**Facilitation Guide**

**WARO Emergency Response Workshop**

**September 17th-21st, 2012**

**Main Topics:**

1. Sphere
2. Emergency Needs Assessments
3. Emergency Assessments Analysis & Strategy
4. Cash & Voucher Programming
5. Emergency Proposal Writing

**Objectives:**

1. Strengthen knowledge of Sphere & know how to apply Sphere
2. Improve capacity to design & implement quality emergency needs assessments
3. Participants are able to analyze assessment information to develop an emergency response strategy
4. Increase knowledge of when cash and voucher programming is appropriate
5. Participants become familiar with the elements required for rapid response proposals and the formats of such proposals

**Day 1**

**Session 1.1: General Introductions 30 Minutes (8:30-9:30)**

**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 |
| 30 mn | PowerPoint  Plenary | * Welcome * Introduce facilitators * Introductions of participants * Objectives of the 5 day workshop * Weekly Schedule & Housekeeping |

**Session 1.2 Introduction to Sphere 45 minutes (9:30-10:15)**

**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 1.2: A Brief Introduction to Sphere

**Facilitation**

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| Time | Method | Content |
| 45 mn | Q&A  Introductory Powerpoint  Presentation  Plenary discussion | **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 #8:** Distribute Sphere handbooks. Give participants 5 minutes to mark sections with Post-It notes.  Spend sufficient time on the Humanitarian Charter. Emphasize highlighted sentences from book p.20-24  **Discuss** the participants’ experiences of applying Sphere in emergencies, or their opinion on the potential advantages and difficulties associated with doing so. |

**Session 1.3 Code of Conduct 1 hour (10:15-11:15)**

**Objectives:**

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

**Key Messages:**

* Code of conduct is a shared commitment within Caritas.
* 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 |
| 20 mn  20 mn  20 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, CRS/ Caritas is doing particularly well; and 1 principle where CRS/Caritas is weaker (or has faced challenges in applying the Code of Conduct in emergencies). Be prepared to share.*  **De-brief:** *[5mins x 4 groups = 20mins]*  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?  Wrap up with key messages |

**Tea Break**

**(11:15-11:35)**

**Session 1.4 Sphere Core Standards 1 hr (11:35-12:35)**

**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 p.49

**Facilitation**

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| Time | Method | Session |
| 10 mn | Plenary | Briefly **discuss** the core standards as an integral (and often overlooked) part of Sphere. Read all 6 of them and assign standards, one standard per group. |
| 20 mn | Group reflections (6 groups – 1 per common standard) | **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. If so, how? (i.e. cite practical steps you can take)* |
| 30 mn | Plenary discussion | 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 1.5 Sphere Technical Standards, Actions, Indicators, Guidance Notes**

**1 hr 40 mins (12:35-1:00, 2:00 -3:15)**

**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 1.5.1 of Sphere Categorize and Analyze Exercise Cut Outs (cut out each one and mix up) and Reference Sheet for Facilitators
* Handout 1.5.2: Printed scenarios and Instructions for Sphere Standards Exercise.
* Tape

**Facilitation:**

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| Time | Method | Content |
| 10 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. |
| 20mn | 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).  *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.* |
| 20mn | Plenary | In the front of the room set up flip charts. Ask one group to come up and tape up one standard and the related key action, indicator, and guidance note. Let other participants comment if their work is correct.  Allow each group to put up one standard at a time until all 9 sets are taped up.  Allow room for discussion and debate. |
| 20 mn | Group Exercise | **Divide** the participants into 5 groups of 5 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.* |
| 30 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)  **Refer** participants to pg. 8-9 “Conforming with the Sphere minimum standards”.  **Review** and identify some participant practices in use of Sphere and challenges as time allows  **Conclude** with key messages. |

**Lunch**

**(1:00-2:00)**

**Session 1.5 Sphere Technical Standards, Actions, Indicators, Guidance Notes**

**Continued (2:00-3:15)**

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

**Session 1.6. Emergency Assessments: Introduction 40 mins (3:35-4:15)**

**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 1.6: Case Study

PowerPoint presentation Emergency Assessments Slides

**Facilitation**

|  |  |  |
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| Time | Method | Content |
| 20 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 in the North.  **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. |

**1.7 Emergency Assessments: Planning 1hr 30 mins (4:15-5:00)**

**Start here and continue the next day**

**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 1.7.1: Assessment Exercise (Memo with description of disaster and group work instructions)

Handout 1.7.2: Assessment Tips and Planning Table

Handout 1.7.3: Emergency Assessment Guidance from Asia Region

PowerPoint Slides

Note Cards of 2 different colors, markers

**Facilitation**

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| 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: *[10 mins]*   * 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**  *[10 mins each]*  *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:  Note the link between this table and the Propack assessment planning table - the content is very similar but applied across time to the 3 phases.   |  |  |  |  | | --- | --- | --- | --- | |  | *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 and Emergency Assessment Guidance from Asia Region. 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. |

**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.**  **Daily Evaluation. -**  Distribute ‘post its’ to the participants.   * What went well today? * What could have been done better? |

**Day 2**

**Day 1 Re-Cap 8:30-9:15**

Good and bad summary from previous day

Summarize key messages from Day 1

**1.7 Emergency Assessments: Planning (9:15-10:00)**

**Continued from previous day**

**Session 2.1 Research methods: Bias and Triangulation – 30 mins (10:00-10:30)**

**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. Choose two optical illusions for the group, according to their language ability (Slide “Paris in the rain” will work with English speakers but slow readers will discover the repetition straight away), participants’ familiarity with these slides (Slide 2 is quite well known), and to maintain variety (Slides 2 & 3 can reveal an old lady or a young lady’s face depending how you look at it, Slides 4,5 & 6 use geometric shapes to trick the eye into seeing changes in size or movement, whereas Slides 7 & 8 have hidden words that will only be seen on close inspection)
* Handout 2.1 Biases and how to Overcome them with Triangulation

**Facilitation:**

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| 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).. |
| 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 2.2: Who to Talk to: Stakeholder Analysis -1hr 25 minutes**

**Start here and continue after tea break (10:30-11:00, 11:20-12:15)**

**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 2.2 Stakeholder Analysis

Prep flip chart pages for 4 categories

**Facilitation:**

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| 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). |
| 10 mn | Plenary discussion | **Refer** to Scenario (from Session 1.7) 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 case study on the grid to analyze their level of interest and influence on a possible emergency response  Does the table help us to think how to involve stakeholders with high interest and low voice? |
| 40 mins | Small group work | Form small groups. Each group selects 3-4 stakeholders and proposes how they should be involved in the assessment, then project design process. Remind participants to keep in mind a gender and vulnerability focus.  *Tip: Groups should work on stakeholders from different social groups in a village (or affected area); include a gender perspective; and at least one government or NGO/UN informant*  Each group presents. |
| 10 mins | Plenary discussion | **Review** challenges of systematically talking to key stakeholders in assessments and share ideas on how to ensure needs are appropriately identified.  **Wrap-up** with Key Messages. |

**Tea Break 11:00-11:20**

**Session 2.2 Who to Talk to: Stakeholder Analysis -1hr (11:20-12:15)**

**Continued from before tea break**

**Session 2.3 What Information to Collect: Emergency Assessment Tools- 1hr 55 mins (12:15-1:00, 2:00-3:10)**

**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 2.3 Tool Review Questions-Information

**Facilitation:**

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| 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 1st assessment or 2nd assessment (refer back to scenario from Session 1.7 and Handout 1.7.2 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] |
| 55 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 2.3  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? |

**Lunch Break – 1 hour (1:00-2:00)**

**Session 2.3 What Information to Collect: Emergency Assessment Tools**

**Continued from before lunch (2:00-3:10)**

**Tea Break (3:10-3:30)**

**Session 2.4 Data Collection Methods: Interviewing Skills – 1hr 30 mins (3:30-5:00)**

**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 2.4.1: Interviewing Skills

Handout 2.4.2: Individual Interviews (from the Good Enough Guide)

Prep interviewees

PowerPoint

**Facilitation:**

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| Time | Method | Content / Facilitation Notes |
| 10 mins | PowerPoint instructions  Pair buzz | **Ask** participants to think in pairs [Form new pairs]. “What should you do to conduct a good interview (DOs)? What should you not do (DON’Ts)?” For  The facilitator distributes cards (assign 2 colors) and asks each participant to jot down ideas, one idea per card. |
| 20 mins | Round robin in plenary | In plenary, **ask** each pair to share and post up ONE idea for Do’s and Don’ts to conduct a good interview, without repeating any ideas that have already been shared.  **Post** them on the board to create a list of DOs / DON’Ts.  Make sure all ideas are understood by the participants. Provide explanations when necessary. For example, clarify the difference between closed and open ended questions:  *Closed ended questions are those (“Do you eat millet?”) that can be answered by yes or no. These questions should be avoided whenever possible because they result in very stilted interviews. It is better to ask open ended questions (e.g. “What grains does your family eat?”) which encourage the respondent to answer more expansively and lead more naturally to follow up questions.*  [From Handout 2.4.1]  [Distribute Handout 2.4.1] Ask participants to read it and comment on any differences or new ideas. |
| 15 mins | Question and answer in plenary | 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 2.4.2] |
| 45 mins | PowerPoint instructions  Role play preparation  Role play  Discussion | **Return** to the scenario (from session 1.7), 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. They 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 * 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 2 Wrap Up**

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

**Day 3**

**Day 2 Re-Cap 8:30-9:15**

Good and bad summary from previous day

Summarize key messages from Day 2

**Session 3.1: Targeting and Scale - 1 hr 30 minutes (9:15-10:45)**

**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 3.1: Targeting Case Study

**Facilitation:**

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 10 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) |
| 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 resources will you allocate to each village? Give specific numbers. 2. What criteria will you use for targeting households?   Be prepared to defend your targeting strategy |
| 40 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 (10:45-11:05)**

**Session 3.2: Introducing Analysis Tools: Problem Tree and Matrices 2 hrs 55 minutes (11:05-1:00, 2:00-3:00)**

**Objectives**

* Participants understand the importance of a good analysis of the information collected in the assessment
* Participants reflect on various tools that they can use to analyze assessment information.
* Participants develop their problem analysis skills.

**Key Message:**

* Assessment and analysis often overlap in reality, even though they are presented as two stages in the project cycle (this is done for the sake of clarity of understanding)
* There are numerous tools for analysis, each with its own specific purpose.
* In the initial stages of an emergency, analysis may best be done by organizing the information, identifying risks (e.g. risk of epidemic due to poor sanitation) and prioritizing needs. A ranking matrix may be the best way to prioritize among competing problems, with criteria to include what (different categories of) people view as their most urgent priority, which are most life-saving, which carry associated risks, etc. Gap and capacity criteria can then be applied to the prioritization matrix.
* A problem tree may be a useful tool for analyzing and understanding the problems in the mid to long term. A core problem statement needs to be carefully defined: it should be situation specific, not too general; it should not be the absence of a solution; and it needs to say Who, What, Where.

**Materials:**

* Handout 3.2.1 Example of a problem tree
* Handout 3.2.2 Information + Prioritization Matrices
* Handout 3.2.3 BBC Cyclone report
* Handout 3.2.4-6 Group 1-3 Assessment Forms
* Handout 3.2.7 Tools for Analysis (from Propack I)

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Content / facilitation notes** |
| 30 mins | Small group work  Plenary discussion | In small groups, reflect on your experiences of doing the problem analysis after an emergency assessment. (Or draw on general project design experience).  Discuss   * What range of tools and methods do you actually use to analyze the information gathered in the assessment stage? Be very specific. * What are some of the key challenges or difficulties that you typically experience in analysis? Please discuss in particular   + - difficulties related to the process     - difficulties related to use of specific tools   Write these difficulties or challenges on pieces of paper. If possible, reflect on whether they are related to issues of knowledge, skills or attitudes. Be very specific. (15 mins)  Round robin debrief, one question at a time.  Facilitator posts challenges on the wall, under the relevant categories (knowledge, skills, attitudes). (15 mins)  *Make sure this reflection is done in detail, including challenges related to use of problem tree, etc.* |
| 20 mins  10 mins  40 mins  15 mins  30 mins  15 mins  15 mins | Plenary  Discussion  Presenta-tion  Exercise in plenary  Explanation  Group exercises  Presentations  Discussion | Problem Analysis – Prioritization  a) Distribute 3.2.1 or project the example of a problem tree [Ask participants for their opinion: is this a useful analysis of the problem? What are the advantages/disadvantages of using the problem tree to analyze this disaster? What further analysis needs to be done?  Participants may identify the following:   * + - *core problem defined as lack of a solution*     - *too many problems, too general*     - *messy, not organized into useful groupings*     - *few cause-effect linkages, because the cause is the disaster*   b) Explain that in the immediate stages of an emergency response, the need is to organize information and prioritize needs. These two steps can be done using matrices (simple tables) Handout 3.2.2: the first to present assessment findings by location and by sector; the second to prioritize problems as perceived by different sub groups within the community.  i) Matrix Showing Location and Information by Sector:  The first column is for the different locations assessed. The other columns are for the information collected, e.g food, NFIs, water, sanitation, etc. The table, when complete, presents the assessment findings organized by sector and geographic location.  In this exercise we will practice analyzing initial assessment data, as you would in an emergency. Handout 3.2.3. Three participants will be facilitators, and the others will form 3 assessment teams. Each group will read out its assessment findings, and the facilitator will fill in the information on the matrix. It may be best to complete the information by sector rather than by location (complete column 1, then column 2 etc). The facilitating team should take it in turns to facilitate and write notes. [Distribute the assessment forms 3.2.4-3.2.6 to each group and invite the facilitators to come to the front and prepare a large matrix to fill in in plenary. Start the exercise.]  c) The next step is to prioritize problems as perceived by different sub groups within the community. Organize information by regrouping some ideas into bigger ideas.  ii) The “prioritization matrix” organizes information by theme (e.g. houses are damaged or destroyed, food shortages, lack of potable water etc) and then ranks it according to degree of urgency for different categories of people. Urgency may be decided based on associated risks (e.g. risk of epidemic because of poor sanitation) as well as immediate life-saving impact.  In your “assessment team” groups (+ 1 group of facilitators) develop and fill in a prioritization matrix based on the assessment information from step 1.  d) Each group presents their matrix. Other groups ask questions, make comments and suggestions.  e) The facilitator asks the participants for feedback on the usefulness of these tools, and comparisons with the problem tree. Tips and recommendations are shared and noted. |

**Lunch 1:00-2:00**

**Session 3.2: Introducing Analysis Tools: Problem Tree and Matrices**

**Continued from before lunch (2:00-3:00)**

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

**3.3 Gap Analysis & Capacity Analysis 1 hr 40 minutes (3:20-5:00)**

**Objective:**

* To practice using a gap analysis and capacity analysis to decide which problems to address.

**Key Messages:**

* It is not necessary to do everything identified in the problem analysis because other agencies might be doing some of it, and we might not have the capacity to do it in compliance with Sphere standards. If there is an unmet need and we do not have the capacity to do it well, we should advocate for someone else to take it on rather than risking doing it poorly.
* A gap analysis tells us what other agencies are doing and helps us to see what we should focus on.
* Coordination requires dedicating time and human resources to attending meetings and documenting decisions. CRS and partners need to take a quick decision about which meetings to attend and who should attend them. Regular bilateral meetings are often most effective in deciding who works where. In the initial phase of an emergency, CRS and partners must keep coordinating with and talking to other agencies, because the situation is fluid and everyone is making decisions constantly. Coordination needs to continue, but at less frequent intervals, after the initial phase of the emergency.
* We must not delay meeting urgent humanitarian needs because of information gaps at the inter agency level. The gap analysis and program decisions need to be regularly reviewed and revised based on rapidly changing information.
* A capacity analysis tells us what are our strengths and our areas of weakness, and this should guide us in deciding which areas to work in.

**Materials:**

* Handout 3.3.1 Gap analysis
* Handout 3.3.2 SWOT analysis

|  |  |  |
| --- | --- | --- |
| Time | Method | Content |
| 1 hr 10 mins | Presentation  Groupwork  Discussion | Looking at the prioritization matrix, we need to decide which parts of it we are going to address:  - CRS and partners may not have the capacity to address priority problems well, ie in compliance with Sphere standards.  - other agencies might be doing some of it.  Tools to use at this stage are capacity analysis, in conjunction with Sphere standards; and gap analysis.  (10 mins)  Groupwork: Using the capacity analysis and gap analysis handouts, review the prioritization matrix and decide what issues you want to focus on. (30 mins)  Each group says which issues they have decided to address. Then go round and ask why. Discuss to reach consensus.  Remind participants that in the initial phase of an emergency response, the gap analysis needs to be regularly updated based on new information from coordination and bilateral meetings, and program decisions revised based on the changing situation. (30 mins) |
| 30 mins | Presentation  Pair buzz  Discussion | Information for the gap analysis is collected through coordinating with other agencies. Coordination is a constant process of talking, asking questions and sharing information. Coordination is an essential part of all emergency response, from assessment through analysis to implementation. (5 mins)  Ask participants to brainstorm in pairs lessons learned based on their experience of coordination in emergencies.  (10 mins)  Share ideas. Sum up with key messages. (15 mins) |

**Day 3 Wrap Up**

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

**Day 4**

**Day 3 Re-Cap 8:30-9:15**

Good and bad summary from previous day

Review Key messages from Day 3

**Session 4.1: Response Analysis: 1hr 30min (9:15-10:45)**

**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 3.2.3 BBC Cyclone report
* Handout 4.1.1 Response Analysis Framework
* Handout 4.1.2 Response Analysis Activity Sheet
* Flip charts and markers

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 40 mins | Presentation  Plenary | **Introduce** the topic of response analysis (PowerPoint)  - Setting the scene  - What is response analysis?  Why is response analysis important? Does the mode of assistance matter?  **Slides 5-10**: 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. After the audience gives examples, **move to slide 6** which shows a shock that affects each pillar.  Move to **slide 7** and ask for possible responses to each of the shocks. After soliciting ideas from the audience, show examples on **slide 8**.  Finally, ask the participants to think about the consequences of the wrong shock (**slide 9**):   * 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).   Show example responses on **slide 10**.  **Slide 11**: Show where response analysis fits in the project cycle.   * Reference how this relates to the needs assessment sessions covered earlier. * Note that RA is not fixed or a “one-time” activity. Response analysis should start even before the shock happens (e.g. preparedness).   **Slide 12**: Types of response options  **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 13**.  **Slide 14**: Ask participants for examples of direct and indirect responses. Record responses on a flip chart.   * *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.   **Facilitator Note:** Both of these plenary exercises can first be discussed in pairs or small groups if there is time.  **Slide 15**: Identifying response options  **Slide 16**: Note the Tufts University study which reports that often response analysis is driven by assumptions and factors that are not evidence-based.   * Need to move response analysis into a more evidence-driven process that identifies the responses most appropriate in the specific context. |
| 20 mins  20 mins | Groupwork  Discussion | Building off of the outcome of the exercise in Session 3.2 (Prioritizing response to the Pakistan cyclone), groups should answer the following questions for the sector they chose to prioritize, using the Response Option Framework in **Handout 4.1.1**:   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. |

**Session 4.2: Transfer Modalities 1hr 55 minutes (10:45-11:00, 11:20-13:00)**

**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 4.2.1 CaLP Advantages and disadvantages of cash-based approaches
* Handout 4.2.2 Comparing in-kind, cash and vouchers
* Handout 4.2.3 ACF comparison of free vs. labour-based grants
* Handout 4.2.4 Cutouts for modality exercise (scenarios)
* Handout 4.2.5 Facilitator Cheat Sheet
* Flip charts
* Tape

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 15 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, show **slide 22** which summarizes main advantages and disadvantages of cash-based programs. **Distribute Handout 4.2.1**, for reference. |
| 10 mins  15 mins  10 mins  15 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 **slide 23** comparing in-kind and cash transfers.  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 **slide 24** comparing in-kind and cash transfers. **Distribute Handout 4.2.2**, for reference.  **Conditionality: Ask** participants to define conditional and unconditional transfers (**slide 25**).   * *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. * Move to **slide 26** to show definitions.   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).   **Show slide 27** and **distribute Handout 4.2.3** on conditionality, as reference.  Distribute different scenarios from **Handout 4.2.4** to beneficiaries. Each participant will receive 3 scenarios (10 different scenarios in total). 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 in **Handout 4.2.5**. 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. |

**Tea Break**

**(11:00-11:20)**

**Session 4.2: Transfer Modalities**

**Continued from before Tea Break (11:20-1:00)**

**Lunch Break**

**(1:00-2:00)**

**Session 4.3: Market Concepts 1hr 30 minutes (2:00-3:30)**

**Objectives of the session**

* To introduce participants to key market concepts that influence the choice of response options.

**Key Messages**

* Most people, especially the poor, rely on markets to provide food, essential goods and services; markets also provide access to paid work, and an outlet for selling commodities and services.
* Strengthening markets can improve everyone’s lives and livelihoods; harming markets can have serious negative impacts, particularly on the poor.
* It is important to understand markets, so we know if our programs are strengthening or harming them.

**Materials**

* Handout 4.3.1 Market Concepts Exercise Group 1: Market Integration
* Handout 4.3.2 Market Concepts Exercise Group 2: Government Policies
* Handout 4.3.3 Market Concepts Exercise Group 3: Seasonality
* Handout 4.3.4 Market Concepts Exercise Group 4: Competition & Market Power
* Handout 4.3.5 FEWS Policy Impacts Handout
* Handout 4.3.6 Facilitator Cheat Sheet

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 20 mins | Plenary (with or without PowerPoint) | **Introduce** the session by asking participants why markets are important (for beneficiaries, for our work).  **Review/define** key market definitions:   * + **Markets** – where buyers and sellers come together to obtain information and exchange *commodities*.   + A *commodity* is something tangible, that has value and can be exchanged.   + **Market chain** – sequence of *market actors* who buy, sell and transform a product or item as it moves from the initial producer to final consumer   + *Market actors* are all the different individuals and enterprises involved in buying and selling in a market system.   **Ask**participants to name different market actors, and write on flip chart   * + - Small-holder farmers, large-scale producers, assemblers, importers/exporters, traders, itinerant traders, processors, transporters, wholesalers, retailers and consumers.     - Along a market chain, each trader buys and sells at different prices; the difference between the buying and selling price – minus other costs (storage, transport) – is called the **margin**.   + **Market system** – complex web of people, trading structures and rules that determines how goods and services are produced, accessed and exchanged.   **Ask:**When we consider the whole market system, who else might we consider in the list above? Add to the flip chart of market actors.   * Others behind the scenes: storage owners, input suppliers, credit suppliers, government officials and policies   **Introduce** the concepts of market characteristics and efficiency, using **slide 36** of the PowerPoint. Tell the participants that we will look more closely into a few of these issues in the following exercise. |
| 25 mins  40 mins | Groupwork  Plenary | Participants break into four (4) groups. Each group will be given a different market concept to discuss. A set of questions is given to guide the discussions.   * 1. Group 1: Market Integration (Handout 4.3.1)   2. Group 2: Government Policies (Handout 4.3.2)   3. Group 3: Seasonality (Handout 4.3.3)   4. Group 4: Competition and Market Power (Handout 4.3.4)   Each group will have 25 minutes to discuss the questions and to prepare a 5 minute presentation to the group on their subject.  **Facilitator tip:** Participants should be told that these are new concepts and it is not expected to that they will know all the answers. This is only to introduce the topics. Groups should ask for assistance if they are stuck.  Each group has five minutes to present their topic. After the group presents, the facilitator may need to supplement the information. Answers/discussion points are provided in the power point presentation (**slides 37- 44**), as well in **Handout 4.3.6 (Facilitator Cheat Sheet)**.  Distribute **Handout 4.3.5**, for reference. |
| 5 mins | Plenary | **Conclude** with key messages; solicit any thoughts, reactions or questions on market concepts from the participants. |

**Tea Break**

**(3:30-3:50)**

**Session 4.4: Market Mapping 2hr 15 minutes (3:50-5:00)**

**Objectives of the session**

* Participants understand the main elements of a market system.
* Participants can produce baseline and post-conflict maps of a market given system that can effectively communicate information to others and aid in program design.

**Key Messages**

* Market maps can be used to:
  + Collate and represent info about market systems
  + Assist comparisons of pre-emergency (baseline) and emergency-affected situations
  + Facilitate discussion, interpretation and analysis by the assessment team
  + Communication findings about market systems to others.

**Materials**

* Handout 4.4.1 Exercise: Mapping the taxi market system
* Handout 4.4.2 Facilitator Cheat Sheet, taxi market exercise
* Flipcharts and markers

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 5 mins  30 min  15 min  15 min | Plenary (with or without PowerPoint)  Exercise  Discussion  Plenary | **Introduce** the session by asking participants to recall the definitions for market chains and market systems discussed in the last session.   * + **Market chain** – sequence of *market actors* who buy, sell and transform a product or item as it moves from the initial producer to final consumer.   + **Market system** – complex web of people, trading structures and rules that determines how goods and services are produced, accessed and exchanged.   Mapping the taxi market system  Participants divide into five (5) groups. Distribute Handout 4.4.1 to each of the groups. Group members should read the scenario and prepare their map and responses on the flip chart paper provided. At the end of the exercise, each group tapes their flip chart to the wall.  Participants quickly walk around the room to view the other maps. Solicit comments/thoughts from participants on the exercise:   1. Was it easy or hard to represent the situations on the map? 2. Do they think their maps can clearly communicate the situation to others? 3. How would they gather more information, and who would they ask? 4. What other factors might be important to consider? 5. Were they able to identify response options? What are some examples?   Introduce the concept or market maps (PowerPoint)   * What are they? (**slide 47**) * How are they used? (**slide 48**) * Establishing the baseline (**slide 49**) * Elements of the market map (**slides 50-1**)   + Market chain   + Infrastructure, inputs and services   + Institutions, rules, norms and trends |
| 15 mins  15 mins  15 mins  15 mins  5 min | Plenary/  Groupwork  Plenary/  Groupwork  Plenary/  Groupwork  Plenary/  Groupwork  Plenary | Mapping the market chain (**slide 52**)  **Say:** The central feature of the market system map is the market chain.  **Ask** someone to remind us of the definition of a market chain:   * *Different market actors who exchange, buy and sell goods, as the goods move from primary producer to consumer.*   First step is to identify the businesses involved in the market chain. Who are the actors? (**slide 53**)  Second step is to work out the linkages between – who sells to whom, and how (**slide 54**).  Note: some market systems may have only one market chain; in some cases, you may identify several interacting and competing market chains (**slide 55**).  **Say**: so far we have information on the different market actors and how they relate to one another. Is this map (**slide 55**) conveying other information?   * What can we say about the scale, size or importance of different sources of supply and linkages to the target groups? * This can be indicated by using *different thickness of arrows* and *different sized boxes*.   **In groups**: map out the market chain for the taxi market on a flip chart. Indicate the target population. Have one group draw the market chain on the flipchart in front of the room.  Mapping infrastructure, inputs and services (**slide 56**)  **Say:** The second step of market mapping is concerned with the various forms of infrastructure, inputs and services that support the system’s overall functioning.  **Ask** participants for examples:   * Water and electricity utilities; input suppliers (seeds, livestock, fertilizers, etc.); market information services; financial services (credit, savings, insurance); transport services and infrastructure; technical expertise and business advice.     **Show slide 57.**  Identify the most crucial elements of the infrastructure and services, and link these to their users in the market system.   * Aim is to get the overall picture of the role that these services play in maintaining the market system’s efficiency and accessibility.   **In groups**: map out the infrastructure, inputs and services for the taxi market. Link the services to their users. Have one group add the infrastructure, etc. to the flipchart at the front.  Mapping the market environment (**slide 58**)  **Say:** The third step of market mapping is concerned with issues and trends that influence the market environment in which producers, traders and other market actors operate. These can be institutions, rules, norms and trends.   * The market environment is shaped by various policies, regulations, social and business practices and trends – both formal and informal.   **Ask** participants for examples:   * Weak regulatory framework, e.g. contract enforcement, land tenure systems; licensing regulations, formal taxes; corruption and bribery; informal taxes; gender, ethnic discrimination; different roles and responsibilities of men and women; environmental trends, e.g. natural resource depletion, climate change; population movements; economic trends, e.g. global food prices.     **Show slide 59.**  We are interested in the most important issues that affect the functioning of the market before and after the crisis, even if there is little that the humanitarian agencies can do to alter them.  **In groups**: map out the institutions, rules and norms for the taxi market. Have one group add this to the flip chart.  **Show full map** (**slide 60**).  Mapping the impact of the emergency (**slide 61**)  **Ask** what are the possible impacts of emergencies on market systems:   * Disappearance of some market actors * Partial or complete disruption to some linkages or relationships in the chain * Damage to infrastructure, blockage of services, * New relationships formed as coping strategies * Change in relative importance of linkages (e.g. volumes) * Introduction of new supply channels (e.g. food aid)   **Show slide 62.**  Once you have a preliminary draft baseline map, it is possible to start recording the impact of the crisis.   * Impacts can be indicated on the map using simple visual flags to highlight various kinds of disruptions to market actors, functions and linkages (**slides 63-4**). * Understanding the impact of the crisis on the market system should inform the selection and design of responses. * **Retain both baseline and emergency maps for comparisons.**   **In groups**: Quickly redraw your baseline map without any of the arrows or connecting lines. Now put in the symbols and draw new arrows and lines that reflect the impact of the emergency. Draw anything that has changed in red.  Finalizing market-system maps (**slide 65**)   * Once you have draft baseline and post-emergency maps, identify the areas for which you need more information * Interview market actors and key informants * Where possible, quantify the linkages on the maps (number of actors, volumes, prices) * Refine maps * It’s very possible that during field work you will discover new actors, services, rules that you were not aware of. You might also find that some actors previously identified are not important to your targeted beneficiaries.   **Show slides 66-7 as examples of EMMA baseline and post-crisis maps.** |
| 5 mins | Plenary | **Conclude** with key messages; solicit any thoughts, reactions or questions on market mapping from the participants. |

**Day 4 Wrap Up**

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

**Day 5**

**Day 4 Re-Cap 8:30-9:15**

Good and bad summary from previous day

Review Key messages from Day 4

**Session 4.3: Market Assessment 1hr 30 minutes (9:15-10:45)**

**Objectives of the session**

* Participants have increased their capacity to do a market assessment.
* Participants have identified key questions to ask market actors during an assessment.

**Key Messages**

* Market assessment is vital to:
  + Assess the market’s capacity to meet demand before an emergency;
  + Explore the impact of the emergency on the market;
  + Estimate the market system’s capacity to contribute to emergency response (e.g. cash-based responses)
  + Identify market-support options.

**Materials**

* Handout 5.1.1 CaLP Key Market Assessment Questions
* Handout 5.1.2 Sample market survey
* Handout 5.1.3 Facilitator Cheat Sheet
* Flipcharts and markers

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 20 mins | Plenary (with or without PowerPoint) | **Introduce** the session by asking participants why it is important to do a market assessment.   * *Assess the market’s capacity to meet demand before the emergency* * *Explore the impact of the emergency on the market* * *Estimate the market system’s capacity to contribute to emergency response (e.g. cash-based responses)* * *Identify market-support options.*   **Discuss:**   * Timing of the market assessment (**slide 70**) * Methods used in market assessment (**slide 71**) * Key market assessment questions (**slide 72**) * Tips for good trader interviews (**slide 73**) |
| 30 mins  30 min | Groupwork:  Global Café  Discussion | Place flip charts around the room with the following headings:   1. Households/consumers 2. Retailers/ wholesalers 3. Transporters 4. Observation/Prices 5. Key Informants   Each group starts at one of the flip charts, and identifies questions to ask the stakeholder written at the top of the paper.   * After 8 minutes, the groups move in a clockwise direction to the next flipchart. Each groups reviews the questions that have already been written and adds others. If anyone disagrees with any of the questions, they can indicate changes * The time allocated during each cycle should be decreased. A suggested schedule is below; although the facilitator can move groups more quickly if it looks like they are finished:   + 1st station: 8 min   + 2nd station: 8 min   + 3rd station: 5 min   + 4th station: 5 min   + 5th station: 4 min   Each group should return to the station where they started and quickly review the additions/changes. The facilitator then takes all the groups around the stations and identifies the key questions that should be asked, referring to **Handout 5.1.3:** Facilitator Cheat Sheet, as needed.  Distribute **Handouts 5.1.1-2** to participants, for reference. |
| 10 mins | Plenary | **Conclude** with key messages; solicit any thoughts, reactions or questions on market assessment from the participants. |

**Tea Break**

**(10:45-11:05)**

**Session 5.2: Proposal Writing 1hr 25 minutes (11:05-12:30)**

**Objectives of the session:**

* Participants able to develop emergency proposal in structured and logical way

**Key Messages:**

* ER proposals are about documenting the organization decisions (what, where, who, how) for communication to relevant stakeholders, and about securing funding as needed.
* ER proposals describe the early stages of emergency situation and how the organization will respond to the situation.
* Keep the proposal simple and well structured 🡪 timeliness is most important.
* ER proposals should be reviewed by using proposal review check list

**Materials:**

* Handout 5.2.1 Emergency proposal template
* Handout 5.2.2 Proposal checklist
* CI Emergency Appeal Format

**Facilitation**

|  |  |  |
| --- | --- | --- |
| **Time** | **Method** | **Facilitation notes** |
| 15 mins | Plenary | **Introduce** session and objectives  Encourage participants to share their experience by asking the following questions:   * Do you have experience in writing proposal? (any kind of proposal, not limited to ER). * How do you do the proposal writing? * What information do you need to make the proposal? |
| 45 mins | Groups | Facilitator distributes ER proposal template (handout 5.1.1) then explains the relationship between them.  Using a created scenario or scenario from previous sessions ask participants in groups to write an abbreviated ER Proposal. Each group produces their own ER proposal. Only SO and IR that need to be well written, the rest can be in bullet points. |
| 20 mins | Groups  Plenary | Facilitator distribute proposal checklist (Handout 5.2.2) for review to each participants. Ask groups to exchange their own proposal with another to cross check with the checklist and write the comments in the post it.  Allow participants to report back for a few minutes about what they learned from each other |
| 5 mins | Plenary | **Conclude** with key messages |

**Workshop Wrap-up 30 minutes (12:30-1:00)**

|  |  |  |
| --- | --- | --- |
| 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**  **Closing** |