs, not just on one tool**.  Review:  **Present** the “Tool Review Questions/Information” in Handout 3.5  Group Instructions  Checking your work: Using the yes/no reflection, each person should review their work and pick out information needs that could be eliminated (following the logic of the tree).  Use red markers and draw red dots next to the eliminated information needs.  **Conduct** a plenary review: work flipchart by flipchart, discuss the rationale of each group. Q&A  **Conclude**, was this review useful? How and why? |

**Tea Break (3:00-3:20)**

**Session 3.5 What Information to Collect: Emergency Assessment Tools Continued from before tea break (3:20-4:05)**

**Session 3.6 Data Collection Methods: Interviewing Skills – 55 mins (4:05-5:00)**

**Objective(s)**

* To know what to do and what not to do when conducting an interview.
* To put interview skills to practice.

**Key messages**

* To do a good interview one must: be prepared and use a checklist; introduce oneself to the community leaders; ask permission to conduct the interview; sit, behave and dress in a culturally appropriate manner; empathize with the interviewee; be polite; avoid raising expectations; avoid leading questions.
* Decide carefully who to interview, according to the information required and cultural considerations, for example interviewing women and men separately and in appropriate surroundings.
* Be capable of conducting structured and semi-structured interviews, and using closed and open ended questions.

**Materials:**

Handout 3.6.1: Interviewing Skills

Handout 3.6.2: Individual Interviews (from the Good Enough Guide)

Prep interviewees

PowerPoint

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content / Facilitation Notes |
| 15 mins | Question and answer in plenary | [Distribute Handout 3.6.1] Ask participants to read it and comment on any differences or new ideas.  Explain that interviews can be more or less structured. Ask participants what the difference is between a structured interview and an open-ended interview.  *- Structured interviews use questions prepared in advance, such as a questionnaire or survey tool.*  *- Open ended interviews have a subject of interest but leave the interviewer free to explore the topic with the interviewee and follow up items of interest.*  *- Semi Structure interviews follow a prepared list of topics of interest but allow the interviewer to explore areas of interest.*  Ask participants which method they would use in an emergency needs assessment and why?  - In an emergency assessment, open ended or semi structured interviews are more useful, because it is important to be flexible and respond to new information as it arises.  [Distribute Handout 3.6.2] |
| 40 mins | PowerPoint instructions  Role play preparation  Role play  Discussion | **Return** to the scenario (from session 3.2), and tell participants they will now do a role play to practice conducting interviews. Re-read the first part of the scenario (Aug 17th) and then plan for the first phase assessment. Think about how to apply the Dos and Don’ts when interviewing beneficiaries. [Allow everyone a few minutes of individual preparation.]  **Ask** 4 participants to come to the front and act out an interview, 2 as NGO workers, 2 as family members (1 man, 1 woman) affected by flood. The 2 NGO workers should imagine that they have already introduced themselves to the community leaders and are now interviewing displaced family members.  Possible guidance for Facilitators to give to those playing beneficiaries before the role play starts. Pick the “actors” amongst the participants – those who have not been shy.   * One (the woman) stays away and is quiet * Get annoyed if the staff don’t introduce themselves properly and their purpose * Engage them in small talk as long as you can (or up to a point) * Give simple “yes” or “no” answers at times or tell them you don’t understand the questions. Force the staff to reword the question.   **Invite** other participants to watch. Once complete (10 mins), ask the group to **comment** on the role play and compare with the checklist of Do’s and Don’t s. Discuss gender: were questions directed at the man and woman together or separately? Were the man and woman given equal opportunity to speak? How can gender sensitive interviews be conducted?  *Note: If time allows, ask for more volunteers to perform another role play (on the same scenario), aiming to improve upon the last.*  Sum up with key messages. |

**Day 3 Wrap Up**

|  |  |  |
| --- | --- | --- |
|  |  | **Day 3 review and day 4 preview**  **Review of key messages and outputs of the day. Tie the 1st 3 days together.**  **Brief preview of next day. Identify participant to lead next day review**  **Daily Evaluation. -**  Distribute ‘post its’ to the participants.   * What went well today? * What could have been done better? |

**Day 4**

**Re-Cap & Preview 8:30-9:00**

Good and bad summary from previous day

Summarize key messages from Day 3. Participant can lead a game/quiz to do this.

Preview of Day 4

**Session 4.1: Targeting and Scale - 1 hr 50 minutes (9:00-10:50)**

**Objective:**

* To introduce different targeting options and review targeting strategies to date.

**Key Messages:**

* The purpose of targeting is to meet the needs of the most vulnerable, while providing aid efficiently and in a way that minimizes dependency.
* Targeting happens at 2 levels: geographic (which communities to target) and beneficiary (which families or individuals in those communities to target).
* Assessment teams must regularly compare results from different areas to develop an overview of different levels of damage, in order to prioritize worst affected areas.
* Blanket targeting of disaster affected families is often the most quick and effective targeting strategy after a disaster, although supplementary support for the most vulnerable is also good, if you have the resources and capacity to implement it.
* Targeting decisions affect and depend on the scale of your program (how large or small it is). The scale depends on your financial resources and your organizational capacity (staff, skills, logistics).
* Targeting criteria should always be known and understood by the beneficiary population
* Targeting decisions need to be revisited (along with other intervention decisions) over time. E.g. a program may start with blanket coverage then introduce more targeted criteria for next phase of support, etc.

**Materials**

* Handout 4.1: Targeting Case Study

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 20 mins | Plenary discussion | **Introduce** the topic: An essential part of strategy design is deciding on targeting and scale. According to participants, what are the key targeting decisions that need to be made?  Targeting happens at 2 levels:  - which communities to target  - which families or individuals in those communities to target.  Your targeting affects and depends on the scale of your program (big or small)  - how many resources do you have  - what is your organizational capacity (staff, skills, logistics)  How are you currently determining who to target? |
| 40 mins | Group work | Distribute targeting exercise to the groups.  Group Exercise: Your organization is responsible for providing humanitarian relief in 3 affected villages. [*See handout for background, demographics and geographical location*]  Based on the assessment reports and the available resources, plan your organization’s targeting strategy for the project area.  The strategy should include:   1. What criteria will you use for targeting households? 2. What resources will you allocate to each village? Give specific numbers.   Be prepared to defend your targeting strategy |
| 50 mins | Plenary discussion | Each group should present targeting strategy to peers. Facilitator asks:   * for observing the work done by your colleagues, what general comments do you have? * What challenges did you face (if any) in allocating your resources? How did you address these challenges? * What criteria did you use to allocate your resources? What were your priorities? * Were there any tradeoffs (for e.g. serving less beneficiaries because of budget constraints)?   Based on the scenario, look for:   * Prioritizing immediate food needs of village C * Possibly blanket coverage of food to village C * Criteria to identify priority families in villages A and B   => Ask the participants if they can see any problem with having different targeting criteria for different villages – i.e – how will people in Village A & B feel about seeing most of the aid going to village C? How can this be overcome?  => Ask whether there are challenges or problems in targeting certain households within the village. How can this be overcome (i.e. involving beneficiaries in setting the criteria)?    **Conclude** with key messages:   * Limited resources necessarily imply making choices. When deciding where to work and whom to target, focus on impact rather than spreading resources thin. Do not try to do everything everywhere. * Select criteria through a participatory process engaging affected persons * Revisit targeting decisions and revise them based on changing needs and updated gap analyses. |

**Tea Break 10:50-11:10**

**4.2 Coordination (1hr 20 minutes) 11:10-12:30**

**Session Objective:**

* To recognise the importance of coordination in emergencies.
* To know how to conduct a simple gap analysis

**Material:** Flip charts and pens**,** maps**, (**printouts of questionnaire)**,** Flip chart

**Prepared Materials:**

* Gap analysis matrix handout 4.2

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| --- | --- | --- |
| **Time** | **How** | **Activity** |
| 20 min | Plenary presentation | **Introduce session objective and outputs**  a) Imagine you received news about the possible need for an emergency response. What do you do? The facilitator notes ideas on the flipchart. The importance of contacting other agencies is highlighted.  b) In plenary discuss why it is important to contact other agencies from the very first hours of a crisis.  Ideas are shared and noted on flipchart:  - Essential part of information gathering  - Find out who knows what  - Find out who is doing what  - Maybe possibilities for sharing logistics etc  - Let everyone know Caritas is an important actor  c) Discuss coordination mechanisms currently on place in each CP   * Where coordination mechanisms are weak – e.g. Lebanon, find out why and what is being done or should be done to overcome this |
| 30 min  30 min | Group Work  Plenary | Distribute gap analysis framework and ask the participants to form groups and fill in the matrix based on their knowledge of other actors’ programs in an emergency program in which they all share experience.  **Report Back:**  Each group presents their matrix. Look for commonalities amongst groups and then duplications and gaps in each matrix in terms of services that likely will be provided. |

**Gap Analysis**

Gap analysis shows whether other actors are already meeting the identified needs in a particular geographic zone. It is an important step to ensure you are not unwittingly planning to duplicate activities that are already underway. Gap analysis also ensures that your proposed activities are well coordinated with other interested parties.

Information on gaps may come from existing knowledge from staff, partners or stakeholders. The important questions to ask are:

**Who?** Identify other actors (NGOs, private sector, government, other) who have projects addressing the needs revealed in the needs assessment

**Where?**  Identifying geographic areas that these actors cover

**What?**  Gathering information on their existing and future project activities

**How?** Gathering information on their strategies, approaches and project beneficiaries

**Coverage?** Gathering information on the numbers of beneficiaries they will work with.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Organisation | (Type of Project/Sector) | Geographic Area | Beneficiaries-number & type | Capacity of the organization –coverage ability |
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**Lunch Break 12:30-1:30**

**Session 4.3 Beneficiary Registration -1hr 45mins (1:30-3:15)**

**Objective:**

* To be capable of implementing transparent, accountable beneficiary registration.

**Key Messages:**

* Transparency and information sharing with the community is critical to effective and accountable registration and distributions.
* Registration processes are required for any effective distribution and should be based on direct verification, not on secondary (government/army) data.
* Each beneficiary (head of household) must have a distribution token or beneficiary card before the day of the distribution. (Distribution token is often the term used for simple tokens redeemable for a single distribution. When there are multiple rounds, the term “beneficiary card” may be used instead.)
* The serial number on the distribution token must match the serial number on the family registration form held by the NGO.
* Only collect information that will be useful. What is useful depends on your distribution strategy. A food ration may be the same for everyone or it may change according to family size and number of pregnant and lactating women; going-to-school kits may require information about number of children of primary school age; shelter kits may require categorization of level of damage to the house; etc.
* Registration of beneficiaries and distribution of tokens can be done on separate days, for additional checks and controls. However, if it is urgent, they can be done at the same time.

**Materials:**

* Scenario (see below) written up on flipchart or projected on PowerPoint for easy reference.

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Message and Content** |
| 20 mins  5 mins  20 mins  15 mins | Introduction  Instructions  Groupwork  Plenary | Almost all emergency responses involve distributions of some kind. The facilitator asks questions in plenary to set the context for the session. Note ideas on flipchart. The aim is to brainstorm quickly, not to have comprehensive answers.  What are some of the key steps in preparing for distributions? (e.g. assessment, beneficiary registration, procurement, warehousing, transportation)  What is a registration process? (beneficiaries are identified according to criteria, their details are recorded and they are given a token/card which makes them eligible for assistance)  What type of information is collected? (Name, unique ID # or father’s name, # children, vulnerabilities, type of damage or aid entitled to)  Why is it of vital importance to do registration correctly? What can go wrong if this is not done well?  Registration exercise:  *Scenario: The distribution will consist of two packages, a general package of food, water and hygiene items for every affected family, and a shelter package of plastic sheeting for families with destroyed houses. It is the first time your field team is doing relief distributions and you have to train them on beneficiary registration, token and distribution systems. OR do actual specific scenario they are experiencing.*  In preparing for the training, you need to develop five simple guidelines to ensure the identification of beneficiaries (registration and token distribution) is conducted in a dignified, equitable, accountable and secure way. Ask groups to write their guidelines on post its / stock cards (1 idea per card).  Possible Guidelines - REGISTRATION:  - Develop and discuss selection criteria in a community meeting  - During registration, collect only information that you will use  - Tokens should be managed in the same way as cash  - Large families can receive two or three tokens (e.g. 2 kits for 9-15 family members, 3 for 16+ members)  - Information on distribution location, date and time, as well as package content, can be given at time of token distribution.  - Establish rules to deal with “exceptions” (persons who register late; persons with no IDs, etc.)  - Do your own registration  - Spot check the process  Round-robin de-brief: Each group is invited to share ONE guideline, re-phrase or clarify as necessary and note it once you reach consensus. Repeat for each guideline. Review all and discuss whether all need to be retained and delete those that are repetitive or too detailed. |
| 20 mins  10 mins  15 mins | Group work  Gallery walk  Plenary Q & A | Return to your groups and design your registration form, based on the scenario. Think carefully what information is required, and collect only information which is useful.  Post up the registration forms and conduct a gallery walk to identify common features and areas of differentiation.  Conclude with a question and answer discussion to understand why a registration form is essential:  - it is a planning tool (it tells you the total number of households and individuals requiring each type of package)  - if required (e.g. for later programming) it can indicate gender / age breakdown or vulnerabilities (PLW, disabilities, <5s)  - it is a control – to check the name of head of household and serial number of beneficiary tokens/ID cards when they come to the distribution.  - a copy can be used as the distribution master roll, which beneficiaries sign to show they have received their ration. |

**Tea Break 3:15-3:35**

**Session 4.4. Organizing a Distribution 1hr 25 mins (3:35-5:00)**

**Objective**

* To be capable of organizing a transparent, participatory, equitable relief distribution.

**Key Messages:**

* Careful planning is essential to ensure security, dignity and respect for beneficiaries at a distribution.
* Transparency and information sharing with the community is critical to effective and accountable distributions.
* A distribution committee which is representative of all groups in the community and gender balanced will be involved in distribution planning and implementation.
* Tools for a distribution include the beneficiary registration list, tokens, distribution ledger, master verification sheet, daily and weekly distribution reports.

**Materials:**

* [Sphere Handbook](http://www.sphereproject.org/content/view/27/84/lang,English) p.155-171 Minimum Standards in Food Aid
* Handout 4.4 Or design a layout based on actual situation

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Message and Content** |
| 10 min  40 min  30 min  5 min | Plenary  Group work  Gallery Presentation.  Plenary | Introduce session.  Read aloud the Sphere standards on food distributions (page 168).  Get a sense of participants experience with distributions through question/answer session   1. Imagine you are in charge of organizing a monthly food distribution for 4,500 households. 2. Distribute the handouts and go through it to clarify any questions 3. Focus on tasks 1 & 4 for this session. (if time allows and needed then question 2&3 as well)   Distribution Exercise:   1. Based on the above site layout and distribution information, draw a site plan of how you would organize a distribution. (consider security, location of IDP camp, number of IDPs per day, delivery arriving on second day, natural boundaries, local resources, etc) 2. Write down 8 key guidelines you would give to your staff before commencing the distribution.   Possible Guidelines - DISTRIBUTION:  - Involve beneficiaries through a distribution committee which is representative (e.g. all castes and religions in the village) and gender balanced.  - Conduct a security assessment and develop a plan  - Provide transparent information to beneficiaries ahead of time: what they will receive; when; where; how.  - Establish clear roles and responsibilities for team  - Ensure sufficient quantity of materials is available from the start for the planned # of beneficiaries (can factor 5% extra)  - Monitor the process (and content!)  Presentations of distribution site layout  Discuss reasons behind groups choices to set up the distribution the way they did and their 8 guidelines  Close session with summary and emphasis of key messages |

**Day 4 Wrap Up**

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|  |  | **Day 4 review and day 5 preview**  **Review of key messages and outputs of the day. Tie the day’s sessions together.**  **Brief preview of next day. Identify participant to lead next day review**  **Daily Evaluation. -**  Distribute ‘post its’ to the participants.   * What went well today? * What could have been done better? |

**Day 5**

**Re-Cap & Preview 8:30-9:00**

Good and bad summary from previous day

Summarize key messages from Day 4. Participant can lead a game/quiz to do this.

Preview of Day 5

**Session 5.1: Response Analysis: 1hr 30min (9:00-10:30)**

**Objectives of the session**

* Participants understand the different types of responses in emergencies and the principal determinants of response choice.

**Key Messages:**

* Agencies have increased options to respond to food security and other humanitarian crises.
* Response analysis is the analytical process by which the objectives and modality of program response options are determined, and potentially harmful consequences are minimized.
* Response analysis should consider the likely impacts of alternative response options to aid decision-making.
* Response choice should be evidence-based and informed by early warning information, needs assessment, market information and other relevant information.
* Selecting the wrong response option can have longer-term negative impacts on beneficiaries and markets.

**Materials:**

* Handout 5.1.1 Response Analysis Framework
* Handout 5.1.2 Response Analysis Activity Sheet

**Facilitation**

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| **Time** | **Method** | **Facilitation notes** |
| 30 mins | Presentation  Plenary | **Introduce** the topic of response analysis (PowerPoint)  - What is response analysis?  - Why is it important?  - Where does it fit in the project cycle?  - What are the determinants of response options?    **Slides 5-6**: Show the matrix on slide 5 with the three food security pillars. Ask participants to give examples of shocks that affect each of the pillars. Move to the next slide and ask for possible responses to each of the shocks. Finally, ask the participants to think about the consequences of the wrong shock:   * Treating a supply-side problem (availability) with a demand-side response (cash) can lead to inflation * Treating a demand-side problem (access) with a supply-side response (food aid) can lead to decreased producer prices, disincentives * Not addressing a utilization problem (e.g. diarrhea) will not improve food security (increased malnutrition even if hh has access to food).   ***Both of the below questions can first be discussed in pairs or small groups if there is time.***  **Slide 8**: Ask participants for definitions of “direct” and “indirect” responses.   * *Direct Responses* – actions that make direct contact with emergency-affected households. * *Indirect Responses* – actions with others – e.g. traders, officials – to indirectly benefit affected households.   After ideas have been solicited from the group, put up slide 9.  **Slide 10**: Ask participants for examples of direct and indirect responses.   * *Direct Responses* – distribute in-kind; cash and vouchers (fairs, cash/commodity vouchers); CFW; nutrition; provision of shelter, WASH * *Indirect Responses* – Rehab infrastructure; grants to businesses to restock, rehabilitate shops/warehouses; support MFI; provide technical expertise to local traders; BDS; advocacy to government officials; training to government partners on early warning, food quality or market information systems, etc. |
| 25 mins  25 mins | Groupwork  Discussion | Looking at your current response, groups should answer the following questions for a sector (e.g. Food Security) where they are repsonding , using the Response Analysis Framework in Handout 5.1.1:   1. Identify three (3) possible response options 2. List the advantages, disadvantages and feasibility/timing of each 3. Identify additional info you need to determine the best response   Each group will have 5 minutes to present their framework |
| 10 mins | Plenary | **Conclude** with key messages; solicit any thoughts, reactions or questions on response analysis from the participants. |

**Tea Break**

**(10:30-10:45) (note shorter break)**

**Session 5.2: Transfer Modalities 1hr 45 minutes (10:45-12:30)**

**Objectives of the session**

* Participants understand the differences between three main types of direct transfers: in-kind, cash and voucher.
* Participants are exposed to the possible advantages and disadvantages of cash transfers.
* Participants can determine when the different types of transfers are more appropriate.
* Participants understand when to use conditional and unconditional transfers.

**Key Messages**

* In-kind, cash or voucher transfers can all be appropriate responses; the decision to use one over the others should be based on the context.
* The different types of transfers can be given unconditionally or conditionally, depending on the target population, the objectives of the program and/or the timing of the transfer within the seasonal calendar.

**Materials**

* Handout 5.2.1 CaLP Advantages and disadvantages of cash-based approaches
* Handout 5.2.2 Comparing in-kind, cash and vouchers
* Handout 5.2.3 Cutouts for modality exercise (scenarios) w/ Cheat Sheet
* Handout 5.2.4 Handout on conditionality (ACF?)
* Tape

**Facilitation**

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| **Time** | **Method** | **Facilitation notes** |
| 10 mins  15 mins | Discussion (with or without PowerPoint)  Discussion | **Ask** participants what a transfer is:  *A transfer is a conveyance of something (property, assets, skills) from one person to another.*  **Ask** participants in what types of situations do we use transfers in our programming? Solicit examples of transfers.   * + *Emergency Needs* – e.g. food; NFI; shelter; water   + *Protect Assets* – e.g. feed and water for livestock; materials to reinforce homes   + *Restore Assets* – e.g. replace seeds lost in floods, repair shelters   + *Build Assets* – e.g. materials to improve or start new livelihoods; training to increase skills   **Define** the three main modalities of transfers   * + *In-kind transfers* – the direct provision of goods to targeted households. The goods can be purchased locally or regionally, or shipped from donor countries.   + *Cash transfers* – the provision of money to targeted households, with no conditions on how or where the money is used. However, it may be assumed that the cash will be used to meet needs identified in assessments.   + *Vouchers* – paper, token or electronic card that can be exchanged for a set quantity or value of goods or services. Vouchers are redeemable with preselected vendors.   ***Point out difference between cash and commodity vouchers***:   * + Cash vouchers – entitle the holder to buy goods or services up to the cash value written on the voucher. The beneficiary can use the voucher to purchase any items approved by the project from participating vendors.   + Commodity vouchers – exchangeable for a fixed quantity of certain goods or services from participating vendors. The voucher can be for a single item or a fixed basket of several items.   ***Note that transfers do not only apply to physical assets. We can transfer knowledge, access to services, etc.***    Start a discussion on cash-based programming.   * Who in the group has experience in cash-based programming? (*Cash-based programming includes both cash and vouchers*) * Solicit examples of cash-based programs implemented by participants. * What are some of the advantages of cash-based programming? *(record responses on left side of flip chart)* * What are some of the disadvantages of cash-based programming? *(record responses on right side of flip chart)*   After discussion of advantages and disadvantages, **distribute Handout 5.2.1** which summarizes main advantages and disadvantages, for reference. |
| 10 mins  15 mins  10 mins  10 mins  10 mins  20 mins | Groupwork  Plenary  Plenary  Plenary  Exercise  Discussion | Participants break into four (4) small groups.   1. Two groups discuss the conditions under which in-kind transfers are preferable to cash-based transfers (“in-kind groups”) 2. Two groups discuss the conditions under which cash-based transfers are preferable to in-kind transfers (“cash groups”)   Starting with the in-kind groups, ask one group for a condition under which in-kind transfers are preferable. Ask the second group to give another reason. Go back and forth between groups until they have exhausted their lists. Ask members of the of the cash groups if they have anything else to add. Record responses on a flip chart.  Repeat for the cash groups. Record responses on another flip chart. Summarize with PowerPoint slide comparing in-kind and cash transfers and/or distribute Handout 5.2.2.  In plenary, ask the participants when cash transfers are preferable to vouchers. Record the responses on a flip chart. Ask when vouchers are preferable to cash transfers; record responses on a flip chart. Summarize with PowerPoint slide comparing in-kind and cash transfers and/or distribute Handout 5.2.2.  **Conditionality: Ask** participants to define conditional and unconditional transfers.   * *Unconditional transfers* – provided to recipients solely because of their situation, e.g. malnourished, poor, drought-affected. No conditions or work are imposed to receive the transfer. * *Conditional transfers* – provided to recipients after certain conditions have been met, e.g. work/labor on public works, school enrollment, vaccinations.   Discuss when conditionality may be appropriate and when it is preferable to give unconditional transfers. Solicit responses from group and record on flip chart in two columns.  (#4 in the first column is in parentheses because this is a topic under debate)   * *Unconditional transfers* – attractive when labor markets fail or jobs are scarce; self-targeting, particularly where wage is set below daily wage rate; secondary benefits from public works projects, health visits, vaccination, etc.; may have less risk of dependency (this is a topic under debate). * *Conditional transfers* – costly; high management costs; harder to go to scale; can exclude highly vulnerable groups; can distort labor markets; rare in emergencies (behavior change objectives are not often appropriate in emergencies; conditions create additional requirements for already stressed households).   Distribute Handout 5.2.4 on conditionality, as reference.  Distribute different scenarios from Handout 5.2.3 to beneficiaries. Each participant will receive 3 scenarios (10 different scenarios in total). Can also b done in pairs or small groups. Each participant should quickly read his/her scenarios and tape them in one of the boxes of the following matrix (use flip chart paper to put matrix on wall):   |  |  |  |  | | --- | --- | --- | --- | |  | In-kind | Cash transfer | Voucher | | Unconditional |  |  |  | | Conditional |  |  |  |   Everyone stands around the board and looks where the different scenarios are placed. Did anyone put the same scenario in different boxes? Briefly discuss a few of the scenarios, and the statements that generally lead towards the different response options.  **Facilitator tip:** A “cheat sheet” with possible answers is provided for the facilitator. However, it should be noted that there is not one correct response for each scenario. There may be additional information required to determine the best response option. Participants may place the same scenario in different boxes; this is OK and meant to raise discussion only. The facilitator should not allow participants to get in detailed debates about any scenario, or defend the responses given in Handout 4.2.5. |
| 5 mins | Plenary | **Conclude** with key messages; solicit any thoughts, reactions or questions on transfer modalities from the participants.  Note: this can rollover a bit into post lunch time if felt needed and still enough time to do Action Plans sessions sufficiently. |

**Lunch Break (12:30-1:30)**

**Session 5.3: Action Plan 1hr 45 minutes (1:30-3:15)**

**Objectives of the session:**

* Identify key next steps to improve your current emergency response activities and better prepare yourself for expanded emergency response activities

**Materials**

* Handout 5.3 Critical Action Points template

**Facilitation**

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| **Time** | **Method** | **Facilitation notes** |
| 10 mins | Plenary | **Introduce** session and objectives  Review topics and main objectives and participants should start to think how they will be taking what they learned forward. |
| 40 mins | Groups | Participants should now join their country program groups and determine an action plan for how their country program can improve their current emergency response activities and better prepare for expanded emergency response activities.  Touch on:   * Sharing outputs and learning from this workshop * Resources needed * Future training needs * Opportunities for collaboration/coordination between participants in the room   They need to prioritize their steps. Identify 3 steps they can take over the next 1-2 months and who is responsible for ensuring these steps are taken. Be as specific as possible. Be realistic and practical.  The facilitator hands out flip chart paper to each group with 4 columns on it – 1) Critical Action Point, 2) Person(s) Responsible, 3) Resources/Support Needed, and 4) Timeline  The facilitator instructs each group to fill in the columns on the flip chart paper as per the instructions given above.  Facilitator’s Note: example might want to be presented on PPT slide or flip chart |
| 30 mins | Plenary | Each group briefly presents their critical action steps.  Plenary and facilitator provides feedback. Look for opportunities for collaboration/coordination between participants in the room. |
| 20 mins |  | Each group should refine their critical action plans based on feedback.  Also identify a way that these critical action plans will be monitored from outside the CP. Who will do this? Who can do this well and ensure this happens in each country? |
| 5 mins | Plenary | **Conclude** with key messages |

**Workshop Wrap-up 30 minutes**

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| --- | --- | --- |
| 10 min  10 min  10 min | Plenary  Plenary  Plenary | **Summarize Workshop and Highlight key points**  **Workshop Evaluation.**   * What went well during the entire workshop? * What could have been done better? * What should we change to make the workshop better?   **Certificate presentation**  **Photo–ops and autograph signings with Donal**  **Closing** |