CRS ASIA

EMERGENCY PREPAREDNESS AND RESPONSE TRAINING

GUIDE FOR TRAINERS

CRS
CATHOLIC RELIEF SERVICES

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CRS ASIA

Emergency Preparedness and Response Training

Guide for Trainers

Modules 1 – 8

Emergency Operations Department

Catholic Relief Services

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ABOUT THESE GUIDELINES

I. BACKGROUND AND PURPOSE

This guide is meant to support Catholic Relief Services and our partner staff development initiatives in emergency response. It aims to strengthen capacities to respond effectively to both natural and human-made disasters wherever they occur, in our country programs or areas of operation. The training content focuses on the *program quality* aspects of emergency preparedness and response (EPR) and builds on capacity building programs conducted across South Asia with both partners and CRS staff over the course of four years.

In addition to serving as a training resource, it provides guidance on using Sphere at the various stages of the emergency project cycle from emergency assessment and project design, to monitoring and evaluation. It promotes practical, tangible approaches to program quality in emergencies that build on lessons learned in responses in India, Pakistan, Afghanistan, Bangladesh, Sri Lanka and Nepal.

II. STRUCTURE OF EACH MODULE

The guide is organized in sessions that can be conducted as stand-alone modules or in combination. Modules are between half a day to three days in length. This is based on six hours of training a day, not including introductions, energizers, recaps, quizzes, action planning, lunch and tea breaks.

Modules are structured to include:

- ~~Brief Overview with Objective, Results, Tips and Further Resources~~
- Facilitation Process + Exercises
- Resources

Handouts containing relevant group instructions, scenarios and supporting documentation are included with each module.

The proposed exercises should be taken as illustrative and should be adapted based on the local context. This will make them more practical, enrich the discussions and better prepare participants for response in their own countries.

Timings are only indicative. They are estimated for a quick-working, English-speaking group, and could be doubled or tripled if participants are new to emergency response or working through translation.

III. TIPS FOR PLANNING AND FACILITATION (ADAPTING AND KEEPING IT DYNAMIC)

- Allow plenty of time for preparation. As a facilitator, read the facilitation guide and background documents, prepare materials, adapt scenarios and master your brief.
- Select your participants carefully. Identify people who will understand it, use it and be capable of passing it on to their colleagues.
- Ensure that you have ample wall space and room for participants to move around.
- Adapt scenarios for the emergency context of given country.
- Include introductory and refresher exercises, as needed.
- Break it up with energizers, quizzes and games.
- Keep course objectives, key terms and messages visible throughout the workshop.
- Encourage individual commitments and allow time for action planning.

Further training facilitation tips are available online at **The Sphere Project** and on CRS Global Asia, **TOT Training Resources**.

SUMMARY OF MODULES

MODULE 1: INTRODUCTION TO SPHERE (1 DAY)

Objective

- To become familiar with the Sphere Project and the *Humanitarian Charter and Minimum Standards in Humanitarian Response*

Expected Results

- Participants understand and know how to apply Sphere.
- Participants can effectively utilize and promote adherence and utilization of Sphere in their emergency response programs.

~~Brief Overview~~

Session 1.1	The Sphere Project—Overview (including *Humanitarian Charter*)	(1½ hr.)
Session 1.2	Code of Conduct	(1 hr.)
Session 1.3	Sphere Core Standards	(1¼ hr.)
Session 1.4	Sphere Minimum Standards, Key Actions, Key Indicators and Guidance Notes	(1 hr.)
Session 1.5	Practical Applications and Challenges	(1½ hr.)

Further Resources

- The Sphere Project website: www.sphereproject.org

MODULE 2: PARTICIPATION AND ACCOUNTABILITY IN EMERGENCIES (½ DAY)

Objective

- To introduce humanitarian accountability and explore opportunities for participation

Expected Results

- Participants understand the terms *accountability* and *participation* and know what steps can be taken to ensure that they are met.
- Participants are familiar with the *Good Enough Guide* and the Sphere Core Standard on Participation and can effectively use GEG Tools in their programs.

~~**Brief Overview**~~

Session 2.1	Participation and Accountability—What Do We Mean?	(¾ hr.)
Session 2.2	How Accountable Are We Really?	(1 hr.)
Session 2.3	Putting Accountability Into Practice	(¾ hr.)
Session 2.4	Practical Applications: Putting People Back Into Projects	(1¼ hr.)

Further Resources

- Good Enough Guide + GEG Training Modules
- The Sphere Handbook (Core Standards)
- Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners (Volumes I and II)

MODULE 3: EMERGENCY NEEDS ASSESSMENTS (2½–3 DAYS)

Objective

- To design and lead rapid, participatory emergency assessments

Expected Results

- Participants understand the importance of sound emergency assessment planning.
- Participants are knowledgeable about the methods, tools and best practices for emergency assessments.
- Participants are capable of designing emergency assessment processes appropriate to the context.

Session 3.1	Emergency Assessments: Introduction	(½ hr.)
Session 3.2	Emergency Assessments: Planning	(2 hr.)
Session 3.3	Research Methods: Bias and Triangulation	(1 hr.)
Session 3.4	Data Collection Methods: Interviewing Skills	(1¼ hr.)
Session 3.5	Data Collection Methods: Transect Walk	(1¾ hr.)
Session 3.6	Data Collection Methods: More Participatory Methods	(2½ hr.)
Session 3.7	Whom to Talk to: Stakeholder Analysis	(1½ hr.)
Session 3.8	What Information to Collect: Emergency Assessment Tools	(3 hr.)
Session 3.9	Reviewing Existing Emergency Assessment Tools	(1¼ hr.)
Session 3.10	Data Analysis	(1 hr.)
Session 3.11	Preparing to Your Assessment Team	(1 hr.)

Further Resources:

- **CRS ASIA Emergency Assessment Guidance**, revised March 2009
- CRS Emergency Assessment Manual
- Emergency Assessment PowerPoint presentation, CRS-Trocaire
- Rapid Rural Appraisal (RRA) and Participator Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners (Vols. I and II)
- Caritas Internationalis Emergency Response Toolkit (2007)
- *Do No Harm: How Aid Can Support Peace—Or War*, by Mary B. Anderson
- ProPack I (Stakeholder Analysis + Assessment Planning, Table 3.5—if Catholic Relief Services audience)
- Good Enough Guide
- CRS Asia M&E Guidance (pp. 63–65)

MODULE 4: EMERGENCY NEEDS ASSESSMENT SIMULATION (1½ DAYS)

Objective

~~•~~ To be able to design and lead rapid, participatory emergency assessments.

Expected Results

- Participants are capable of designing and implementing an emergency needs assessment appropriate to the context.
- Participants identify best practices for emergency needs assessments and action points to ensure best practice in the future.

~~**Brief Overview**~~

Session 4.1	Planning a Needs Assessment	(45 min.)
Session 4.2	Implementing a Needs Assessment	(1 hr.)
Session 4.3	Coordination	(30 min.)
Session 4.4	Analysis	(45 min.)
Session 4.5	Debrief: Assessment Planning	(45 min.)
Session 4.6	Debrief: Numbers Affected	(30 min.)
Session 4.7	Debrief: Coordination and Gap Analysis	(1¼ hr.)
Session 4.8	Sectoral Debrief: Wat-San, Health, Food Security, Shelter	(45 min. × 4 = 3 hr.)
Session 4.9	Action Planning	(1 hr.)

Further Resources

- CRS ASIA Emergency Assessment Guidance, revised March 09
- CRS Emergency Assessment Manual
- Caritas Internationalis Emergency Response Toolkit (2007)
- Good Enough Guide
- ProPack I (p. 65, Assessment Planning Questions)

MODULE 5: ANALYSIS AND PROJECT DESIGN (2½ DAYS)

Objective

To analyze assessment information and develop an emergency response strategy and results framework

Expected Results

- Participants are able to use various tools for analysis, such as problem trees, ranking matrices, conceptual frameworks, gap analysis and capacity analysis
- Participants are able to develop gender-responsive, innovative, appropriate emergency response strategies.
- Participants are capable of making decisions on targeting and scale.
- Participants are able to develop a results framework.

~~**Brief Overview**~~

Session 5.1	Introducing Analysis Tools: Problem Tree, Matrices and Conceptual Frameworks	(3½ hr.)
Session 5.2	Gap Analysis and Capacity Analysis	(1½ hr.)
Session 5.3	Program Objectives and Program Components	(1¾ hr.)
Session 5.4	Gender-Responsive Programming	(2 hr.)
Session 5.5	Strategy Selection	(1½ hr.)
Session 5.6	Targeting and Scale	(1½ hr.)
Session 5.7	Means-to-End Logic: Results Frameworks	(1 hr.)
Session 5.8	Putting It Together	(1 hr.)

Further Resources

- Sphere Handbook
- ProPack I

MODULE 6: TECHNICAL DESIGN AND DISTRIBUTIONS (2 DAYS)

Objective

To use Sphere to design context-specific and appropriate response strategies

Expected Results

- Participants are familiar with the minimum standards in each sectoral chapter of Sphere.
- Participants are able to use technical guidance notes in Sphere.
- Participants are familiar with a range of practices or strategies in the various sectors.
- Participants are capable of registering beneficiaries and organizing a distribution.

~~Brief Overview~~

Session 6.1	Sphere Standards on Food Security and Strategy Design	(2 hr.)
Session 6.2	Sphere Standards on Wat-San and Strategy Design	(3½ hr.)
Session 6.3	Sphere Standards on Shelter and Settlement and Strategy Design	(2 hr.)
Session 6.4	Strategy Review	(1½ hr.)
Session 6.5	~~Beneficiary~~ Registration	(1½ hr.)
Session 6.6	How to Organize a Distribution	(1½ hr. or 2 hr. 20 min.)
Session 6.7	Alternatives to Distribution	(1 or 2 hr.)

Further Resources

- Sphere Handbook
- CRS Voucher Methodology: Step by Step Training Cum Implementation Handbook, CRS Asia
- Operation and Maintenance Training Manual, A Guide for CRS Staff
- Guidelines for Cash Transfer Programming, IFRC-ICRC
- Cash and Vouchers in Emergencies, HPG
- CRS Guidelines for Shelter Programming
- CRS Minimal Technical Information Requirements For Preparing/Reviewing Shelter Sector Proposals
- Engineering in Emergencies, RedR
- Many more resources are available on the CRS Emergency Community Intranet.

MODULE 7: EMERGENCY MONITORING AND EVALUATION SYSTEMS (2½ DAYS)

Objective

To improve the overall effectiveness and accountability of emergency response programs

Expected Results

- Participants are able to use or apply Sphere in assessments and M&E (monitoring and evaluation) for emergency programs.
- Participants are equipped to (work with partners to) develop "good enough" monitoring systems for emergency response programs.
- Participants have the knowledge and skills required to conduct a real-time evaluation (RTE).

~~Brief Overview~~

Session 7.1	Project Frameworks	(1¼ hr.)
Session 7.2	Indicators	(1½ hr.)
Session 7.3	From Logframes to M&E plan: Indicators and Means of Verification	(1 hr.)
Session 7.4	M&E Plan: Analysis and Use of M&E Information	(1½ hr.)
Session 7.5	Monitoring Systems	(1½ hr.)
Session 7.6	Monitoring Forms	(2 hr.)
Session 7.7	Reviewing M&E Systems: Accountability	(1½ hr.)
Session 7.8	Reviewing M&E Systems: Emergency Phases	(2 hr.)
Session 7.9	Sampling—Overview	(30 min.)
Session 7.10	Real-Time Evaluations	(2 hr.)

Further Resources

- CRS Asia M&E Guidance
- CRS ProPack I and II
- Caritas Internationalis Emergency Response Toolkit, Sections 4, 5, 6
- Real Time Evaluations of Humanitarian Action, an ALNAP Guide

MODULE 8: REFRESHER TRAINING: PULLING IT ALL TOGETHER

(2½ DAYS)

Objective

~~•~~ To put assessment, analysis and strategy design skills into practice in a simulated emergency.

Expected Results

- Participants are able to use or apply Sphere in emergency assessments, analysis and project design.
- Participants are able to develop an emergency proposal to respond to a simulated emergency.

~~Brief Overview~~

Session 8.1	Assessments Revisited	(2 hr.)
Session 8.2	Sphere Revisited	(1½ hr.)
Session 8.3	Project Design: Analysis and Strategy Selection	(5 hr.)
Session 8.4	Project Design: Strategy Review	(2 hr.)
Session 8.5	M&E Review	(3½ hr.)

Further Resources

- CRS Asia M&E Guidance
- CRS ProPack I and II
- Caritas Internationalis Emergency Response Toolkit, Sections 4, 5, 6
- Good Enough Guide
- Sphere Handbook

ANNEXES Introduction

GLOSSARY OF KEY TERMS

Accountability	Being responsible for what you do and being able to explain the reasons for it.
Analysis	The process of turning data (either qualitative or quantitative) into information.
Data	Raw, unanalyzed material (facts, figures, opinions and perceptions), gathered by an information system (ProPack II).
Evaluation	Periodic, systematic assessment of a project's relevance, efficiency, effectiveness, impact and sustainability on a defined population
Monitoring	Continuous process of collecting, analyzing and documenting information in order to report on progress toward achieving project objectives. It provides early indications of change to ensure project success (CI Toolkit).
Reflection events	Opportunities to analyze and interpret data with a variety of stakeholders and to use these data to inform the project decision-making process.
Sampling	Selecting a smaller part to reliable represent a larger part or a whole.
System	Organized, interdependent activities or components and clear procedures that contribute to a defined purpose (CI Toolkit).
Telescoping	Adjusting the breadth or depth to which you apply concepts and materials to suit the context or particular needs at hand in a given situation in order to get the best result (ProPack II).
Triangulation	Using a range of methods, types of information, diversity of team members and sector perspectives to cross-check collected information, thereby increasing its quality and validity

ANNEX 0.1 LEARNING NEEDS AND RESOURCE ASSESSMENT

PARTICIPANT PROFILE

1. Your role in the organization is *(check one)*

____ Executive / senior manager____ Program manager / coordinator

____ Field officer ____ Administrative / finance staff

Other *(specify)* ________________________

2. How long have you worked with your organization? _______ years

3. Do your job responsibilities formally include any duties related to emergency response?

____YES ____ NO

If YES, please detail your specific role :

4. Have you been involved in an emergency response?

____YES ____ NO

5. If YES, please detail:

Location / date(s):

Type of emergency:

Your role :

PARTICIPANT EXPERIENCE

6. Have you ever attended a training or received capacity building on any of the following topics?

Sphere minimum standards	____YES	____ NO
Monitoring and evaluation	____YES	____ NO
Community mobilization /		
Participatory rural appraisal (PRA)	____YES	____ NO
Project design / proposal writing	____YES	____ NO
Training / facilitation skills	____YES	____ NO

If you answered YES to any of the above, please detail (use extra page, if needed):

Year of training _____________ Duration _____________

Organized by _________________

State one thing that you learned during the training:

7. How familiar are you with Sphere? _____________ Rate on scale of 1–5, with 1= not familiar and 5 = very familiar

If you rated yourself 3–5, describe two main challenges in applying Sphere:

8. From your experience, cite three different methods that can and should be used during an emergency assessment:

9. What do you personally find most difficult when responding to an emergency?

10. Please state your expectations from the workshop:

ANNEX 0.2 MONITORING AND EVALUATION IN EMERGENCIES

TRAINING PRE-TEST

	QUESTION	POINTS
1.	Who are we accountable to in emergencies? **(Circle all that apply)** a. Donors to our response b. Caritas Internationalis (CI) partners who are not contributing to the emergency appeal c. Women affected by the emergency d. Local government officials in the target district e. Communities that host internally displaced persons (IDPs) not targeted by the project f. Merchants who participate in the voucher program	**1**
2.	What systems and procedures need to be in place to ensure we have an accountable response? **(Circle all that apply)** a. Procurement systems b. Logistics tracking systems c. ~~Beneficiary~~ registration systems d. Regular meeting schedule e. Monitoring system	**1**
3.	Monitoring should not include community participation or input. **TRUE or FALSE.**	**1**
5.	Impact monitoring data should start to be collected at the midterm. **TRUE or FALSE.**	**1**
6.	Evaluations are important to reinforce and document learning so as to improve our future response. **TRUE or FALSE.**	**1**
7.	Which of the following indicators are SMART (specific, measurable, attainable, relevant, time-bound)? **(Circle all that apply)** a. Number of families that have received 10 days of cash from cash-for-work activities within the first month of the project b. Households that are supportive of hygiene practices c. Percentage of complete houses that meet Sphere standards for shelter design d. Shelters that are being constructed e. Number of water sources with improved water quality	**2**
8.	Why do we need both quantitative and qualitative data in our monitoring system?	**2**
9.	What is a “good enough” method for checking the appropriateness of the content of your nonfood item (NFI) kit content?	**2**
10	A monitoring system is often more complex for the rehabilitation phase than for the immediate relief phase. **TRUE or FALSE.**	**1**

PARTICIPANT SCORING SHEET

Q #	MAX SCORE	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
1	1																				
2	1																				
3	1																				
4	1																				
5	1																				
6	1																				
7	2																				
8	2																				
9	2																				
10	1																				
Total	13																				

Question # 9 guidance on range of possible correct responses:
Focus group discussions with the people we serve (1), postdistribution questionnaire (1), semistructured interviews with the people we serve (1), including both men and women (1), both young and old (1), in at least two locations (1). Possible questions could include which items are most useful, which items are less useful and why (1), which item could have been replaced with a more useful item (1), and so forth.

ANNEX 0.3 SELF-ASSESSMENT

I'M OPEN TO LEARNING… I KNOW WHAT I KNOW AND WHAT I DON'T KNOW.

	THIS IS NEW OR UNFAMILIAR TO ME.	I AM SOMEWHAT FAMILIAR WITH THIS.	I HAVE SOLID KNOWLEDGE ON THIS TOPIC.	I CAN CONTRIBUTE TO IMPLEMENTATION DURING AN EMERGENCY.	I AM PREPARED TO CO-FACILITATE A TRAINING ON THIS.	I AM PREPARED TO LEAD THIS PROCESS IN MY REGION DURING AN EMERGENCY.	I AM PREPARED TO LEAD A TRAINING ON THIS TOPIC.	I AM PREPARED TO LEAD THIS PROCESS IN AN EMERGENCY OUTSIDE (COUNTRY).	I AM PREPARED TO DESIGN A TRAINING ON THIS.	I AM THE EXPERT.
	1	2	3	4	5	6	7	8	9	10
Rapid emergency assessments										
Sectoral assessments										
Use of emergency resources/ tools: Sphere Handbook, *Good Enough Guide*										
Analysis and designing project strategies										
Proposal development and writing										
Monitoring and evaluation (M&E) systems development										
Real-time evaluations (RTEs)										

ANNEX 0.4 REFRESHER QUIZ

RULES

- Participants should be organized in teams of three and be prepared to work together for a team competition.
- Each team will circle the correct answer on their answer sheets and self-record their points.
- *Note: Some questions are multiple choice with only one correct response; others require selection of multiple options.*
- Correct answers are worth 1 point; incorrect answers, –1. Partial points may be granted by the Judge for incomplete responses.
- The judges have the final say on whether an answer is correct or not. If a team argues with the judges' decision, they are subject to losing 2 points.

QUIZ QUESTIONS

1. Which of the three key principles below are reflected in the Humanitarian Charter of Sphere?

a. The right to life with dignity

b. Distinction between just and unjust wars

c. The right to receive humanitarian assistance

d. Access to sustained and adequate health care

e. Freedom of expression

f. Access to humanitarian space

g. The right to protection and security

Answer: A, C and G. The Humanitarian Charter is the cornerstone of the Sphere Handbook. It set out our shared beliefs and common principles concerning humanitarian action and responsibilities.

- It is informed by a number of international legal instruments relating to international human rights and international humanitarian law (IHL) including the Universal Declaration of Human Rights (1948). The International Covenant on Civil and Political Rights 1966 (ICCPR), The Convention on Rights of the Child 1989 (CRC) and many more. These basic rights have been summarized in Sphere into; the right to life with dignity, the right to receive humanitarian assistance, and the right to protection. Refer participants to Annex 1, p. 356, Key documents that inform the Humanitarian Charter.

Invite participants to provide a brief background on Sphere for their colleagues.

2. Are Sphere standards are universally applicable?

a. True

b. False

Answer: True. The minimum standards are an attempt to describe the level of disaster assistance to which all people have a right—regardless of political, ethnic or geographical specificity. The standards define the requirements for life with dignity in relatively general terms (while the indicators attach either qualitative or quantitative values to associated standards). In your experience, does this always hold true? Why or why not?

3. In which of the following ways can Sphere be useful during an emergency response?

a. Planning an emergency assessment

b. Advocating with local government officials

c. Coordinating equitable activities with other agencies

d. Designing a shelter response

e. Developing a monitoring systems

f. Evaluating the appropriateness of an emergency response

g. Training partners

Answer: All of the above. Sphere is intended to provide a common language to work with other stakeholders (governments, NGOs) and a set of universally applicable standards for a response. It can be used throughout the project cycle. What is the project cycle? Sketch it on a board or flip chart. Explain that this training will focus mainly on the monitoring part of the cycle. Solicit two or three examples from participants of using Sphere in these ways.

4. According to Sphere, indicators can best be described as:

a. Nonverifiable signals that you can use to monitor the impact of a project or program.

b. Signals that provide a way of measuring outputs for the final project report.

c. Signals that show whether a standard has been obtained. They provide a way of measuring and communicating the process and the result of key actions.

d. Categories and lists of considerations to take into account in disaster response programs.

Answer: C. Refer to definition in Sphere (at the beginning of each technical chapter). If B is answered, point to the fact that it is not technically incorrect as we use indicators to measure output and this contributes to final reporting. However, this answer is insufficient as results should not be measured only at the end or exclusively for reporting purposes.

5. What does Sphere represent for the humanitarian community?

a. A declaration that populations affected by conflict and calamity have a right to assistance

b. A commitment toward a defined and measurable level of competence and delivery

c. A compilation of current global knowledge and experience on emergency response

d. A practical tool for individuals, their organizations and the humanitarian community

e. A challenge to all participants in the humanitarian community for increased accountability and quality

Answer: All of the above. Sphere resulted from the recognition that we (as a community) needed to improve the quality of our responses and be held to higher standards. It was an extensive consultative process (involving over 400 organizations) and represents a real commitment from this community. It contains a wealth of information that can be used in emergency responses.

6. What is the role of a humanitarian agency like Caritas in an emergency response, according to Sphere?

a. To support local efforts to prevent, prepare and respond to disasters

b. To first recognize people's coping capacities and the fact that people will meet their own priority needs

c. To ensure that people affected by disasters or conflicts have access to at least the minimum requirements for lie with dignity and security

d. To respond only when other agencies do not have the capacity to do so

Answer: A and C. See p. 23 in Sphere's Q&A on this. Refer, for example, to the case of Myanmar.

7. What methods are appropriate for an initial emergency assessment?

a. Observation

b. Structured household interviews

c. Mapping exercises

d. Sanitary survey

e. Open-ended interviews

f. Focus-group discussions

g. Review of secondary sources

Answer: A, E and G. Do not engage in extensive survey processes or use formal methods in the immediate aftermath of an emergency! It is an unnecessary and probably inaccurate exercise since information tends to be difficult to quantify at that time. Even intensive participatory rural appraisal (PRA) processes (such as mapping and focus group discussions [FGDs]) are challenging in the first couple of days or weeks when the situation is very fluid. Consider using lighter methods that are more sensitive to people's emotional trauma, own concerns, displacement, and the like. In other words, use fewer pen-and-paper forms and formats that require filling in too many boxes. Think about: How are people coping? Observe, talk openly, and ensure a multisectoral approach.

8. Which of the following key stakeholders should be consulted in an emergency assessment?

a. Community leaders
b. Subdistrict officials
c. Media people
d. Women who are waiting at food distribution queues
e. Affected children
f. Aid workers from the International Committee of the Red Cross
g. All of the above

Answer: G. Whom you need to consult or speak to really depends on the situation. The important element is to cross-check your information by using various sources. In other words, triangulate. Triangulation means *using a range of methods, types of information, diversity of team members and sector perspectives to cross-check collected information, increasing its quality and validity.*

Check: What is stakeholder? Define as: *stakeholders are individuals, groups and institutions important to the emergency response. They are likely to have some level of interest and/or influence in your response.*

9. Conceptual frameworks are useful tools for:

a. Planning an emergency assessment
b. Analyzing assessment findings
c. Identifying the core problem that you need to address
d. Designing your response and drafting your project objectives
e. Organizing an evaluation of your response
f. A and B only
g. A, B, C and D
h. All of the above

Answer: H. All of the above—this may be a surprise to some of you, as you may have focused mainly on using the frameworks for analysis, but as tools, frameworks could be considered in a range of ways including monitoring and evaluation. (Note: We will not cover much more during the workshop on this, so ask whether the participants have more questions now.) Ask, what conceptual frameworks for you know? Integral human development (IHD) and so forth. Draw the *food security* (access, availability, utilization) and WASH (Water, Sanitation and Hygiene for All) on a flip chart as a reminder. Define conceptual frameworks as visual representations of a complex reality.

10. What are the two levels of targeting in emergency response?

Answer: The two levels are (1) geographic targeting, that is, deciding where to work (in which districts, subdistricts) and (2) ~~beneficiary~~ targeting, that is, deciding who to work with or for at a household or with an individual. These are two key decisions that should be made based on the scale of need, gaps, and your capacity (in terms of human and financial resources).

For ~~beneficiary~~ targeting, what approaches do you know? *Blanket* targeting means targeting all affected people or households (HHs) in one area. This is often the quickest and most effective targeting strategy after a disaster, although supplementary support for the most vulnerable people may be required. *Selective* targeting means identifying HHs that meet specific criteria for inclusion in the response. Effective selective targeting requires a high degree of community buy-in and consultation.

11. Which of the following are possible strategies to address food security?

a. Distribution of dry rations
b. Cash for work schemes
c. Community kitchens
d. Provision of cooking utensils and fuel
e. Vouchers for productive asset restoration
f. Seed fairs
g. A and E
h. All of the above

Answer: H. Food security can be addressed through a range of strategies, not only through direct distribution. What is food security? How do these strategies contribute to food security? Refer to Sphere sectoral chapter on page 179.

12. Which of the following steps of analysis is optional when designing your emergency response in the first phase?

a. Stakeholder analysis
b. Gender analysis
c. Poverty analysis
d. Security analysis
e. Capacity analysis
f. Problem analysis
g. None

Answer: C. in the first phase response, you may not conduct a poverty analysis because this could be too involved. At the early stages, you need to be analyzing damage, coping capacities, gaps, and the like, rather than poverty levels. The purpose of this analysis is to determine whether your agency should respond (e.g., needs or gaps), how, and where. Which of the tools are you more familiar with? Can you describe the tools used in these analyses? For some of these, you may use a tool (such as the problem tree); for others, analysis may be more of conversation or discussion (e.g., security). What do we mean by *first phase*?

ANNEX 0.5 FINAL EVALUATION

1. What did you like best about this workshop ? (prior organization, content, style of presentations, quality of facilitation, supportive materials and documents, duration or other?) Please detail and explain your response.

2. What would you suggest changing if we were to repeat the workshop ? (prior organization, content, style of presentation, quality of facilitation, supportive materials and documents, duration or other?) Please detail and explain your response.

3. Tell us how much you learned from the various sessions (rate from 1 to 5, where 1 is lowest and 5 highest). Also comment on any further learning interest on these topics:

SESSIONS	RATING	FURTHER LEARNING INTERESTS

4. How well did the workshop meet your expectations? Please explain your response.

5. Taking into account all aspects of the workshop, please give your overall evaluation by circling the appropriate number.

Excellent	Very Good	Adequate	Fair	Poor
5	4	3	2	1

6. Please use the space below to share any other comments that you may have.

Thanks for taking the time to complete this evaluation!

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 1:
Introduction to Sphere

~~(1 day)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 5: Analysis and Project Design (2½ days)

Module 6: Technical Design and Distributions (2 days)

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together (2½ days

CRS
CATHOLIC RELIEF SERVICES

TABLE OF CONTENTS

MODULE 1: INTRODUCTION TO SPHERE 1 DAY

Objective~~(s)~~

Participants become familiar with the Sphere Project, the Humanitarian Charter and Minimum Standards in Disaster Response.

Expected Results~~:~~

- Participants understand and know how to apply Sphere
- Participants can effectively utilize and promote adherence/utilization of Sphere in their emergency response programs.

Brief Overview and Tips~~:~~

This module starts by familiarizing participants with the Sphere Project, the Humanitarian Charter and the Sphere Handbook. Then it uses group exercises to analyze past experiences of applying principles from the Code of Conduct in emergency work, and to think about practical application of the Core Standards and Technical Standards in humanitarian programs. It ends with a role-play that requires participants to defend Sphere and argue for its use in an emergency.

- The Sphere Quiz has been developed for this module. Alternatives (Quiz and Sphere Challenge) are available on the Sphere website.
- Group work exercises can be adapted to suit participants' needs, for example, spending more time on one or two technical sectors.
- Additional exercises can be added. For example, for Sphere and the Needs Assessment, participants can form sectoral groups and use the Sphere standards to develop an assessment checklist (without referring to the Appendices). Then their checklists can be compared to the Sphere checklists in each chapter's Appendix.

Session 1.1	Overview (including Humanitarian Charter)	(1¼ hrs)
Session 1.2	Code of Conduct	(1 hr)
Session 1.3	Core Standards	(1¼ hrs)
Session 1.4	Sphere Minimum Standards, Indicators, Guidance Notes	(1hr)
Session 1.5	Practical Applications and Challenges	(1½ hrs)

Further Resources~~:~~

The Sphere Project website www.sphereproject.org

SESSION 1.1 THE SPHERE PROJECT 1.5 HOURS

Objective:

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

Key Message~~s~~:

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 sticky notes
    - Handout 1.1.1: Sphere Quiz and Answer Sheet
    - Handout 1.1.2: A Brief Introduction to Sphere

Facilitation

TIME	METHOD	CONTENT
30 min.	**Q&A**	**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*
	Introductory PowerPoint Presentation	**Present:** What is the Sphere Project? [Use PowerPoint] **Slide 5:** Distribute Sphere handbooks. Give participants 5 minutes to mark sections with sticky notes.
	Plenary discussion	**Discuss** the participants' experiences of applying Sphere in emergencies, or their opinion on the potential advantages and difficulties associated with doing so.
20 min.	**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 min. to complete it. Encourage participants to **USE** the book.
25 min.	**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. Q&A. **Conclude** by checking on key learning and whether/how they found the quiz useful.

SESSION 1.2 CODE OF CONDUCT **1 HOUR**

Objective:

- 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 ~~program participants.~~

Materials:

- Sphere books, Code of Conduct page 370

Facilitation

TIME	METHOD	CONTENT
	Plenary discussion *[Use Sphere books; write group instructions on flipcharts]*	**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.
20 min.	**Group exercise**	Group Work Instructions: In groups, participants should identify one principle where, based on specific experiences, CRS/ Caritas/Partner (choose according to the context) is doing particularly well, and one principle where CRS/Caritas/Partner is weaker (or has faced challenges in applying the Code of Conduct in emergencies). Be prepared to share.
20 min.	**Group presentations**	**De-brief:** *[5 min. x 4 groups = 20 min.]* 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.
20 min.	**Plenary discussion**	**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?

SESSION 1.3 SPHERE CORE STANDARDS **1 HOUR 15 MINS**

Objective

- To be familiar with the Sphere Core Standards and know how to apply them.

Key Messages:

- ~~Program participants~~ should be actively involved in all stages of the project cycle, including assessment, design, implementation, monitoring and evaluation.

Materials

- Sphere books p.49

Facilitation

TIME	METHOD	SESSION
10 min.	**Plenary**	Briefly **discuss** the Core Standards as an integral (and often overlooked) part of Sphere. List all 6 of them and assign standards related to programming (Standard 1 through 6), one standard per group.
30 min.	**Group reflections** *(6 groups – 1 per common standard)*	**Ask** participants to review the standard, actions, indicators and guidance notes and discuss 2 questions: [write on flipchart] 1. Do you think it is possible to maintain this standard & indicators and take these actions in an emergency? 2. If so, how? (i.e. cite practical steps you can take)
35 min.	**Plenary discussion**	In plenary, **ask** groups to read aloud their standard and their proposed steps. Q&A. [5 min. per presentation] **Conclude** by emphasizing the importance of the Core Standards and principles behind Sphere (not just technical guidance or quantitative indicators). Participation from people we serve is a theme that cuts across 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 1.4 SPHERE TECHNICAL STANDARDS, ACTIONS, INDICATORS, GUIDANCE NOTES 1 HR

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. For example, “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 1.4.1: Printed scenarios and Instructions for Sphere Standards Exercise.

Facilitation:

TIME	METHOD	CONTENT
10 min.	**Plenary discussion** *[Write definitions on flipchart]*	**Explain** difference between a standard, action, and indicator. Refer to relevant definition in Sphere book. • **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.
20 min.	**Group Exercise**	**Divide** the participants into five groups of five and provide each group a short scenario [see Handouts] with instructions. Instructions: Read the scenario in your group 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 the scenario and discussion.
30 min.	**Plenary de-brief and discussion**	Each group should **briefly present** and, in particular, identify the challenges and 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 uses of Sphere and challenges. • **Conclude** with key messages.

SESSION 1.5 PRACTICAL APPLICATION AND CHALLENGES 1.5 HOURS

Objective:

- To be confident and experienced in convincing colleagues and peers to comply with Sphere standards.
- To understand that Sphere is non-negotiable, however, that its application is context-specific.

Key Messages:

- Sphere is an accepted industry standard that CRS and Caritas are committed to meeting.
- CRS staff have a responsibility to persuade other staff, colleagues, partners and other actors including the government, to respect Sphere standards and to advocate for Sphere in coordination structures.

Materials:

- Sphere Books
- Handout 1.5.1: Group Work Instructions (to be adapted according to the group)
- Handout 1.5.2: Role-Play Briefing – Counter Arguments

Facilitation:

TIME	METHOD	CONTENT
10 min.	**Introduction and brainstorming in plenary**	**Recap** the importance of Sphere, reminding staff that their responsibility is to ensure our programs and partners comply with Sphere, or at least aspire to comply. We often find ourselves in situations where colleagues/partners/other organizations say that it is not possible to comply with Sphere in the field. **Ask**: Based on experience, what are some of the reasons it may be hard to implement Sphere in the field? **Write** the various arguments/issues on a flip chart.
20 min.	**Group work to prepare role-play** *(four sectoral groups + two participants as CR or partner staff)*	Identify 1-2 participants to act as CRS country representatives or partner staff or government officials. (The role to be played should be adapted according to the participants and local context – avoid casting partners or government officials in a negative light if they are workshop participants.) Take these participants aside and give them Handout 1.5.2. They have 20 minutes to prepare their role: They will use these arguments to defend their position that it is not possible or practical to implement Sphere in the field. From the remaining participants, form four groups (Group A: Sanitation; Group B: Food; Group C: Shelter; Group D: Water). Provide group instructions [Handout 1.5.1] and allow them to prepare a role-play. **Group Instructions:** You are the emergency coordinator for CRS in the flood-affected area. CRS has excellent outreach in the rural areas and strong relations with community organizations. There is significant pressure to respond rapidly. Your boss (the CRS Country Representative) says it is not possible to respect Sphere standards and indicators. You have asked for a meeting with your CR, during which you will try to promote Sphere standards, both common standards and technical standards relevant to your program. Select two CRS representatives who will meet with the CR to discuss the importance of Sphere in the context of the response. You have 20 min. with your team to prepare your arguments, then 10 min. for each meeting with the CR.
60 min.	**Role-play performed**	Participants present their arguments to the 1-2 selected partner staff. *[4 x 10 min. = 40 min.]* The facilitator writes down the key arguments made by the CRS teams during the role-play. (This is done discreetly not to hinder the role-play.)
	Plenary discussion	**Debriefing:** Review the various arguments – which were the most appropriate & persuasive? Were any arguments not as strong? Are there any additional arguments which could have been made? *[20 min.]* The partner or a facilitator complements the participants' ideas to make sure all key arguments have been identified. • **Distribute** Handout: FAQ - arguments for/against Sphere. • **Wrap-up** with key messages.

ANNEXES MODULE 1

ANNEX 1.1.1 FIND THE ANSWER! SPHERE TEAM COMPETITION

Rules:

- Work in teams of two
- Each team must answer all 10 questions below using the Sphere Handbook.
- Teams will have 20 minutes to answer the questions.
- Always indicate the page number(s) on which the answer was located.
- Take turns reading out loud a question and its answer.
- Each team will self-record their points. Correct answers are worth 1 point; incorrect answers and questions not answered are worth zero points.
- Judges have the final say on whether an answer is correct or not.

Quiz Questions:

1. How many core standards does the Sphere Handbook contain?

2. What is the basic humanitarian principle underlying Sphere?

3. What is the definition of an indicator according to Sphere?

4. What are the sectors for which Sphere presents minimum standards?

5. Is the 15 liter of water per person per day figure an indicator or a guidance note?

6. Identify two cross-cutting themes that are covered in the relevant sections of each chapter?

7. Which standard presents indicators on the minimum space required per person for shelter to be considered dignified and appropriate?

8. According to Sphere, what is the maximum distance recipients should walk to a distribution site?

9. On which page can you find information that can help you determine appropriate food packages?

10. Where are the legal instruments that inform the Humanitarian Charter found in Sphere?

Answers:

1. How many cores standards does the Sphere Handbook contain?

   p. 50 – six standards

2. What is the basic humanitarian principle underlying Sphere?

   p. 4 - That people have a right to life with dignity and therefore a right to assistance

3. What is the definition of an indicator according to Sphere?

   'Signals' that show whether a standard has been attained. Qualitative or quantitative.

   At the start of the core standards in each technical chapter. (e.g., pp. 50, 80, etc.)

   See also p. 7.

4. What are the sectors for which Sphere presents minimum standards?

   pp. 1, 2, 7 –water supply; sanitation and hygiene promotion; food security and nutrition; shelter, settlement and non-food items; and health action.

5. Is the 15 liter per person per day figure an indicator or a guidance note?

   p. 97 – an indicator

6. Identify two cross-cutting themes that are covered in the relevant sections of each chapter?

   pp. 12, 14-17.

7. Which standard presents indicators on the minimum space required per person for shelter to be considered dignified and appropriate?

   p. 258 – Shelter and settlement Standard 3: covered living space

8. According to Sphere, what is the maximum distance recipients should walk to a distribution site?

   p. 192 – 10 Kilometers

9. On which page can you find information that can help you determine appropriate food packages?

   pp. 179-182 – ration planning, indicators and related guidance notes

10. Where are the legal instruments that inform the Humanitarian Charter found in Sphere?

    p. 356

ANNEX 1.1.2 A BRIEF INTRODUCTION TO SPHERE

What does Sphere mean?

Sphere is an English word meaning "a perfectly round object." We use the word Sphere because it is a worldwide project that includes all humanitarian agencies, and its principles apply to all people, wherever they are, whatever has happened. It is all-inclusive and it is the same for everyone.

Why is Sphere needed?

- Sphere sets minimum standards for humanitarian assistance after a disaster.
- Sphere aims to improve the quality of disaster response programs.
- Sphere aims to increase the accountability of NGOs working in emergencies.
- Sphere provides a common language. Taking the example of food aid, all NGOs can refer to Sphere to agree on the minimum amount of food a family requires.

What is Sphere?

Sphere is based on two core beliefs:

- First, that those affected by disaster have a right to life with dignity and therefore a right to assistance.
- Second, that all possible steps should be taken to alleviate human suffering arising out of calamity and conflict.

Sphere is three things:

- a handbook
- a broad process of collaboration
- an expression of commitment to quality and accountability

When, how and why was Sphere created?

- Sphere was created after the Rwanda genocide of 1994 when the multi-agency evaluation stated that unnecessary lives had been lost. In 1997 a group of NGOs came together and discussed what they could do to improve their emergency response programs.
- Sphere is a collaborative project between hundreds of humanitarian organizations worldwide (NGOs, Red Cross, United Nations, donors).
- The Sphere project defines what "living in dignity" means in concrete terms for disaster-affected people.

There are ten chapters in Sphere:

- Introduction
- The Humanitarian Charter

- Protection Principles
- The Core Standards
- Water Supply, Sanitation and Hygiene Promotion
- Food Security and Nutrition
- Shelter, Settlement and Non-Food Items
- Health Action
- Annexes (includes The Code of Conduct)
- Index

Each chapter includes Minimum Standards, Key Actions, Key Indicators and Guidance Notes.

The Humanitarian Charter:

- The Humanitarian Charter lays down a statement of humanitarian principles, rights and duties, all based on international law.
- The Humanitarian Charter helps define roles and responsibilities.
- The Humanitarian Charter outlines a commitment to achieve the Minimum Standards consistently.
- The Humanitarian Charter acknowledges that our fundamental accountability is to those we want to help.

When we commit to the Humanitarian Charter we reaffirm our belief that all possible steps should be taken to prevent or alleviate human suffering arising out of a disaster. (This is sometimes called the humanitarian imperative).

There are three fundamental principles for humanitarian work:

- The right to life with dignity
- The right to receive humanitarian assistance
- The right to protection and security

These principles are based on international law. (See the list of international conventions on p. 356 of the Sphere handbook.)

Roles and Responsibilities: (pp. 20-21)

- We recognize that it is first through its own efforts that the basic needs of the people affected by disaster are met.
- We acknowledge the primary responsibility of the state to provide assistance when people's capacity to cope has been exceeded.
- As humanitarian agencies we define our role in relation to these primary roles and responsibilities.

These are important because in our response we must assess and support people's own efforts to meet their basic needs (coping strategies) **and** the government's response.

What is a standard, what is an indicator?

- **Standards** are universal, absolute goals or norms that we should aim to achieve.
- **Actions** are suggested activities and inputs to help meet these 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.

Examples of Minimum Standards, Indicators and Guidance Notes
Shelter and settlement Standard 3: covered living space

People have sufficient covered space providing thermal comfort, fresh air and protection from the climate ensuring their privacy, safety and health and enabling essential household and livelihood activities to be undertaken.

Key Actions for Standard 3: covered living space (only the first two listed)

- Ensure that each affected household has adequate covered living space (see guidance notes 1-2)
- Enable safe separation and privacy as required between the sexes, between different age groups and between separate families within a given household as required (see guidance note 3)

Key Indicators for Standard 3
(to be read in conjunction with the guidance notes)

- All affected individuals have an initial minimum covered floor area of 3.5m squared per person (see guidance notes 1-2)
- All shelter solutions and materials meet agreed technical and performance standards and are culturally acceptable (see guidance notes 3-10)

Guidance Notes for Standard 3 (only the first is taken as an example)

1. **Climate and context**: In cold climates, household activities typically take place within the covered area and disaster-affected people may spend substantial time inside to ensure adequate thermal comfort. In urban settings, household activities typically occur within the covered area as there is usually less adjacent external space that can be used. A covered floor area in excess of 3.5m squared per person will often be required to meet these considerations. The floor to ceiling height is also a key factor, with greater height being preferable in hot and humid climates to aid air circulation, while a lower height is preferable in cold climates to minimize the internal volume that requires heating. In warmer climates, adjacent shaded external space can be used for food preparation and cooking.

Challenges Related to the Application of Sphere

- In many cases not all of the indicators and standards will be met. However, as Sphere signatories we should *strive* to meet them as well as we can.
- Factors such as lack of access or insecurity, insufficient resources or the involvement of other actors can make it difficult to meet any or all of the standards. It can be difficult to respect Sphere standards due to chronic poverty or lack of resources. Sometimes in the initial phase of a response, providing basic facilities for all the affected population may be more important than reaching the Minimum Standards and indicators for just a few. But as humanitarian organizations we are committed to the right of all people to live with dignity; therefore we have to search for possible ways to maintain the minimum standards in all situations.
- Remember that these are *Minimum* Standards – they are the *lowest* level of assistance required to ensure that people live with dignity in a disaster situation. They can be exceeded if the resources are available and conditions are appropriate.

ANNEX 1.4.1 SECTORAL EXERCISES TO GET TO KNOW THE SPHERE STANDARDS

Instruction: In your groups, read your scenario and, using the Sphere handbook, determine t he following:

- What standard(s) apply to the scenario?
- What are the relevant key actions that need to be taken?
- 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 present and discuss.

WATER AND SANITATION

Group 1: Assessment findings indicate that people have moved out of their villages and are congregating in schools and other public buildings. The government is planning to provide food rations for the next 10 days but sanitation conditions are rapidly deteriorating. In response, you decide to address the sanitation issues in three camps. Two of these camps are located in schools where toilets exist (blocks of eight toilets in each camp) but these are in poor condition and starting to overflow due to the over-crowding. There are 1200 persons staying in these camps and 65 percent are women or girls. Open defecation is generally practiced in this affected district since only 30 percent of households had latrines before the flood.

Group 2: Assessment findings indicate that, despite high levels of damage to houses, people are staying their village of origin to protect their assets, especially livestock. Families typically own two cattle and 3-5 goats but have incurred some losses (estimated at 20 percent). By salvaging materials from their collapsed homes, they have been able to patch up their shelter themselves. However, the water wells were damaged and water sources are contaminated. Stagnant water is becoming a breeding ground for mosquitoes. Food is being provided by the government and your priority is to address the water needs in 10 villages. An average of 40 households reside in each village with an estimated six persons per household as per national census data.

SHELTER AND SETTLEMENT

Group 3: Assessment findings indicate that, despite high levels of damage to houses, people are staying in their village of origin to protect their assets. People typically live in houses made of mud and bamboo, which collapsed due to standing waters. Currently, families are sleeping in the open air (due to excessive heat under tents) and women complain about the lack of privacy. Due to lack of shade, children are getting dehydrated during the heat of the day. In response, you decide to provide transitional shelter materials. You are planning to work in 10 villages, targeting an estimated 400 households. You've confirmed that bamboo is readily available on the local market. Skilled labor is available locally.

Group 4: Assessment findings indicate that people have moved out of their villages and are spontaneously congregating along roadsides, in schools and other public buildings. The government is planning to provide dry food rations for the next month but people were not able to salvage many assets and do not have the basic facilities. Families who left early enough were able to bring livestock, especially cows and buffalo. Based on your gap analysis, you decide to provide a nonfood item package to meet the needs of 5,000 households, because winter is fast approaching and people are exposed. Women represent at least 50 percent of the population.

FOOD SECURITY, NUTRITION, FOOD AID

Group 5: Assessment findings indicate that people have moved out of their villages and are spontaneously staying on embankments, higher roads or in other public places. The government is providing two meals a day but only in formal camps. While men from spontaneous settlements travel to these camps at night to access evening meals, women stay in the huts with the smaller children as they cannot travel at night nor leave their meagre possessions. There are a seemingly high number of pregnant and lactating women who are receiving inadequate nutrition.

You expect waters to recede by the end of the month enabling affected families to return to their homes. They have lost all their grain stocks and key infrastructure is damaged. Local markets are now functional and families have received cooking utensils from other NGOs.

Based on assessment information, you identify additional food needs and plan to respond. You intend to work only with families residing in spontaneous settlements, an estimated 1200 persons.

ANNEX 1.5.1 GROUP WORK INSTRUCTIONS SPHERE ROLE PLAY

Group Work Instructions:

Group A: Sanitation

Group B: Food

Group C: Shelter

Group D: Water

You are the emergency coordinator for CRS in the flood-affected area. CRS has excellent outreach in the rural areas and strong relations with community organizations. There is significant pressure to respond rapidly. Your boss (the CRS country representative) says it is not possible to respect Sphere standards and indicators.

You have asked for a meeting with your CR, during which you will try to promote Sphere standards, both common standards and technical standards relevant to your program.

- Select 2 CRS representatives who will meet with the partner director to discuss the importance of Sphere in the context of the response.
- You have 20 minutes with your team to prepare your arguments, then each of you has a 10 minute meeting with the partner.

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 2:
Participation and Accountability in Emergencies

~~(½ day)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere

Module 3: Emergency Needs Assessments ~~(2½–3 days)~~

Module 4: Emergency Needs Assessment Simulation ~~(1½ days)~~

Module 5: Analysis and Project Design ~~(2½ days)~~

Module 6: Technical Design and Distributions ~~(2 days)~~

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together ~~(2½ days~~

CRS
CATHOLIC RELIEF SERVICES

TABLE OF CONTENTS

MODULE 2: PARTICIPATION AND ACCOUNTABILITY IN EMERGENCIES (½ DAY)

Objective

- To introduce humanitarian accountability and explore opportunities for participation

Expected Results

- Participants understand the terms accountability and participation and know what steps can be taken to ensure that they are met.
- Participants are familiar with the *Good Enough Guide* and the Sphere Core Standard on Participation and can effectively use GEG Tools in their programs.

Brief Overview and Tips

This 3¾-hour module starts by developing a common understanding of the terms *accountability* and *participation*, with reference to the *Good Enough Guide* (GEG) and Sphere Handbook. Then participants assess their own track record of involving people in projects. This is followed by group work to identify practical steps to become more accountable. The module ends with role-plays to develop skills for informing and receiving feedback from ~~program participants.~~

- Avoid getting bogged down in definitions; move on to practical examples and develop participants' understanding of accountability by identifying concrete steps for making emergency programs more accountable.
- An extra session could be included on gender and accountability, to reinforce the message (see Session 2.4) that accountability is not just toward "the people we serve" but toward all social groups within a target community, that is, men and women, different castes, different socioeconomic groups, and so forth.

Session 2.1	Participation and Accountability—What Do We Mean?	(¾ hr.)
Session 2.2	How Accountable Are We Really?	(1 hr.)
Session 2.3	Putting Accountability Into Practice	(¾ hr.)
Session 2.4	Practical Applications: Putting People Back Into Projects	(1¼ hr.)

Further Resources

- Good Enough Guide + GEG Training Modules
- The Sphere Handbook (Common Standards)
- Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners (Volumes I and II)

SESSION 2.1: PARTICIPATION AND ACCOUNTABILITY—WHAT DO WE MEAN? (¾ HR.)

Objective

To explore opportunities for participation of the people we serve in emergency programs.

Key Messages

- When we talk about accountability in emergency programs, we mean that we must be responsible for our actions and be able to explain why we took these actions. For a long time the focus was exclusively on NGOs being accountable to their donors. Now the focus is shifting to ensuring we are also being accountable to the people we serve. We do this by ensuring participation of the people in all stages of the project cycle.
- Accountability in emergencies is about informing, consulting, involving and reporting back to the people we serve. (refer to the GEG handout).
- We should systematically explore and maximize opportunities for participation throughout the project cycle.

Materials

- *Good Enough Guide*, p. 1, The Basic Elements of Accountability and Impact Measurement (Handout 2.1.1)
- *Good Enough Guide*, p. 34, How to Involve People Throughout the Project (Handout 1.2.1)

Facilitation

TIME	METHOD	CONTENT
25 min.	**Pair buzz + plenary**	In pairs, participants discuss: What is accountability? What does it mean to you? (5 min.) Take some of the discussion points in plenary and **record** keywords and ideas on the flip chart. (10 min.) Possible ideas: • personal accountability • listening to stakeholders • participation • developing mechanisms to ensure duties are fulfilled • responsibility to people and communities • ethics • using indicators to measure change or progress • measuring if project meets the needs and perceptions of the people we serve • feedback mechanisms • measuring how projects have affected people and communities Provide a definition: "being accountable is being responsible for what you do and being able to explain the reasons for it." Accountability has been on the humanitarian agenda for some time. There has been much consideration given to the accountability of NGOs to their donors. However, accountability is increasingly about putting the *people affected by the emergency* at the center of our everyday work. Therefore we need to focus on accountability to the people we serve. (5 min.) Review basic elements of accountability from GEG. (5 min.).
20 min.	**Plenary discussion**	The facilitator explains the link between accountability and participation: we are accountable to the people we serve by involving them in every stage of our project.
	Pair buzz	Ask a participant to read aloud Sphere Common Standard 1, on Participation. "The disaster affected population actively participates in the assessment, design, implementation, monitoring and evaluation of the assistance program." (5 min.)
	Plenary discussion	Participants work in pairs to identify opportunities for participation within the project cycle. They write each idea on a colored card. The facilitator asks for one idea from each pair and posts the cards on the wall. Review all the ideas and organize them by topic or theme. (15 min.)

SESSION 2.2: HOW ACCOUNTABLE ARE WE REALLY? (1 HR.)

Objective

~~•~~ To review our practice of involving the people we serve and identify opportunities for increasing participation

Key Messages

- Humanitarian accountability includes the obligation to *involve* and *consult*, the obligation to *inform*, the obligation to *listen*, and the obligation to *respond* and *report* back.
- It's about "putting people back into projects."
- Accountability requires us to review how well we are involving the people we serve in all aspects of a response
- There are a number of initiatives to improve accountability and quality of humanitarian action (ALNAP, HAP International, Sphere, ECB, People In Aid, Coordination SUD and Quality Compas). These initiatives provide different ways to reach a common goal of improved accountability to disaster-affected people.

Materials

- Handout 2.2.1: A Field Checklist (draws on GEG, pp. 32–33)
- Handout 2.2.2: Quality and Accountability Initiatives: Q&A

Resources

- www.hapinternational.org

Facilitation

TIME	METHOD	CONTENT
15 min.	**Pair exercise using checklist**	Using the checklist (Handout 2.2.1), let's reflect on the last emergency response that you participated in. If you haven't been part of a response in the last 12 months, consider your current projects (do NOT answer theoretically). (Match pairs based on working together or same projects or region)
30 min.	**Debrief**	Participants post stickers on a flip chart to track scores. Discuss the findings and identify areas for improvement: 1. *Where are we generally stronger in accountability?* For example, we tend to be stronger in the assessment or design phase. 2. *Where are we generally weaker?* We do not usually think of two-way feedback or sharing monitoring and evaluation findings. 3. *What can we do to improve?* For example, even if we are strong on one element (such as design), can we involve the people we serve in indicator selection? Can the people we serve work with program staff in problem solving? Can the people we serve make some program decisions?
5 min.	**Plenary**	To improve, simple yet practical systems of accountability need to be put in place. **Wrap-up** with Key Messages: • Humanitarian accountability includes the obligation to *involve* and *consult*, the obligation to *inform*, the obligation to *listen*, and the obligation to *respond* and *report* back. • It's about "putting people back into projects."
10 min.	**Plenary**	What humanitarian accountability initiatives are they familiar with? What are some of the different approaches or focuses of the various initiatives? • ALNAP (Active Learning Network for Accountability) and Performance in Humanitarian Action • HAP International (Humanitarian Accountability Partnership) • People In Aid • The Sphere Project • Quality COMPAS • Coordination SUD—Synergie Qualité (Provide Handout 2.2.2)

SESSION 2.3: PUTTING ACCOUNTABILITY INTO PRACTICE (¾ HR.)

Objective

To identify practical steps to be taken to put accountability into practice

Key Messages

- Accountability in emergencies is about ~~beneficiary~~ information, consultation, participation and feedback (refer to GEG).
- "The Four Cs" are a way to remember what steps need to be taken to ensure accountability—count, check, change, communicate.
- NGO staff at all levels need to work together to ensure better accountability, from managers to field animators, programming to finance.

Materials

- Handout 2.3.1: Accountability—The Four Cs

Facilitation

TIME	METHOD	CONTENT
10 min.	**Plenary presentation**	**Operationalizing accountability:** In an emergency response we need to put systems and processes in place to achieve accountability. You can follow four simple steps: • Count • Check • Change • Communicate (Distribute Handout 2.3.1) Read definitions and discuss the relationship among the four Cs and the pitfalls of only focusing on one C. Point out that we are typically better at counting than any other C.
15 min.	**Small group work**	**Group exercise:** Form four groups. Review the definition of your assigned C. Discuss and identify the systems and procedures that you will need to put in place to ensure that your C is achieved in an emergency response. Write key points on a flip chart. *Examples*: *Count* would need warehouse inventories; *check* would include regular ~~beneficiary~~ consultations, field observations, monitoring checklists, deploying an M&E team, and so forth; *change* would include daily debriefs, meetings with community, after-action reviews, and so forth; *communicate* includes sitreps, phone calls, clear reporting lines, and so forth.
15 min.	**Gallery walk Discussion**	**Debrief:** Post four flip charts and conduct a brief gallery walk. Ask participants to comment on gaps. Analyze one flip chart at a time; ask whether all items are correctly placed; identify key differences.
5 min.	**Plenary discussion**	**Conclude:** Systems need to be put in place to ensure both upward and downward accountability. These require involvement of all key managers from both programming and finance/management support.

SESSION 2.4: PRACTICAL APPLICATIONS: PUTTING PEOPLE BACK INTO PROJECTS (1¼ HR.)

Objectives

- To be familiar with GEG tools for giving and receiving information to and from the people we serve, and to practice preparing for and holding meetings with them

Key Messages

- There are many ways of informing, consulting, involving and reporting to people affected by an emergency, and the tools in the GEG provide a minimum level of participation by the affected people.
- Receiving complaints and responding to them is central to accountability, impact and learning.
- It is best to disaggregate the community into subgroups to inform, consult and involve men and women, older people and children, different ethnic and social groups.

Materials

- GEG Tool 1, p. 30, How to Introduce Your Agency
- GEG pp. 20–21 and Tool 6, p. 40, How to Conduct a Focus Group
- GEG Tool 12, p. 49, How to Set Up a Complaints and Response Mechanism
- Handout 2.4.1: Accountability Role-Play Scenarios

Facilitation

TIME	METHOD	CONTENT
25 min.	**Role-play: preparation** ***(three groups)***	Distribute scenario and ask participants to prepare to act out a small role-play (use relevant GEG Tools): • Holding an introductory meeting • Obtaining feedback during implementation • Hosting a public hearing (complaints) Think about gender and community disaggregation: How can the points of view of different social, ethnic and age groups be solicited? How can the equal participation of women and men be ensured?

TIME	METHOD	CONTENT
40 min.	**Role-play: presentation** *(3 × 10 min.)*	Two participants from each group are selected to enact the role-play, with all other participants playing the role of internally displaced persons (IDPs). Discuss how well each group did at informing, listening and responding to the "clients." Draw out key tips and recommendations in plenary sessions and summarize. For example: • *Conduct separate focus groups for men and women* • *Encourage the attendance of different caste or social groups by organizing meetings at the appropriate time and place and, if necessary, separate meetings for different groups.* • *Explicitly encourage the attendance of young and old people. Think about organizing outreach to their houses to ensure that information reaches them and that their feedback reaches you.*
10 min.	**Plenary review and wrap-up**	**Conclude:** Accountability in emergencies is about ~~beneficiary~~ information, consultation, participation and feedback. It is about actively involving all members of the community and may mean making a special effort to reach out to marginalized groups.

ANNEXES MODULE 2

ANNEX 2.1.1 GOOD ENOUGH GUIDE: THE BASIC ELEMENTS OF ACCOUNTABILITY AND IMPACT MEASUREMENT

PREAMBLE

The Basic Elements of Accountability and Impact Measurement are the foundation on which The Good Enough Guide was developed. The Basic Elements listed below were drawn up by representatives of the seven agencies of the Emergency Capacity Building Project at a workshop in Nairobi in February 2006.

BASIC ELEMENTS OF ACCOUNTABILITY

At a minimum, humanitarian project staff should:

1. Provide public information to beneficiaries and other stakeholders on their organisation, its plans, and relief assistance entitlements.

2. Conduct ongoing consultation with those assisted. This should occur as soon as possible at the beginning of a humanitarian relief operation, and continue regularly throughout it. 'Consultation' means exchange of information and views between the agency and the beneficiaries of its work. The exchange will be about:

    - The needs and aspirations of beneficiaries
    - The project plans of the agency
    - The entitlements of beneficiaries
    - Feedback and reactions from beneficiaries to the agency on its plans and expected results

3. Establish systematic feedback mechanisms that enable:

    - Agencies to report to beneficiaries on project progress and evolution
    - Beneficiaries to explain to agencies whether projects are meeting their needs
    - Beneficiaries to explain to agencies the difference the project has made to their lives

4. Respond, adapt, and evolve in response to feedback received, and explain to all stakeholders the changes made and/or why change was not possible.

BASIC ELEMENTS OF IMPACT MEASUREMENT

Impact measurement means measuring the changes in people's lives (outcomes) that result from a humanitarian project, striking a balance between qualitative and quantitative data. At a minimum, humanitarian project staff should:

1. Establish a basic description (profile) of affected people and related communities.
2. Identify desired changes, in negotiation with affected people, as soon as possible.
3. Track all project inputs and outputs against desired change.
4. Collect and document individual and community perspectives through participatory methods in order to:
   - Increase understanding of what change they desire
   - Help establish a baseline and track change

6. Explain methodology and limitations to all stakeholders, honestly, transparently, and objectively.
7. Use the information gathered to improve projects regularly and proactively.

ANNEX 2.2.1 A FIELD CHECKLIST

The following checklist is designed to assess how well you are involving the people we serve in your programs throughout the project cycle. Just tick the boxes to answer the questions.

PRINCIPLES AND ACTIVITIES		YES	NO
INVOLVE PEOPLE AT EVERY STAGE.			
1	Are the people we serve and communities consulted in the design or redesign of new projects and activities? *(Including level of participation, targeting, siting, composition of activities and prioritization?)*		
2	Have these groups been consulted about the project implementation?		
3	Are communities clear about what projects we plan to do, where we will do it, and when and who should benefit? *(For example, through mechanisms like notice boards, community meetings, leaflets or newspaper advertisements.)*		
PROFILE THE PEOPLE AFFECTED BY THE EMERGENCY.			
4	Have vulnerable groups been identified in the local population?		
5	Have protection needs been assessed?		
IDENTIFY THE CHANGES PEOPLE WANT TO SEE.			
6	Are feedback mechanisms in place to get the opinions of the local community, the people we serve and vulnerable groups? *(For example, through regular community meetings, suggestion boxes or focus groups with vulnerable groups.)*		
7	Has the response considered the views of local people when you are designing activities?		
8	Is it clear what changes local people would like to see happen as a result of the project?		
9	Has an assessment been made, to guide the design of new projects and new activities?		
TRACK CHANGES AND MAKE FEEDBACK A TWO-WAY PROCESS.			
10	Does the response communicate changes and project progress with the people we serve and local people? *(For example, through mechanisms like informal discussions, community meetings or notice boards.)*		
11	Is feedback given to decision makers in the project and used to guide design?		
12	When an evaluation takes place, are members of the local community consulted and are the results reported back to them?		
13	Has the response regularly considered the views of local people when implementing activities?		
USE FEEDBACK TO IMPROVE PROJECT IMPACT.			
13	Are the people we serve consulted in the design or redesign of new projects and activities? *(Including level of participation, targeting, siting, composition of activities and prioritization?)*		

Source: Adapted from Julian Srodecki, World Vision International

ANNEX 2.2.2 HOW ACCOUNTABLE ARE YOU?

(Adapted from *The Good Enough Guide*, p. 32)

For project staff:

Do you provide the following information to the people we serve and their representatives?

For ~~beneficiary~~ representatives:

Do you receive the following information from NGO representatives?

	BASIC INFORMATION	YES	NO
1	Background information about the NGO		
2	Details of the specific project		
3	Project contact information		
REPORTS ON PROGRAM IMPLEMENTATION			
4	Regular reports on project performance		
5	Regular financial reports		
6	Information about significant changes		
OPPORTUNITIES FOR INVOLVEMENT			
7	Dates and locations of key participation events		
8	Specific contact details for making comments or suggestions		
9	Details of how to make complaints about the NGO's activities		

ANNEX 2.3.1 QUALITY AND ACCOUNTABILITY INITIATIVES: QUESTIONS AND ANSWERS

ALNAP, PEOPLE IN AID, THE SPHERE PROJECT, HUMANITARIAN ACCOUNTABILITY PARTNERSHIP

Extracts from a paper published in October 2006

Introduction

During the past decade the humanitarian community has initiated a number of interagency initiatives to improve accountability, quality and performance in humanitarian action. Four of the most widely known initiatives are the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), Humanitarian Accountability Partnership (HAP), People In Aid and the Sphere Project. Representatives of these initiatives began meeting together on a regular basis in 2003 in order to share common issues and harmonize activities where possible; since 2006 these four have been joined by Coordination SUD (Solidarité, Urgence, Développement), Groupe URD (Urgence Réhabilitation Développement) and the Emergency Capacity Building Project (ECB).

Who are we and what do we do?

Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), established in 1997, is an international, sectorwide membership forum which aims to promote a culture of learning across the humanitarian sector in order to improve performance. ALNAP is involved in a range of activities including the production of an annual Review of Humanitarian Action which monitors the performance of humanitarian action though a synthesis of evaluative reports provided by the Membership. It monitors the quality of the evaluations themselves using the ALNAP quality pro forma, and works with agencies to improve their evaluation skills. The ALNAP Secretariat hosts a comprehensive evaluative reports database. ALNAP's Biannual Meetings provide the membership with extensive opportunities for networking and learning on a range of important issues. ALNAP also produces papers that draw together lessons learned for particular types of emergencies, and practical tools, such as guidance booklets and training modules, on subjects and themes prioritized by the Membership. The ALNAP Secretariat hosted the Tsunami Evaluation Coalition during 2005 and 2006 and is taking responsibility for its follow up. At the time of writing, ALNAP has 57 Full Members and over 700 Observer Members; its Secretariat is based at the Overseas Development Institute in London. www.alnap.org

Humanitarian Accountability Partnership International (HAP International) was founded in 2003 by a group of humanitarian agencies committed to making their work more accountable to its intended beneficiaries, following on from several years of research and field trials conducted by HAP's antecedents, the Humanitarian Ombudsman Project (1999–2001) and the Humanitarian Accountability Project (2001–2003). HAP is now finalizing a system of voluntary self-regulation and quality assurance to be based upon the HAP Accountability and Quality Management Standard,

published in 2007. Registered as a Swiss NGO, the HAP Secretariat is based in Geneva with 87 full members as of 2012. New members are required to submit an accountability work-plan mapping out how their organization will seek to implement the HAP Accountability Principles. Eventually, through the accreditation of affiliated NGO networks and associations with the authority to certify their own members as being compliant with the HAP Standard, it is hoped that HAP's vision of an accountable international humanitarian system at large will eventually be realized.
www.hapinternational.org

People In Aid: formally established in 1995, People In Aid promotes good practice in the management and support of employees and volunteers working in relief and development. The People In Aid Code of Good Practice is a quality framework covering all aspects of human resources and people management. It comprises seven principles, each with specific indicators. The code supports continuous improvement of NGOs' human resources practices, facilitates stakeholder engagement and measures improvement. People In Aid's mandate as a central resource to the sector, supporting agencies in improving the quality of their human resources management, is further carried out through workshops, published guidelines, research and exchange of information between its 100+ members based in more than 25 countries.

www.peopleinaid.org

www.managing.peopleinaid.org

www.epn.peopleinaid.org

The Sphere Project was launched in 1997 by a group of humanitarian NGOs and the Red, Cross/ Red Crescent Movement. Sphere developed a handbook of standards for four sectors (Water/ Sanitation and Hygiene Promotion; Food Security and Nutrition; Shelter Settlement and Non-Food Items; and Health Action), which has three editions: 2000, 2004 and 2011. The cornerstone of the book is the Humanitarian Charter, which describes the rights of people affected by disasters. These rights are further enhanced through the Protection Principles, which were added to the 2011 edition. The standards, each with key actions, key indicators and guidance notes (covering "cross-cutting issues" such as people living with HIV and AIDS and gender issues) aim to articulate the implications of fulfilling these rights. An introductory chapter outlines standards that are common to all sectors, such as people-centered humanitarian response, coordination and collaboration, assessment, and design and response. The Code of Conduct for the International Red Cross/Crescent Movement and NGOs in Disaster Relief is an Annex in the Sphere Handbook.

Sphere is not a membership organization. The process of developing the handbook, and its revisions for 2004 and 2011, were based on extensive collaboration involving many humanitarian agencies. Following consultations in 2004 with people and organizations that use Sphere, the Sphere Management Committee became a Board. The small project office based in Geneva was restructured to allow greater emphasis on gathering and managing knowledge on Sphere and better support those developing materials and training to facilitate its use. The interactive website and online database are a key tools in these tasks. “Offline” activities include “learning activities,” which are being held around the world to allow people to reflect on and record their experiences of using Sphere. The project operates in three languages: English, Spanish and French. Most project materials are available in all three languages, and the handbook has been translated into several more.

www.sphereproject.org

What are the similarities among us?
All initiatives share a common goal, which is to improve accountability, quality and performance in humanitarian action. There are many paths to achieving this goal, and while each initiative takes a different route, they sometimes overlap and they have a shared destination. All the initiatives are governed, managed and supported by humanitarian agencies and individuals, and there is a commitment to work closely together toward greater harmonization and impact.

What are the differences between us?
Although the initiatives share the same goal, there is also a necessary distinctiveness. Quality and accountability in the humanitarian sector are multifaceted, and each initiative has chosen or been mandated by the sector through its membership to take a distinct entry point and methods for addressing specific component(s). In this way, each one requires a different combination of skills and competencies, and has developed its own unique way of addressing its specific objectives.

Distinct mandates: Each initiative aims to improve one or more component parts of humanitarian quality and accountability. ALNAP is concerned with promoting learning, especially through improved evaluation, while HAP aims to improve the quality and impact of humanitarian action through helping agencies to become more accountable to disaster survivors. People In Aid’s remit is to help NGOs to improve their human resource practices through the use of the Code of Good Practice and other targeted services and outputs. Sphere has developed and supports the use of standards and a humanitarian charter in disaster response, in order to improve the quality and accountability of performance by humanitarian professionals.

How is complementarity assured?
Several mechanisms are in place to ensure that the work of each initiative is harmonized sensibly. For example, all the initiatives come together twice a year to review their respective work-plans and to discuss overlaps and gaps. The minutes from these meetings are posted on each of the initiatives’ websites. HAP, People In Aid, Groupe URD and Sphere are all full members of ALNAP and are in constant touch through circulars, e-mail and face-to-face meetings. The ALNAP Biannual Meetings provide a forum for regular updates and discussing work-plans. There is also crossover on various working groups; for example, HAP was on the Working Group of the ALNAP Global Participation Study and is also a member of People In Aid. During 2006 Sphere participated in the

Editorial Steering Committee for the development of HAP standards. HAP, Sphere and ALNAP are all in an advisory group to ECB. Increasingly, the initiatives are looking at ways of working together on certain projects and in certain countries.

Additions to "Who are we and what do we do?"

Coordination SUD—Synergie Qualité is the national coordination committee of French international solidarity NGOs. It produced the Synergie Qualité methodology in 2003. The aim of the Synergie Qualité approach is to help NGOs implement their own quality approaches by suggesting that they incorporate these five elements:

- Humanitarian ethics
- Governance within the agency
- Human resources management
- Project cycle
- The role of the affected populations

According to Synergie Qualité, the quality criteria vary according to the context in which the actions occur, so this organization focuses on the right questions to ask rather than on responses. Its guide is being translated into English and some of the chapters can be downloaded in English.

www.coordinationsud.org

Quality COMPAS has been produced by Groupe URD, which undertakes research, evaluation and training in humanitarian action. It has its roots in operational research carried out from 1999 to 2004.

It enables steering and evaluation of projects with the aim of improving the quality of service provided to these populations. It is complemented by an information handling system (Dynamic COMPAS), which makes it possible to record key data about the project. Groupe URD is now supporting leading humanitarian organizations as they adopt this method and its tools.

The Emergency Capacity Building Project's Accountability and Impact Measurement Initiative. The Emergency Capacity Building (ECB) Project is a collaborative effort of the seven agencies of the Inter-agency Working Group on Emergency Capacity: CARE International, Catholic Relief Services, the International Rescue Committee, Mercy Corps, Oxfam GB, Save the Children US, and World Vision International. These agencies and their partners are jointly addressing issues of staff capacity, accountability and impact measurement, risk reduction and the use of information and communication technologies in emergencies, with the objective of improving the speed, quality and effectiveness of emergency response.

Those involved in the project have agreed that our primary accountability is to people affected by disasters. For ECB, accountability means involving men, women, and children affected by an emergency in such a way that they can voice their opinions, influence project design, say what changes they want to see and judge results achieved. The “good enough” approach stresses doing what is safe, essential, quick and simple in complex emergency situations, to ensure that even in these challenging contexts staff take some initial, practical steps toward accountability to disaster-affected people. These practices have been published in a brief guide entitled Impact Measurement and Accountability in Emergencies: The Good Enough Guide in early 2007.

Further reading is available at: **http://www.hapinternational.org/pool/files/qandafinalpaper.pdf**

ANNEX 2.3.1 THE FOUR CS

ACCOUNTABILITY—THE FOUR CS

Follow these four simple steps to ensure accountability: count, check, change, communicate.

Information must be reliable.

- *Count:* This step focuses on basic tracking of inputs and outputs through routine project control systems. Counts may include distribution records, warehouse registers, cash-for-work records, etc. They provide assurance that the people we serve will receive the intended goods or services.
- *Check:* This step focuses on verification of content and process with the people we serve. Check whether the results are appropriate and relevant and whether they will be effectively used according to the intended purpose.
- *Change:* Based on counts and checks, you may need to change or adapt the project activity. Staff should review the information and make program decisions accordingly.
- *Communicate:* Consider the range of information needs of multiple stakeholders and the need for timely information for decision making and importance of accuracy of information. Deliver good and bad news, provide the source of information and explain if it is incomplete. Communicate with the people you are serving (men and women, old and young, different social and ethnic groups), government, other agencies, and donors.

ANNEX 2.4.1 ACCOUNTABILITY ROLE-PLAY SCENARIOS

Instructions: In three groups, prepare role-plays based on the following scenario. You have 25 minutes to prepare. Then two people from your group will be selected to enact the role-play, with the rest of the participants playing the role of displaced people.

Think about gender and community disaggregation: How can the points of view of different social, ethnic and age groups be solicited? How can the equal participation of women and men be ensured?

Group 1: Introduce your NGO, Sanitation Plus, to the affected people in one of the camps. To prepare, refer to GEG, Tool 1, p. 30.

Group 2: Conduct a focus group seeking feedback on the planned sanitation activity from a group of displaced women (played by 6–12 participants while the others observe). To prepare, refer to GEG, pp. 20–21, and Tool 6, p. 40: How to Conduct a Focus Group.

Group 3: Introduce and host a public meeting receiving complaints from the IDPs. To prepare, refer to GEG, Tool 12, p. 49: How to Set Up a Complaints and Response Mechanism.

SCENARIO

You work for Sanitation Plus, and you are responding to a flood that has caused displacement.

People have moved out of their villages and are congregating in schools and other public buildings. The government is providing food rations 10 days, and you are starting a sanitation program in three camps. Another NGO is planning to clean wells and provide clean water.

Two of these camps are located in schools where toilets exist (blocks of eight toilets in each camp), but these are in poor condition and starting to overflow due to the overcrowding. You are repairing existing toilets and building new blocks of latrines. In total, there will be 20 latrines in each camp, 10 for men and 10 for women, with water for hand washing and washstands for laundry. Each family will receive a soap ration (250 g per person).

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 3:
Emergency Needs Assessments

~~(2½–3 days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 5: Analysis and Project Design (2½ days)

Module 6: Technical Design and Distributions (2 days)

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together (2½ days

CATHOLIC RELIEF SERVICES

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MODULE 3: EMERGENCY NEEDS ASSESSMENTS

(2½–3 DAYS)

Objectives

- To design and lead rapid, participatory emergency assessments

Expected Results

- Participants understand the importance of sound emergency assessment planning.
- Participants are knowledgeable about the methods, tools and best practices for emergency assessments.
- Participants are capable of designing emergency assessment processes appropriate to the context.

Brief Overview and Tips

This 16.5-hour module uses group work and practical exercises to develop the skills and tools needed to conduct a needs assessment, starting with planning, and then deciding whom to talk to, what methods to use, and what information to collect. It uses the Sphere Handbook to inform the development of an assessment tool and set the standard for a needs assessment.

- Every participant should have a copy of the Sphere Handbook.
- Depending on the group, the facilitator may adjust the time spent covering the basics in Sessions 3.1 and 3.3 and focus more on planning processes and practical issues related to data collection and tools in emergency assessments.
- For a more experienced group, Session 3.3 can be adjusted to a shorter reflection exercise or energizer, of around 15 min.
- Session 3.6, on participatory assessment methods (such as mapping, ranking, Venn diagrams), should be adapted according to the participants' experience. A group with little or no experience of PRA (participatory rural appraisal) tools might find this covers too many tools in too little time.
- Session 3.10 is an optional session that can be useful to consolidate learning from the previous sessions.
- If the government or local U.N. or coordinating agencies have developed an emergency assessment tool, introduce it in Session 3.9.

Session 3.1	Emergency Assessments: Introduction	(½ hr.)
Session 3.2	Emergency Assessments: Planning	(2 hr.)
Session 3.3	Research Methods: Bias and Triangulation	(1 hr.)
Session 3.4	Data Collection Methods: Interviewing Skills	(1¼ hr.)
Session 3.5	Data Collection Methods: Transect Walk	(1¾ hr.)
Session 3.6	Data Collection Methods: More Participatory Methods	(2½ hr.)
Session 3.7	Whom to Talk to: Stakeholder Analysis	(1½ hr.)
Session 3.8	What Information to Collect: Emergency Assessment Tools	(3 hr.)
Session 3.9	Reviewing Existing Emergency Assessment Tools	(1¼ hr.)
Session 3.10	Data Analysis	(1 hr.)
Session 3.11	Preparing Your Assessment Team	(1 hr.)

Further Resources

- CRS ASIA Emergency Assessment Guidance, revised March 2009
- CRS Emergency Assessment Manual
- Emergency Assessment PowerPoint presentation, CRS-Trocaire
- Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners (Vols. I and II)
- Caritas Internationalis Emergency Response Toolkit (2007)
- *Do No Harm: How Aid Can Support Peace—Or War*, by Mary B. Anderson
- ProPack I (Stakeholder Analysis + Assessment Planning, Table 3.5—if Catholic Relief Services audience)
- Good Enough Guide
- CRS Asia M&E Guidance [M&E: monitoring and evaluation], pp. 63–65

SESSION 3.1: EMERGENCY ASSESSMENTS: INTRODUCTION (½ HR.)

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 CRS/partners 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 activities.

Materials

- Handout 3.1.1: Case Study
- Handout 3.1.2: SASIA Emergency Assessment Guidance
- PowerPoint presentation Emergency Assessments Slides 1–8
- Note cards, markers

Facilitation

TIME	METHOD	CONTENT
30 min.	**Individual reading, pair buzz**	**Distribute** the case study and read aloud. **Ask** participants to share their reactions to the case study in pairs. What did the partner do well? What could it have done better?
	Plenary discussion	Each pair 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. (15 min.)
	Pair buzz	**Ask** participants in pairs again to think of two or three key recommendations for the partner to ensure best practice in future?
	Plenary discussion	Share ideas in plenary. Check that the Key Messages above have come out in the discussion; if not, summarize. (10 min.)
	PowerPoint presentation	**Ask** a participant to come to the front and draw the project cycle and briefly present it to the group. The facilitator underlines the importance of the needs assessment as the first step in any emergency response. (5 min.)
	Reading aloud	Give a brief PowerPoint presentation on "Emergency Assessments": Go over Slides 4–5 on why we do assessments. Discuss whether tips for conducting a good assessment (Slides 6–7) correspond with best practice recommendations from the pair buzz. Ask a participant to read aloud the Sphere Core Standard 3. P61 (Slide 9), and explain that this training will give us the skills and tools to achieve this standard.
	Q&A PowerPoint	**Ask,** "What have you learned from this session?" Listen to participants, then show Slide 10.

SESSION 3.2: EMERGENCY ASSESSMENTS: PLANNING (2 HR.)

Objectives

- 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 evolve.
- Focus on collecting timely, reliable information that you will actually use.
- Accuracy is often a challenge when collecting numbers or calculating statistics. Use secondary sources and focus your primary data collection on qualitative information about how people are doing and their coping strategies.

Materials

- Handout 3.2.1: Assessment Memos
- Handout 3.2.2: Tips on Assessment Methodology
- Handout 3.2.3: Assessment Planning Table (ProPack I, p. 65)
- PowerPoint Slides 11–16
- Note cards of three different colors, markers

Facilitation

<table>
<tr><th>TIME</th><th>METHOD</th><th>CONTENT</th></tr>
<tr><td>30 min.</td><td>Presentation</td><td>Introduce the topic: For all assessments it is essential to make a plan of action and a budget. Without a plan or budget, it is easy to find yourself in a situation in which you may collect too much information with no clear idea of what to do with it. (For CRS participants: The ProPack I Assessment Planning Table [p. 65 or Slide 11] is a tool to use in planning a needs assessment. Now we will do an assessment planning exercise.</td></tr>
<tr><td></td><td>Group Exercise

(Simulation memo as handouts)</td><td>Divide participants into four groups with three or four participants in each group, and provide Handout 3.2.1 with scenario background.

PowerPoint instructions: Based on the information in the scenario, ask the participants to plan an immediate emergency needs assessment and determine the following (10 min.):

1. WHY – objective of the assessment
2. WHAT – information to collect
3. HOW – what methods
4. WHO – key informants

After 10 minutes, distribute the next memo. Focus on one assessment period at a time to complete each task. Repeat to develop an assessment plan for the first days, weeks and months. (10 min. each)

Tip: Use different color stock cards for each period (if available).</td></tr>
<tr><td>30 min.</td><td>Plenary debrief</td><td>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 three phases.

<table>
<tr><th></th><th>FIRST ASSESSMENT</th><th>SECOND ASSESSMENT</th><th>THIRD ASSESSMENT</th></tr>
<tr><td>Objective</td><td></td><td></td><td></td></tr>
<tr><td>Information</td><td></td><td></td><td></td></tr>
<tr><td>Methods</td><td></td><td></td><td></td></tr>
<tr><td>Whom to talk to</td><td></td><td></td><td></td></tr>
<tr><td>Use</td><td></td><td></td><td></td></tr>
</table>

Ask one group to present their findings for the first assessment. Conduct Q&A for clarification and for additions from other groups. Work column by column, allowing for clarification at each stage.

Review overall assessment plan, asking:

• Are there any gaps with what we have posted? Is there anything you would change (e.g., household survey in first or second assessment)?
• Working row by row, what are the key differences in each phase? For example, 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.</td></tr>
<tr><td>15 min.</td><td>Summary</td><td>Distribute SASIA Emergency guidance and invite participants to read it. Ask participants to share anything that stands out from the guidance. Any new learning?</td></tr>
<tr><td></td><td>PowerPoint Q&A</td><td>Review with key messages (Slide 15) on types of assessment, timing and tips. Show PowerPoint Slide 16, on the Good Enough Guide. Discuss the concept of good enough and how it applies in emergency assessments.</td></tr>
</table>

Note: All subsequent reflections and exercises can be grounded using the above scenario.

SESSION 3.3: RESEARCH METHODS: BIAS AND TRIANGULATION

(1 HR.)

Objectives

- 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 who we are, and there is little we can do to *prevent* bias, so 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 that the assessment is conducted by a diverse, multidisciplinary team, using multiple tools and techniques, with individuals and groups of people who represent the diversity of the community.
- Good planning is essential. Planning means deciding who should be on the assessment team, where you will go and whom you will talk to, what information you require, and what methods you will use to collect that information.

Materials

- Handout 3.3.1: Optical Illusions. Choose two optical illusions for the group, according to their language ability (Slide 1, "Paris in in the rain," will work with English speakers, but slow readers will discover the repetition right away) and participants' familiarity with these slides (Slide 2 is quite well known). Choose also to maintain variety: Slides 2 and 3 can reveal an old lady or a young lady's face depending how you look at it; Slides 4, 5 and 6 use geometric shapes to trick the eye into seeing changes in size or movement; and Slides 7 and 8 have hidden words that will only be seen on close inspection.
- Handout 3.3.2: Biases and How to Overcome Them With Triangulation.
- PowerPoint for group work instructions.

Facilitation

TIME	METHOD	CONTENT
20 min.	**Plenary**	**Distribute** the first optical illusion. The facilitator asks the participants, What do you see? Ask participants to describe what they see and to 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 min.	**Pair buzz** **PowerPoint instructions**	The facilitator asks, "What are the different biases and prejudices that may affect our postdisaster needs assessment?" Write them on a flip chart: 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 (e.g., visiting when the fields appear fertile or visiting in the morning when men are out looking for work), area bias (e.g., only visiting accessible places such as more prosperous villages close to the main road), and superiority bias (talking to the better educated and assuming that the poor have few skills or capacities).
30 min.	**PowerPoint instructions** **Pair buzz**	**Ask**, "How can we minimize biases and prejudices?" Assign different biases to different pairs to ensure that all situations are addressed. Elicit examples, and note ideas on a flip chart, avoiding repetition.
	Plenary discussion	Conclude with the concept of **triangulation.** Draw a triangle on flip chart to illustrate and provide a definition. **Sum up** the session by sharing key messages. (PowerPoint Slide 19 is available if needed, but Q&A may be more effective). (Provide and discuss Handout 3.3.2 on biases.)

SESSION 3.4: DATA COLLECTION METHODS: INTERVIEWING SKILLS (1¼ HR.)

Objectives

- To know what to do and what not to do when conducting an interview
- To put interviewing skills into 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; and avoid asking leading questions.
- Decide carefully whom to interview, according to the information required and taking cultural considerations into account, for example, interviewing women and men separately and in appropriate surroundings.
- Be capable of conducting structured and semistructured interviews, and using closed- and open-ended questions.

Materials

- Handout 3.2.1: Assessment Memos
- Handout 3.4.1: Interviewing Techniques
- Handout 3.4.2: Individual Interviews (from the *Good Enough Guide*)
- PowerPoint for group work instructions

Facilitation

TIME	METHOD	CONTENT AND FACILITATION NOTES
10 min.	**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)?" The facilitator distributes cards (assign two colors) and asks each participant to jot down ideas, one idea per card.
20 min.	**Round robin in plenary**	In plenary, **ask** each pair to share and post *one* idea for DOs and DON'Ts, without repeating any ideas that have already been shared. **Post** them on the board to create a list of DOs and DON'Ts. Make sure that 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 that can be answered by yes or no ("Do you eat millet?"). These questions should be avoided whenever possible because they result in very stilted interviews. It is better to ask open-ended questions ("What grains does your family eat?") that encourage the respondent to answer more expansively and lead more naturally to follow-up questions.* (Handout 3.4.1) (Distribute Handout 3.4.1) Ask participants to read it and comment on any differences or new ideas.
15 min.	**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 on items of interest. • Semistructured 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 explain why. • In an emergency assessment, open-ended or semistructured interviews are more useful, because it is important to be flexible and respond to new information as it arises. (Distribute Handout 3.4.2)
30 min.	**PowerPoint instructions** **Role-play preparation**	**Return** to the scenario (from Session 3.2), and tell participants they will now do a role-play to practice conducting interviews. reread the first part of the scenario (August 17) and the plan for the first phase of the assessment. Think about how to apply the DOs and DON'Ts when interviewing the people you are serving. (Allow everyone a few minutes of individual preparation.)
	Role-play	**Ask** four participants to come to the front and act out an interview, two as NGO workers and two as family members (one man, one woman) affected by flood. They should imagine that they have already introduced themselves to the community leaders and are now interviewing displaced family members.
	Discussion	**Invite** other participants to watch. Once complete (10 min.), ask the group to **comment** on the role-play and compare with the checklist of DOs and DON'Ts. 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. (PowerPoint Slide 21 is available if needed, but Q&A may be more effective).

SESSION 3.5: DATA COLLECTION METHODS: TRANSECT WALK

(1¾ HR.)

Tip: This session can be adjusted depending on the participant experience with PRA or RRA (rapid rural appraisal) methods. If they have sound knowledge and practice with PRA, a reflection and plenary discussion on the range of data collection methods (qualitative and quantitative) may be enough.

Objectives

- To become familiar with tools for participatory needs assessments
- To identify the different methods that can be used during a postdisaster needs assessment

Key Messages

- There are many tools and methods that can help us conduct assessments and, in particular, ensure that they are participatory in nature.
- We need to be familiar with them to choose the appropriate tool at a given time in an emergency context, and to use them properly.
- A transect walk uses a mixture of observation and open-ended interviews to collect information about the impact of the disaster.

Materials

- Handout 3.5.1: Transect Walk (adapted from CRS PRA Manual's section on Transect Walk, pp. 82–84)
- Handout 3.5.2: Roles for Transect Walk Role-Play (Print and cut into strips to pull out of a hat.)
- CRS ASIA M&E Guidance, Collecting Qualitative Data, p. 63
- Handout 3.2.1 Assessment Memos (from Session 3.2)

Facilitation

TIME	METHOD	CONTENT
15 min.	**Plenary, brainstorm**	**Ask**, "What methods do you use to collect information in a needs assessment?" **Note** the ideas on the flip chart: • Collect secondary sources (information from the media, government officials, other NGOs, etc.) • Interviews (single or group; structured or open-ended) • Observation • Focus group discussion • Transect walk • Mapping, ranking, calendars, Venn diagrams, etc. **Summarize** by saying that there are many methods that can be used to collect information and we need to be familiar with them in order to use the appropriate tool properly. We will look in detail at the two most common methods: transect walk and interviews. Interviews are more or less participatory depending on how open-ended the questions are and how much scope for listening to what people have to say is built in, especially in initial rapid assessments. Other methods will be covered later, in less detail.
15 min.	**Discussion and reading in plenary**	**Ask** if anyone has experience of conducting a transect walk and to share their experience with the group. Explain the purpose of the walk: to gain an overview of the effects of the disaster on a community. The method uses a combination of observation and interviews while walking through a cross section of the community. **Distribute** Handout 3.5.1 on transect walk and read out loud together. Discuss any differences between this and the participants' experiences shared earlier; understand why these steps are proposed.
1 hr.	**Role-play outside**	**Organize a role-play**. The facilitator sets the scene: It is now three days after the disaster, and you will conduct a transect walk in a storm affected village. Two participants will play NGO staff, and the other participants will play community members, based on roles that will be pulled at random out of the hat. (Place folded slips of paper from Handout 3.5.2 in the hat and pass it around so that each participant pulls out a role.)
15 min.	**Plenary discussion**	**Discuss** what worked well. What difficulties might be encountered in the field? How could they be overcome?

SESSION 3.6: DATA COLLECTION METHODS: MORE PARTICIPATORY METHODS (2½ HR.)

Objectives

- To become familiar with some participatory tools for needs assessments
- To identify the different methods that can be used during a postdisaster needs assessment

Key Messages

- Participatory tools such as mapping, Venn diagrams, calendars and ranking can be used and adapted according to your information collection requirements.
- Using the tools appropriately means reflecting on who to use the tool with; this requires a good understanding of possible groups within the community.
- Focus group discussions (FGDs) and group interviews are different—and may be more or less appropriate at given times in an emergency context. Well-structured FGDs should explore one topic of concern, not a range of issues.

Materials

- Handout 3.2.1: Assessment Memos
- Handout 3.6.1: How to Be a Facilitator (Source: PHAST)
- RRA/PRA manual Vol. 1, pp. 68–104 (Prepare photocopies in advance)
- Good Enough Guide, pp. 40–41 (Prepare photocopies in advance)
- CRS Asia M&E Guidance pp. 64-65 (Prepare photocopies in advance)
- PowerPoint for group work instructions

Facilitation

TIME	METHOD	CONTENT
15 min.	**Plenary, brainstorm**	**Review** concept of triangulation and list of methods that can be used in assessments. Observation, transect walk, interviews are light methods that are often used in emergency assessments. If additional information is required, other methods can be used, according to the information needs. • Focus group discussion (GEG (*Good Enough Guide*), pp. 40–41) • Mapping (RRA/PRA Manual, pp. 77–81) • Ranking (RRA/PRA Manual, pp. 92–93) • Calendars (RRA/PRA Manual, pp. 88–91) • Venn diagrams etc. (RRA/PRA Manual, pp. 85–87)

TIME	METHOD	CONTENT
1 hour	**Small group work**	Select four or five participatory tools from the PRA manual and **assign** one to each group of two or three participants. *Handout RRA/PRA manuals or photocopies to the group to use, as needed to support the work.* Group work instructions: Reflect on how to use the tool in an emergency assessment, such as in Handout 3.2.1. If you have experience using this tool in an emergency or development context, share your lessons learned. Answer the following: • Purpose: Based on your experience, what can the tool be used for? What information did you gather with it? • With whom did you use the tool? What did you learn, and how might you use it differently next time? • What difficulties or challenges did you face (or might you face) using the tool in an emergency context? • Is it an appropriate tool for an emergency assessment? What are the pros and cons of using it in an emergency? Is it more useful in some contexts than others?
	PowerPoint instructions	Be prepared to present the tool to your colleagues in plenary: Imagine that you have to explain the tool to your colleagues you are not familiar with it; present the (a) purpose, (b) people with whom you used it, (c) challenges and (d) emergency context. Share any lessons learned or difficulty that you may want to warn your colleagues about. Be prepared to share illustrations of the tool from your experience, if you have it.
1 hour	**Plenary debrief** *(allow for time to read relevant sections of PRA manual)*	Have **one group present** the tool. Encourage good Q&A. Probe to fully understand how participants have used the tool—how participatory was the process (given the emergency context) and whom they talked to. If participants do not have illustrations—refer to the PRA/RRA manual's examples. Compare to emergency context and discuss. Suggest recommended changes or clarifications as needed. **Move to next** tool and repeat process. **Clarify** that RRA/PRA tools can be used not only for information gathering (e.g., assessments and evaluations) but also for community awareness raising and mobilization (especially in medium- to longer-term projects).
15 min.	**Plenary Q&A**	**Ask**, What is the difference between an interview and a focus group discussion? • An interview follows a checklist and asks a range of questions covering broad subject matter. It is used to collect information or learn from people's experiences on a particular issue. An interview can be with one person or a group of people and can take 10 minutes or longer. • An FGD goes in-depth (focuses) on one specific topic, and instead of asking a series of questions, the facilitator starts a conversation in the group and then listens and takes notes as people discuss and share opinions. Illustrate with examples. Refer to SASIA M&E Guidance, pp. 64–65. **Conclude** by asking, What methods and tools are most appropriate for an emergency context? The responses should result in a discussion of timing, resource availability, changing information needs, fluid context, and the like.

SESSION 3.7: WHOM TO TALK TO: STAKEHOLDER ANALYSIS

(1½ HR.)

Objective~~s~~

To identify stakeholders in a disaster situation and identify who should take part in the assessment

Key Messages

- Communities are never homogeneous. We need to understand the composition of various groups and subgroups 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).
- For CRS participants familiar with the ProPack Stakeholder Analysis table: The stakeholder analysis in this exercise is adapted and simplified for an emergency assessment. The ProPack Stakeholder Analysis can be used once more information is available and during the project design stage.

Materials

- Handout: 3.2.1: Assessment Memos
- Handout 3.7.1: Stakeholder Analysis

Facilitation

<table>
<tr><th>TIME</th><th>METHOD</th><th>CONTENT AND FACILITATION NOTES</th></tr>
<tr><td>10 min.</td><td>Plenary discussion</td><td>In plenary, ask: What are stakeholders? What does the term mean?
• Stakeholders are people, groups or institutions that may have interest in or influence over a project.
• Interest refers to what people may gain or lose, or expectations or resources invested.
• Influence refers to power, that due to decision-making authority, has the 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).</td></tr>
<tr><td>10 min.</td><td>Plenary discussion</td><td>Refer to Handout 3.2.1 (from Session 3.2) and ask participants to identify all the stakeholders. Post them on the flip chart.</td></tr>
<tr><td>15 min.</td><td>Plenary</td><td>Draw a grid on the board and explain it. (5 min.)
<table>
<tr><th></th><th colspan="2">INTEREST</th></tr>
<tr><td rowspan="2">INFLUENCE</td><td>Low interest, high influence: This group should be informed that an assessment is taking place and the project is starting. Ask for their cooperation.</td><td>High interest, high influence: This group should be consulted. They can provide useful information, which might have to be double-checked. They could help with mobilizing the community for project activities.</td></tr>
<tr><td>Low interest, low influence: This groups is less important, but it might be useful to share information</td><td>High interest, low influence: This group should be the primary participants for providing information in the assessment. They should be consulted during project planning, as they are the primary people we serve. Share information and coordinate with them.</td></tr>
</table>
Place cards with names of stakeholders from the case study on the grid to analyze their level of interest and influence on a possible emergency response. (10 min.)
Does the table help us to think about how to involve stakeholders with high interest and low influence?</td></tr>
<tr><td>40 min.</td><td>Small group work</td><td>Form small groups. Each group selects three or four stakeholders and proposes how they should be involved in the assessment and the project design process. Remind participants to keep in mind a gender and vulnerability focus. (20 min. group work)
Tip: Groups should work on stakeholders from different social groups in a village (or affected area) and include a gender perspective and at least one government, NGO or U.N. informant.
Each group presents. (20 min.)</td></tr>
<tr><td>15 min.</td><td>Plenary discussion</td><td>Review challenges of systematically talking to key stakeholders in assessments and share ideas on how to ensure that needs are appropriately identified. Wrap-up with Key Messages (Slide 26).</td></tr>
</table>

SESSION 3.8: WHAT INFORMATION TO COLLECT: EMERGENCY ASSESSMENT TOOLS (3 HR.)

- Objective

- To be capable of designing appropriate tools for emergency assessments, using Sphere

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 water and sanitation 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:
  - Chapter 1, Core Standard 3, p. 61
  - Appendix 1: Water Supply and Sanitation Initial Needs Assessment Checklist, p. 124
  - Appendix 2: Food Security Checklist, p. 216
  - Chapter 4, Appendix 1: Shelter, Settlement and Nonfood Items Initial Needs Assessment Checklist, p. 278
  - Chapter 5, Appendix 1: Health Assessment Checklist, p. 338
- Handout 3.8.1: Tool Review Questions
- Handout 3.9.2: Emergency Assessment Tool: Kosi Flood Response
- Tips for Developing Quantitative Questions and Common Problems and Solutions in Developing Qualitative Questions (CRS Asia M& E Guidance Series) or ProPack II, p. 113

Facilitation

TIME	METHOD	CONTENT
15 min.	**Reading in plenary**	The facilitator asks everyone to turn to their Sphere Handbooks and read CoreStandard 2 on Assessment (p. 61). Then, invite participants to review relevant appendixes with assessment checklists. Elicit comments on the reading.
45 min.	**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 first assessment (refer to scenario from Session 3.2 and Handout 3.2.3: Planning Table). Explain that 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 min.) Plenary debrief: Each group posts flip charts on the wall and conducts 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 min.)
1 hr.	**Plenary review**	Emphasize key message about the need to focus on the *process* of information collection and *information needs*, not just on one tool. **Review** **Present** the Tool Review Questions in Handout 3.8.1 Group Instructions: • Check your work: Using the yes/no reflection questions, all participants should review their work and pick out questions that could be eliminated (following the logic of the tree). • Use red markers and draw red dots next to the eliminated questions. (20 min.) **Conduct** a plenary review: Work flip chart by flip chart, discussing the rationale of each group. Conduct Q&A. (30 min.) **Conclude:** Was this review useful? How and why? Share further resources that are available: For example, Tips for Tool Development from CRS Asia M&E Guidance Series. (10 min.) *An experienced group could practice using these tips to conduct a secondary review of the flip charts. For less experienced participants, concentrate on one key tool per session and how to use it well.*

SESSION 3.9: REVIEWING EXISTING EMERGENCY ASSESSMENT TOOLS (1¼ HR.)

Objective~~s~~

To become familiar with existing emergency assessment tools and capable of reviewing and adapting them to your needs

Key Message~~s~~

Many tools already exist (country program, interagency, U.N., government). Being ready to respond to disasters means being familiar with these tools and being capable of adapting the most appropriate tool to the specific context of the disaster when it occurs.

Materials

- Emergency assessment tools used in country, or one of the following:
- Handout 3.9.1: Emergency Assessment Tool: Pakistan Cyclone
- Handout 3.9.2: Emergency Assessment Tool: Kosi Flood Response
- Handout 3.9.3: Detailed Assessment: CRS Emergency Assessment Manual
- Handout 3.9.4: Emergency Assessment Tool: Balochistan

Facilitation

TIME	METHOD	CONTENT
45 min.	**Exercise instruction and group work**	Provide each group with an Emergency Assessment Tool that is used in country or Handouts 3.9.1–3.9.4. **Ask** groups to review the tool. Based on the scenario, the aim is to adapt the tool for use in the second assessment. Propose three elements to keep and five elements to change. Comparisons with tools developed in Session 3.8 and Sphere checklists may be helpful. Groups should be prepared to explain their choices.
30 min.	**Plenary discussion**	**Plenary**: Each group shares what they will keep and what they will change and facilitator to note on flip chart. • Focus on *process* rather than exclusively on tools; that is, the tool informs all information collection methods and guides the whole assessment process. • There is no one-size-fits-all solution, so you always need to adapt tools to context, information needs, etc. (according to the assessment plan).

SESSION 3.10: DATA ANALYSIS (1 HR.)

Objective

To familiarize participants with options for data analysis and equip them to plan accordingly

Key Messages

- Data collected in emergency assessments need to be analyzed on a daily basis.
- Team leaders should plan for analysis when designing the tools and selecting data collection methods.

Materials

- CRS South Asia M&E Guidance, Analysis (as reference)

Facilitation

TIME	METHOD	CONTENT
10 min.	**Plenary discussion**	**Discuss** means of analysis (both quantitative and qualitative). How to plan for it? Who does it? • Focus on team leader's capacity and comfort with analysis; that is, tools should allow for simple, daily analysis, not complex databases. • Qualitative data should be reviewed in participatory sessions. Bring flip chart, cards and markers.
25 min.	**Small group work**	Group task: Develop a detailed agenda for a participatory analysis session.
25 min.	**Plenary**	One group presents, and other groups comment and share additional ideas. Draw out key recommendations. **Ask** participants if they have lessons learned from their own experience.

SESSION 3.11: PREPARING YOUR ASSESSMENT TEAM (1 HR.)

Objective

~~•~~ To get ready to go on assessment

Key Messages

- Have tools, a draft scope of work (SOW), a list of essential items, and the like, ready at all times in case of disaster.
- The composition of the assessment team in each of the three phases is very important. Having a multisectoral team is less important than having team members with strong analytical, decision-making and interpersonal communication skills. Technical knowledge is more important in the in-depth assessments.

Facilitation

TIME	METHOD	CONTENT
25 min.	**Group work instructions**	Form four groups. Give instructions (PowerPoint slide) • Group 1 discusses and lists steps (or to-do list) to prepare for deployment to lead an assessment. • Group 2 specifies the skills necessary for the assessment team members—for first phase assessment. • Group 3 specifies the skills necessary for the assessment team members—for third phase assessment. • Group 4 drafts the SOW for an assessment team leader. Include a schedule of activities.
20 min.	**Small group work**	Each group presents its findings. Share results (particularly compare Groups 2 and 3). **Sum up** with key messages. (PowerPoint Slide)

ANNEXES MODULE 3

ANNEX 3.1.1 CASE STUDY

Severe flooding led to the release of water from a dam. Initial funds were immediately transferred to the local partner, who started distributions on the east side of the dam. The partner distributed food and nonfood rations to 500 families in the first week after the floods. Each family received:

- 10 kg rice
- 2 kg dal
- 2 liters oil
- 2.5 kg sugar
- 1 blanket

Other NGOs were slow to respond, and the partner's office was often crowded with affected people requesting assistance.

To meet the increased need, the partner needed more funds. The donor required a needs assessment to take place and inform the proposal development. The following were the assessment findings:

1. Families had shared their food with those who had not received rations, and therefore the food was finished a few days after the distribution. There were reports of tensions between those who had received and those who had not, until a community decision was made that everyone would share.
2. Families had experienced problems cooking the food. They were camping on the side of the road or on embankments and had little space, problems finding fire wood, and a shortage of cooking pots. Families were taking turns, borrowing pots and cooking one meal a day.
3. Many children had diarrhea. It was difficult to access clean drinking water. The embankment was surrounded by dirty flood water.
4. The families complained of cold, wet sleeping conditions. It rained most days, and people were living under temporary shelters that were not waterproof. Some families had used their blankets to patch up their shelters.
5. On the east side, where distributions had taken place, damage was patchy. Some houses were unaffected, while others had been badly flooded. On the west side of the dam, the damage was greater and entire villages had been leveled.

Questions

- What did the partner do well?
- What could it have done better?

ANNEX 3.2.1 ASSESSMENT MEMOS

August 17, 2009, 16:30

A major depression over the Bay of Bengal has brought high winds and continued rains over the past 48 hours. Two districts have been put on alert, and people in severely affected areas have been asked to evacuate. People in the coastal areas have moved to cyclone shelters. People living in *kacha* (mud and bamboo) or semi-*pucca* (part mud, part concrete) houses have taken shelter in schools or tall buildings.

Fallen trees and electric pylons are blocking roads, making it difficult to reach coastal areas. Telecommunication infrastructure is badly damaged, and communication with field staff is difficult.

National papers and the BBC report 154 dead from landslides in the Chittagong city outskirts. As rains continue, the death toll is expected to rise and cause major damage to infrastructure and crops.

From preliminary information and discussions with the executives, it is clear that Caritas Bangladesh (CB) will need to respond. The regional team, based in Chittagong, has very little experience in emergency assessments. As the coordinator for the unit, you have been asked to deploy to lead the assessment team. You are scheduled to leave this evening, but you need to send your preliminary assessment plan, so that field work can start first thing tomorrow.

Group Instructions

Working in a group as the emergency unit, please prepare the plan for your first assessment, indicating the following:

1. WHY you will conduct an assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

August 19, 2009

Caritas Bangladesh immediately mobilized its regional team in Chittagong as well as experienced members of the Disaster Management team and dispatched them to the worst affected districts. Through its own contingency resources, CB has begun distributing food rations for an estimated 12,000 families, together with plastic sheeting, water containers and water purification tablets.

Based on preliminary discussions with government officials and community leaders, as well as your field observations, it is apparent that food, shelter and wash needs in the present camps will be met. Families have started to trickle back to their villages, but a majority of *kacha* and *semi-pucca* shelters are either blown away or damaged, making shelter assistance a clear priority. Crops have suffered extensive damage, and, therefore, you plan to start cash-for-work activities.

Your initial relief was planned only for 10 days. You now need more detailed information to write the Emergency Appeal for CI, indicating your plans over the next three months.

Group Instructions

Working in a group, please prepare the plan for your next assessment, indicating the following:

1. WHY you will conduct another assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

Nearly a month after the cyclone, families are still staying in temporary shelters on the embankments, on roads, in schools and in cyclone shelters. The embankment has not been fully repaired, and their homes flood at high tide and when there is rain. The temporary shelters are small and provide very little protection or privacy. Some families have access to water sources, but distances are long, and many families resort to collecting dirty surface water for household use and sometimes for drinking water. People have been unable to return to work on the land, due to the continued flooding of fields. There are very few local employment opportunities, as small businesses were also damaged or destroyed, and the better-off families have moved away at least until the infrastructure is repaired.

The immediate program of cash for work (CFW) and food distributions is coming to an end. In all, 12,000 families received rations, and 10,000 person-days of work have been conducted. The CFW program paid heads of household to clear storm debris and undertake basic repairs and reconstruction, but housing reconstruction is not possible until the embankments are repaired.

The government is appealing for continued assistance.

You now need to write an appeal for a rehabilitation program. Further information is required, so a third assessment is necessary.

Group Instructions

Working in a group, please prepare the plan for your next assessment, indicating.

1. WHY you will conduct another assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

ANNEX 3.2.2 TIPS ON ASSESSMENT METHODOLOGY

- Be intentional about who you talk to; seek out women and other vulnerable groups.
- Focus less on numbers, more on questions that answer: HOW, WHO, WHY.
- Document your (sampling) choices.
- Talk to multiple stakeholders so as to triangulate information.
- Analyze findings on-site (the same or next day).
- Collect ONLY information that you will use for planning, communication and decision making.
- Keep it to a well-defined period (maximum three days).
- If possible, combine assessments with other activities.
- Communicate trends verbally (before writing extensive reports).
- Recognize and adapt to the evolving situation.
- Vary your methods, but keep it simple.
- Reassess the situation and make adjustments, as necessary.

ASSESSMENT PLANNING TABLE

Given the constant changes that take place in an emergency context, several phases of assessment may be required. Different assessments will vary in time (e.g., the first assessment could be Days 1–2; the second during Weeks 1–3; and the third within one month) and also in purpose, methods, approach, and so forth.

	FIRST ASSESSMENT	SECOND ASSESSMENT	THIRD ASSESSMENT
Objective	To understand scale of disaster and whether there is a need to respondz	To determine WHAT are the priority needs for our response	To collect more in-depth information (for sectoral or early recovery planning)
Information Needs	• Type of damage or impact • Estimated numbers of affected families (and people • Geographic areas (least and worst affected) • Trends in population movements, where applicable	• Household coping strategies • Protection and vulnerability issues • Level of damage within village (Focus on questions of HOW, WHO, WHY)	• Predisaster information (e.g., sanitation practices for WASH) • Local resource availability (both labor and materials) • Trends in recovery • Gaps and remaining needs
Methods	• Observation • Open-ended interviews • Secondary sources	• PRA methods (social mapping; transect walk; focus group discussions; etc.) • Government data • Gap analysis	• Mix qualitative (e.g., PRA) and quantitative methods (be sure to sample) • Consultations with key stakeholders
Key Informants	• Media • Local government • Affected people	• Village leaders • Specific groups of affected people (e.g. women; children; minority groups) • Government officials • Other responders	• Line departments • Sectoral specialists • Affected households • Community groups • Other coordination structures
Use of information	• Situation reports	• Proposals • Implementation planning	• Long(er)-term planning • Design of sectoral activities

ANNEX 3.2.3 ASSESSMENT PLANNING TABLE

ASSESSMENT PLANNING QUESTIONS			
Budget for the assessment:			
Time available/required for the assesment:			
Logistical support required for the assessment:			
Step 1: Why? Why are we doing this assessment? What are the objectives of this assessment?	**Step 2: What?** Which conceptual framework is most relevant? Given our objectives, what topics will we initially study? Is a gap assessment needed?	**Step 3: How?** What methods are most appropriate? Document review, secondary data, interviews, observations, other? Who needs to be interviewed or involved? Where should information be collected?	**Step 4: Other Considerations?** What did our stakeholder analysis tell us about who should be involved, when and how in the assessment? How will we take account of gender considerations? How will we ensure reliability and quality of the information we collect? What ethical issues might be considered in this assessment?

Source: ProPack I, p. 65

ANNEX 3.3.2 BIASES AND HOW TO OVERCOME THEM WITH TRIANGULATION

(Source: Rapid Rural Response Appraisal and Participatory Rural Appraisal (RRA/PRA): A Manual for CRS Field Workers and Partners pp. 17–23)

TRIANGULATION: THE CORE METHODOLOGICAL PRINCIPLE IN RRA AND PRA

The core principle that must be understood by RRA and PRA practitioners is called triangulation. Triangulation refers to the diversification of perspectives that comes about when a set of issues is investigated by a diverse, multidisciplinary team, using multiple tools and techniques, with individuals and groups of people who represent the diversity of the community.

The key to carrying out good RRA and PRA is constant and unwavering attention to the principle of triangulation.

In order to understand the importance of triangulation, it is necessary to think about the issue of bias. Bias poses the biggest impediment to collecting information that accurately reflects the local reality. When biases are present in the collection of information, the results will reflect a distorted image of reality. Interventions that are based on that distorted image are likely to be inappropriate to whatever the real situation turns out to be. There are four ways in which bias can enter a study:

1. Researcher bias
2. Informant bias
3. Bias related to the tools and techniques used to gather the information.
4. Bias related to the way the study is designed and implemented

THE PROBLEM OF BIAS

Let us look first at researcher and informant biases since they operate in similar fashions. Behind both researcher and informant bias lies the fundamental truth that every human being is biased. That is, he or she sees the world through his or her own particular set of lenses. He or she will see things differently depending on such factors as gender, age, ethnic group, educational level and experience, wealth standing, caste, etc. All those factors combine to make the individual experience life and observe and report things in different ways.

1. Researcher Bias

Each person on the RRA or PRA study team will absorb information differently depending on his or her prior experiences and perspectives. They will be more sensitive to certain types of information and tend not to pay attention to other things. A medical professional looking at food security issues is likely to pay attention to things quite differently from a sociologist or a crop scientist, for example. A woman is likely to ask different questions and absorb different types of information than a man will. This type of bias is at once a strength and a weakness. Our biases make us more effective researchers in one sense because they increase our sensitivities in certain areas. Biases can also act as blinders, however, reducing our ability to absorb information in other areas.

PEOPLE EXPERIENCE THE WORLD THROUGH THEIR OWN BIASES

Imagine a hypothetical situation in which John (a 64-year-old American grandfather from New York) and Priya (a 22-year-old newly married Indian woman from rural Andra Pradesh) are somehow removed from their familiar surroundings and placed on a cruise ship in the Caribbean for a week. Afterward, they are interviewed independently about their experiences: what they saw, what the people were like on and off the ship, how they liked the food, etc. They have, in some sense, had identical experiences. But would their reports be the same? In what ways might they differ?

People experience the world through their own biases
Imagine a hypothetical situation in which John (a 64-year-old American grandfather from New York) and Priya (a 22-year-old newly married Indian woman from rural Andra Pradesh) are somehow removed from their familiar surroundings and placed on a cruise ship in the Caribbean for a week. Afterward, they are interviewed independently about their experiences: what they saw, what the people were like on and off the ship, how they liked the food, etc. They have, in some sense, had identical experiences. But would their reports be the same? In what ways might they differ?

The key in RRA and PRA, as discussed below, is to acknowledge the biases that each person carries with him or her and to manage them so that the quality of information obtained is as high as possible. We shall see below how this is done in practice in the section dealing with triangulation.

2. Informant Bias
Just as the researchers on the team bring their biases to bear as they gather information, so each individual who provides information does so in a way that is biased by his or her experiences. A relatively wealthy person in a village who is used to a diet of rice and meat may describe a gruel made of millet and leaves as a severe hardship diet. A poor person who compares the gruel meal to a day when there is nothing to eat may find such a diet to be extraordinarily good. A man whose main dealings with water involve drinking it and bathing in it may have very different opinions about how much is adequate from a woman who is responsible for fetching the family water supply each day. Here again, the key is not to smooth over differences (since this is what gives the study its richness) but rather to manage the biases and to ensure that the views of a certain group are

not mistakenly believed to represent the situation or opinion of the whole population. This, too, is accomplished by triangulation.

Informant and researcher biases take many forms, some of the most common of which are listed below.

Gender Bias
More emphasis is put on the point of view of either men or women; the other perspective is underrepresented.

It is useful to explain the concept of bias to villagers, too. If bias is explained to villagers in the initial meeting when the team is introduced to the community, it can dispel concerns people might have about why the team is asking questions of different people in the community.

Robb Davis suggests that one way to do this is to put a person or object in the middle of the circle where people are sitting. Ask people to describe what they see from where they are sitting. They should not say a person or a flashlight but rather describe what they see of that object. This can then lead to a discussion of how people see things and/or issues from different perspectives. In order to understand the whole situation, one has to put many perspectives together.

Spatial Bias
One area is favored in collecting information and the views of people who live in or frequent that area may be given more weight. This may take place if some places are more accessible (areas near good roads, near the center of the village versus the periphery) or more pleasant.

Wealth Bias
Often the views of people who are wealthier or who hold positions of authority are given greater weight over the course of a study. The poor are frequently underrepresented unless specific actions are taken to include them.

Education Bias
The views of those with more formal education are often solicited and considered more carefully than those with less education. This often coincides with a language bias since educated people may be better able to communicate with the research team.

Expectation Bias
The village's expectations of what the outside organization may bring them often causes villagers to favor certain types of information in their discussions. Similarly, the researchers' expectations of what they will find in the community acts as a filter for the information that is received by the team.

3. Bias Related to the Tools and Techniques Used to Gather Information

A third type of bias enters the study through the tools and techniques that are used to gather information. The box presents an example of differences that may arise in using two very similar tools: group and individual interviews.

The differences in the biases introduced by various tools are likely to be even greater when the tools are more different (such as the difference between doing an interview and using a visualization technique like mapping or a quantification technique like matrices). Once again, triangulation (in this case the use of multiple tools) is key to reducing the systematic bias that would be introduced if only one tool were used to collect all the information.

> Information gathering tools and techniques have their own biases. In order to see what this means in practice, we can take the example of differences between individual and group interviews. Imagine that the people doing the interviewing are the same and that they ask the exact same questions of the exact same informant. But, in one case, the informant is by herself in the privacy of her kitchen and in the other case she is in a large group of men and women. The questioner, the respondent, and the questions are all the same. The only difference is the tool being used (group vs. individual interview). Imagine a topic like, "What do you do when there is not enough food to eat in your family?" Do you think that the information collected will be the same using these two tools? What factors might be influencing the way the person answers in each case?

4. BIAS RELATED TO THE WAY THE STUDY IS DESIGNED AND IMPLEMENTED

Other biases arise from the way the study is carried out. These biases are often related to issues of timing. Studies that take place during a particular season may be subject to seasonal bias if the team unconsciously assumes that the conditions they observe are typical throughout the year. Teams that stay in the village for a fixed period of hours (e.g., 9:00–5:00) may find that their results are biased by the types of activities they observe and the people who are available to talk with them during those hours. Those that stay only a very short time may not have time to overcome the first impressions bias which will invariably affect the way both the researchers and the informants interpret issues. Care must also be taken to avoid biases related to site selection.

How to Triangulate

In RRA and PRA, the principal strategy to reduce bias and enhance the quality of information collected in the study is called triangulation. Triangulation refers to the diversification of perspectives in order to offset the biases that may result from looking at an issue from a limited viewpoint. The process of identifying and offsetting biases is both explicit and systematic in RRA and PRA. The team is responsible for monitoring the way the study is designed and implemented so as to reduce bias as much as possible.

Triangulating the Research Team

Triangulation generally begins with the selection of the team. Because each member of the team will bring his or her own biases (positive and negative) to the study, it is essential that the team be composed of several different members who bring different types of experiences and perspectives to the study. This helps to ensure that no one bias will dominate resulting in a misrepresentation of information. Triangulation of the team will be done rather differently depending whether we are doing an RRA or a PRA.

Triangulation of such a research team takes numerous factors into consideration. Three that are of particular importance are discipline, gender, and whether the person is an insider or an "outsider" to the situation being studied.

Disciplinary bias refers to the person's academic and professional experience. It is often useful, at a minimum, to ensure that both social and natural science backgrounds are represented on the team. It would not be good to have three sociologists on the team, for example. A less biased team might have one sociologist, a medical professional of some type, and an agronomist.

It is critical that the team include both men and women since there are many gender-related biases. In some cultures it is difficult for people to communicate across gender lines. Certainly gender is an overriding lens that has a profound impact on the way humans perceive issues and experiences.

The insider/outsider factor refers to how close an individual is to the situation being studied. Proximity has both advantages and disadvantages in terms of information collection. In either case, it is a bias that much be managed. The insider may have better access to information about the project, village, etc. But often the person is so close to the situation that he or she takes certain things for granted or fails to notice things that might strike the outsider as interesting. The outsider may be given license to ask questions that are too sensitive or too "dumb" for a local person to ask. Triangulation simply reminds us to ensure that the team includes both people with an insider and those with an outsider perspective to ensure that information is collected and analyzed in the most complete and unbiased way possible.

Triangulating at the Respondent Level

Whether in RRA or PRA, attention must be paid to triangulation at the respondent level.

Since different people and groups within the community have different perceptions and points of view, it is important that the full range of perspectives be considered as information is being gathered. Thus, it is important to gather information from men and women, people who are older and younger, those who are poorer as well as those who are richer, and people from different ethnic groups, castes, or professions.

Triangulating Tools and Techniques

Since each tool introduces a particular bias, it is important that the study diversify the tools that are used. Potential tools include diagrams, quantification techniques, various modes of interviewing, participant observations, etc. When information is collected using only one tool, all that information is subject to the same biases.

ANNEX 3.4.1 INTERVIEWING TECHNIQUES

(Source: RRA/PRA: A Manual for CRS Field Workers and Partners, pp. 75–76)

TECHNIQUES TO USE WHILE INTERVIEWING

There are several techniques that can be used during an interview to move beyond the most superficial response in order to get richer and more complete information.

Silence

Often team members are hasty in moving on to the next question. Silence gives the respondents time to think through what they want to say and encourages them to say more.

Requestion

Comments like "That's really interesting—can you tell me more about that?" encourage the respondent to go further with the explanation.

Echo

Repeat the last thing the respondent said with a slight rise in the voice. Respondent: "Malaria is a real problem around here." Questioner: "Malaria is a problem around here?"

Recap

"Could you explain to me again about X?" In many cases the respondents will add information to what they said before.

Encouragement

Use body language (e.g., head nodding, leaning forward in attentive position, smile, click) or verbal cues (e.g., "mmmm," "uh-huh," "I see," "really?") to show your interest and encourage more information.

Sympathetic Listening

Always appear to sympathize with the respondent's point of view (even if you find it outlandish, immoral or otherwise unpleasant!) if you want the person to open up more: "Well, I can see that X is a real problem for you."

Don't Be Afraid to Admit Confusion

If people say something that confuses you or appears to contradict something they (or someone else) said earlier, explain your confusion and ask for an explanation: "I'm a little confused here, and I'm wondering if you could help me understand better ... before I thought you were saying X, but now I think I'm hearing you say Y."

Act Knowledgeable

When people are talking about something controversial or sensitive, it helps if you act as though you already know what they're talking about ("Yes, I heard about something like that the other day" or "Yes, that's a problem I come across often in my work"), so people don't feel like they're the only ones divulging such information. Ask open-ended questions such as: "Why?" "Why is that?" "Why do you think that happens?"

Things to Avoid While Interviewing

Asking questions is an art. A good interviewer is genuinely interested in the respondent and what he or she has to say, asks questions in a way that encourages the person to speak freely and openly, and follows up on the respondent's concerns while covering most, if not all, of the issues on the checklist by the end of the interview. There are also some potential pitfalls that a good interviewer will try to avoid, such as the following:

Closed-Ended Questions

Closed-end questions are those that can be answered by yes or no ("Do you eat millet?"). These questions should be avoided whenever possible because they result in very stilted interviews. It is better to ask open-ended questions ("What grains does your family eat?"), which encourage the respondent to answer more expansively and lead more naturally to follow up questions.

Oriented Questions

Oriented questions ("Corn is a better crop than peanuts, isn't it?" "Why do people burden their lives by having so many children in this village?") introduce bias by encouraging the respondent to answer in a certain fashion.

Inappropriate Assumptions

Questions that have built-in assumptions are also problematic because of the bias they introduce. "Do you market your rice in Tana or Fina?" It is possible that people do not sell any rice or use a different market altogether. To avoid contradicting the team and appearing impolite, they may not point out the error and instead choose the answer what they believe will be most pleasing to the team.

Unknown Units of Measure

Local communities almost always have local units of measure for weights, areas, distances, and the like. It is important to use these measures rather than Western concepts (lb, kg, miles, km, etc.). If necessary, actually measure a sample weight or area so that you can translate the local measure into a comparable Western unit.

ANNEX 3.4.2 FROM THE *GOOD ENOUGH GUIDE*

Tool 5:
How to conduct an individual interview

Individual interviews can be used during assessments or surveys. An individual interview can mean a ten-minute conversation during an informal visit or a longer and more structured discussion, using a series of questions on a particular topic. Whatever the case, focus on essential information and build your interview around current concerns, for example, profiling and needs assessment, tracking changes, or seeking feedback.

Aim to interview people at times that are safe and convenient for both staff and interviewees. The time your interviewee has available should determine how long your interview lasts. Make sure that people understand why you wish to talk to them and what you will do with the information they share. Never use people's names when using information without their express permission or that of their guardian.

Start with questions that are factual and relatively straightforward to answer. Move on to more sensitive issues, if necessary, only when the person you are interviewing is more at ease.

Make sure people know that you value their time and participation. Don't end the interview too abruptly. Take responsibility for the effect on your interviewee if sensitive issues are discussed.

Record, store, and use information safely.

Some 'Do's' for interviews

- Do try to make sure you have a good translator.
- Do locate elders/leaders first, explain who you are and what you are doing, and ask their permission to interview.
- Do ask individuals' permission to interview them; for example, 'Is it OK if I ask you a few questions about the conditions here?' Thank them afterwards.
- Do try to prioritise discussions with women and children, and other people likely to be experiencing particular difficulty.
- Do try and interview at least three families in each location in order to cross-check the information you are receiving.
- Do make sure that you include people at the edge of a camp or site where you may find the poorest families living, quite literally, on the margins.
- Do avoid large crowds following you around if possible, since this is likely to intimidate interviewees and interviewers.

Source: Schofield (2003)

From S. Burns and S. Cupitt (2003) 'Managing outcomes: a guide for homelessness organisations', Charities Evaluation Services (adapted); R. Schofield, Medair (internal, adapted).

ANNEX 3.5.1 TRANSECT WALK

DESCRIPTION

After introducing yourselves, ask some villagers to bring you to the worst affected area and start the transect walk from there. If time allows, ask the villagers to sketch a preliminary map of the affected area, showing the destroyed and surviving infrastructure, most vulnerable areas and important landmarks. Using this map, the animators can plan and conduct a walk through the community to observe the impact of the disaster and talk to people about their experiences.

If the team is large, it makes sense to divide into several subgroups. One option is for male animators to do the transect walk mostly with men and female animators to do it mostly with women. A person or people can act as guides to each group, but the main aim is for people to opt in or out of joining the group as it moves through the village, allowing flexibility for a range of points of view.

As the group progresses, it observes its surroundings and team members will ask questions about the things it sees related to disasters. For example, as they come upon damaged houses, displaced settlements, water sources or markets they can ask about people's experiences and coping strategies.

Purpose

~~•~~ To gain an overview of the impact of the disaster.

Time

~~•~~ 2–3 hours

Preparation

~~•~~ Develop a checklist, print copies of this tool, clipboard and pens for the note taker.

Example of Draft Checklist

What happened in this disaster:

- What was the order of events?
- Has anything like this happened before?
- Who was worst affected, and why?
- How are people coping?

What are the main problems that people face now or what do people mention most frequently?

Infrastructure:

- Observe the condition of the flood or cyclone shelter or public buildings used for shelter.
- Roads, electricity, telephones, public buildings

Houses or Temporary Shelters

- Estimate the number or proportion of houses seen that are severely or moderately damaged or not damaged, to get a rough idea of scale.
- Observe the damage to houses and reasons for variation in types of damage.
- Observe current living conditions, construction materials, position of shelters and crowding.

Water and Sanitation

- Observe the quality, location and number of latrines and water sources.
- Watch and ask people about collecting and storing drinking water.

Food

- Watch people eating or preparing food.
- Observe their cooking pots and type of fuel.
- See if there is any food for sale, and if so, what it is; and ask about prices and availability.

Fields

- Observe the condition of fields.
- Observe the condition of cattle, livestock and poultry.

Health

- Observe the appearance of women, children and the elderly.
- Record the experiences of treatment or access to services after the disaster.

Participants

- One or two guides may accompany the group for as much of the walk as they have time for. As you move through the community, people will join in and drop out. Stop and talk to people along the way.

Process

1. Preliminary Mapping

- Take the opportunity during informal meetings and discussions to sketch a map of the village, showing the key landmarks, places where people are living and areas most affected by the disaster. Sketches can be made in the earth, using sticks and stones or other local material, or on the floor with chalk, and transferred to a notebook later.
- Ask which parts of the village are most affected, and which least affected, and plot a walk that takes you through both.
- If there is someone you wish to accompany you on the walk, invite them to join you and explain the purpose of the walk and how it will proceed.

When we arrived in the village, we went to the village leader's house and sat in his yard. We explained the purpose of the visit—to assess the humanitarian impact of the recent conflict. We drew a cross in the sand with a stick, to represent his house and asked him to draw the rest of the village. The leader took the stick, and in discussion with a few of his family or friends who were present, he drew a rough sketch of the village: the road, a foot path, the areas where people live, the market, the river and the fields. It took 5–10 minutes. We then explained that we wanted to choose two random points to start and end our walk. One man took a pebble, turned his back, and threw it onto the map in the sand. Where the first pebble landed was the starting point, the second pebble was the ending point. We set off on our walk with a guide from the community.

Caritas Congo, Pool Region, Republic of Congo

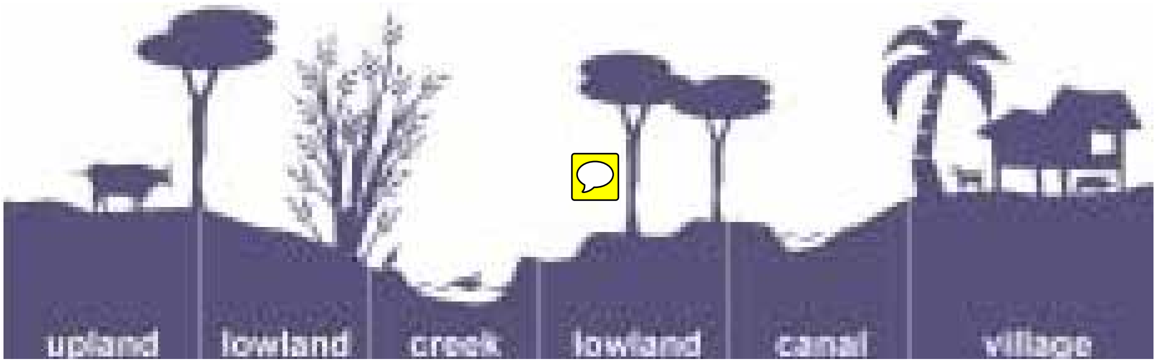
2. The Walk

- As you walk, observe the surroundings and ask questions about what you see. Try to keep moving, so that you are sure to reach the end point, and then stop at places of interest on the return walk. Ask open-ended questions and refer to your checklist to keep the conversation on track. Here are some examples of open-ended questions:
  - What do we see here?
  - What happened here during the disaster?
- On the return trip, decide where to stop and find out more. Talk to the families or passersby, and ask them about what they are doing and what how the disaster has affected them. For example:
  - Stop at the house of a particularly poor or high-risk family. Ask how they were affected during the disaster and how they coped.
  - Stop and talk to people who are farming or carrying goods along the road. Ask about their livelihood activities and about how they are affected.
  - Stop at a water collection point, and observe and talk to the people there.
- Work in pairs, with one person concentrating on taking notes.

3. Consolidation

Return to the starting place (or to an area offering a bit of shade and privacy) and initiate a postwalk discussion with the team members, guides and community leaders.

- It can be helpful to use a simple map or diagram to organize some of the information gathered during the walk. The discussion provides an opportunity to ask additional questions and draw out key learning on vulnerability to disasters.
- A diagram can be a table, with different areas of the village on the horizontal axis and different aspects of disaster risk on the vertical axis. Pictures can be used as much as possible.
- Ask whether people think any important information has been left out. Remember, read the energy and interest of the group. Keep the session brief and to the point.



UPLAND	LOWLAND	CREEK	LOWLAND	CANAL	VILLAGE
Families are sheltering here. Crowded with temporary shelters; 4–5 tube wells are not flooded and in constant use.	Normally paddy, now water-logged. Cattle are standing deep in water; there are some animal carcasses.	Homes close to water were destroyed. Water was 6 feet deep, now at 3–4 feet. Erosion occurred along river bank	Water-logged. Poorer families lived here; there are signs of extensive damage. Weak bamboo houses.	Flooded. Canal wall is crumbling and has collapsed in some areas.	Mosque and school are used as flood shelters. Better-off families live in raised houses raised, thick walls, iron roofs—not damaged. Small kiosks are selling bananas, etc., but rice is not available.

Adapted from the Community Based Disaster Risk Management (CBDRM) Field Practitioner's Handbook, Asian Disaster Preparedness Center (ADPC)

4. Conclusion

- Summarize why the walk has been useful: We have learned what happened, how people living in different areas of the village are affected in different ways, how they are coping and what are the immediate needs.
- Thank people for their time and sharing their knowledge, and explain the next stage of the needs assessment.

(Adapted from CRS PRA/RRA Manual)

ANNEX 3.5.2 ROLE PLAYS FOR TRANSECT WALK

ROLES FOR TRANSECT WALK ROLE-PLAY

Create enough roles for the number of participants, and print them out. Then cut so each role is on a different slip of paper. Participants will pull roles out of the hat at random to decide the roles they will play.

- Single mother of five children, house totally wiped out, nothing recovered, youngest child sick with diarrhea, stays in tent and does not talk unless specifically invited to.
- Elderly man, widower, moved in with nephew's family tent on the embankment
- Village leader, wants to take part on the transect walk to inform the aid workers of what has happened and demand assistance.
- Political leader, wants to take part on the transect walk to inform the aid workers of what has happened and demand assistance.
- Father of three, house partially damaged, concerned about how he will work now that the fields are flooded and saline, and worried about feeding his family.
- Adolescent, staying in the cyclone shelter with his or her family of five because their home is still under water, and many belongings are damaged or destroyed. Food supplies brought to the cyclone shelter have run out, except for a cup of rice and pinch of salt.
- Mother of two; youngest is one-month-old baby suffering from cold and cough. Husband out of work. House flooded, looking for somewhere to sleep tonight with her children. Begging for food.
- Unmarried girl, sent to collect water, can only find dirty surface water. Worried about security, as normally she doesn't leave the home unaccompanied, and there are lots of single men around. Hungry and tired.
- Teacher in the local school, capable and literate, able to give an overview of the village's situation: Many houses damaged in the storm, many still flooded, the poorest families' houses totally destroyed. Family stocks of food destroyed, and poorest families have no money to buy food in the nearby market, where prices have increased. Water is dirty, and there is a risk of diarrhea from infections.
- Aid worker, emergency assessment team member. Trained in participatory methods, familiar with the local area, good at his or her job.
- Aid worker, emergency assessment team leader. Trained in participatory methods, familiar with the local area, good at his or her job.

ANNEX 3.6.1 HOW TO BE A FACILITATOR: SOME IMPORTANT POINTS

(Source: Participatory Hygiene and Sanitation Transformation, or PHAST)

The most important thing to remember about being a facilitator is that you are not a teacher!

Your role is to help or "facilitate." Using the activities in the guide, you can help groups to do the following:

- Identify issues of importance to them.
- Express their problems.
- Analyze their problems.
- Identify possible solutions.
- Select appropriate options.
- Develop a plan to implement the solutions they identify and agree on.
- Evaluate the outcome of the plan.

So you must not:

- Direct the group.
- Give information instead of letting the group find it for itself.
- Advise or suggest what the group should do.
- Make assumptions about what is the right response to an activity.
- Correct the group.

If, for instance, you supply external information during the early problem identification phase, you risk directing the group. The only exception that should be made to this is when the group clearly asks for specific technical information in order to move forward or if its information is incorrect. This may be the case during the analytical or planning steps.

Using participatory methods does not reduce the role of the community worker, but rather redefines it. What you do is encourage community involvement. You try to create an environment in which the group can discover information for itself. In so doing, participants will build the confidence and self-esteem necessary to analyze problems and work out solutions.

As a facilitator, you are not a leader who directs the group to where you think it should go. Instead, you help the group to better understand its own situation and to make informed decisions about how to improve that situation.

The only appropriate solution is the one that participants come up with. As an outsider, you cannot understand their situation in the way that they do, no matter how dedicated, interested or concerned you are. For this reason, the group's input is more important than what you think or feel. It is the group that will have to answer to the wider community and justify the decisions it makes. As a final note: never underestimate the untapped potential of the participants in your group and always provide them with the opportunity to surprise themselves, and probably you too.

All participants are equal

The activities in this guide have been developed so that the participation of each group member is considered equally important. Additionally, you must be seen to be on the same level as the participants. So you should not present yourself as an authority figure. Information should flow from you to the group and from the group to you. By both sharing and receiving information, you and the group will remain equal. Evidently, good listening skills are essential.

There is no one right answer

PHAST activities are open-ended. This means that there is no correct answer or result. Decisions made by the group reflect what is right for the group and what it is prepared to take responsibility for.

Creating the right atmosphere

If the aim is to reach agreement on priorities for activities, or a plan for improving hygiene behaviors and sanitation, participants must be able to work well together. This is why participatory sessions often begin with a fun activity, something to break the ice and make people laugh. You need to maintain an atmosphere of relaxation throughout the planning process. Most cultures have traditional games and songs that can be used to build group spirit. The first activity, which is called *community stories*, is also a good ice-breaker.

How to cope with dominant personalities

The SARAR (self-esteem, associative strength, resourcefulness, action planning, responsibility) methodology is specifically designed to stimulate full group participation and to make it difficult for strong personalities to dominate the activities. However, from time to time the group process may not be able to proceed because one individual wants to control the group's thinking.

If this happens, find out whether the dominant individual is a designated leader or simply a competitive or aggressive person with little or no significant support or influence in the group.

Competitive or aggressive people can either be taken aside and convinced of the importance of the group process, or they can be given separate tasks to keep them busy and allow the group to carry on. If the people concerned are community leaders, approach them formally or privately early in the planning phase, explain the process, and try to gain their support. Hopefully, you will convince them that allowing community members to fully and equally participate will result in personal growth and betterment for all.

General instructions for all activities

1. Have all the materials for each activity ready before starting.
2. Make sure the materials are large enough to be seen by all participants.
3. Try to limit the size of your group to no more than 40 people.
4. Make sure that people can talk to one another easily; use a circle where possible.
5. Begin each new session with a warm-up activity such as a game or song.
6. Go through each activity one step at a time and follow the instructions in the guide.
7. Be guided by the requirements of the group when facilitating activities. The time given for each activity is only an estimate.
8. When giving the group its task, use the exact words provided for this purpose.
9. Encourage and welcome the input that individuals make. Remember, there are no wrong answers.
10. Facilitate the group, do not direct it.
11. Try to encourage the active participation of each participant. Be careful not to find fault or make critical comments when you respond to people.
12. Take into account the participants' literacy level and work out ways in which they can keep records of what is discussed and agreed.
13. Have the group keep the materials and records in a safe place.
14. At the end of each activity, ask the group members to evaluate each activity on the basis of what they have learnt, what they liked and what they did not like.
15. At the end of each session, congratulate the group members on their efforts and explain briefly what will be covered at the next session.
16. At the beginning of each new meeting of the group, ask the group to review what it has done so far and the decisions it has taken.

ANNEX 3.7.1 STAKEHOLDER ANALYSIS FOR EMERGENCY NEEDS ASSESSMENTS

(Adapted from ProPack 1)

1. What are stakeholders? What does the term mean?

Stakeholders are people, groups or institutions that may have interest in or influence over a project.

- *Interest* refers to what people may gain or lose, or expectations or resources invested.
- *Influence* refers to power, that due to decision-making authority, has the ability to influence activities or other stakeholders in a positive or negative way.

2. Who could be stakeholders in our projects?

Project participants and other community members disaggregated by sex and socioeconomic status:

  - Farmers, herders, tradespeople, craftspeople, teachers
  - Men, women, younger and older
  - Leaders and local authority figures
- Local or national government officials
- Local NGOs and community-based organizations
- Donors

3. What is stakeholder analysis?

Stakeholder analysis helps you and your partners think carefully about who has interests or influence in the disaster-affected area, and how to involve them in the assessment and project design process. It 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).

4. Why do stakeholder analysis?

- It helps you to think more carefully about *who is important to the project* and their level of interest and influence.
- It helps you to identify *relationships of conflict and cooperation* between various stakeholders, so that conflict can be minimized and cooperation maximized.
- It aids with the *vulnerability analysis and gender analysis* of the disaster-affected community.
- From this, you can decide *how best to involve* these stakeholders in the emergency assessment and design process.

5. How to do a stakeholder analysis

i. Identify the main purpose of the stakeholder analysis. For example, it might be “To ensure that important people or groups are not left out of the assessment and project design process, in particularly vulnerable groups”

ii. Identify stakeholders in the disaster-affected area. Brainstorm a list of key stakeholders who have interest and influence in a potential emergency response program.

iii. Stakeholders’ interests, influence and relationships. Now that you have identified key stakeholders, identify their level of interest and influence by placing them in the corresponding corner of the table (see below). Make a note of important relationships among different groups and anticipate potential conflict.

iv. Decide how to involve them in the assessment process. For example, the stakeholders can take part in participatory assessment activities or key informant interviews or project strategy workshops.

v. Include the results of your analysis in your *project proposal*.

Below is a table analyzing the levels of interest and influence of stakeholders.

	INTEREST	
INFLUENCE	**Low interest, high influence:** This group should be informed that an assessment is taking place and the project is starting. Ask for their cooperation.	**High interest, high influence:** This group should be consulted. They can provide useful information, which might have to be double-checked. They could help with 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:** This group should be the primary participants for providing information in the assessment. They should be consulted during project planning, as they are the primary people we serve. Share information and coordinate with them.

ANNEX 3.7.2 CYCLONE IN BANGLADESH SITUATION REPORT NO. 5

October 1, 2009

I. Situation in Bangladesh

1. Cyclone X (Category IV) hit Bangladesh on 17 August 2009. The cyclone, originating in the Bay of Bengal, hit offshore islands at 1830 hours and made landfall across the southern coast at 2030 hours local time. According to the Bangladesh Meteorological Department, the cyclone has a radius of 500 kilometers, with the eye of the storm being 74 kilometers and wind speeds of 220–240 kilometers per hour.

II. National Response in Bangladesh

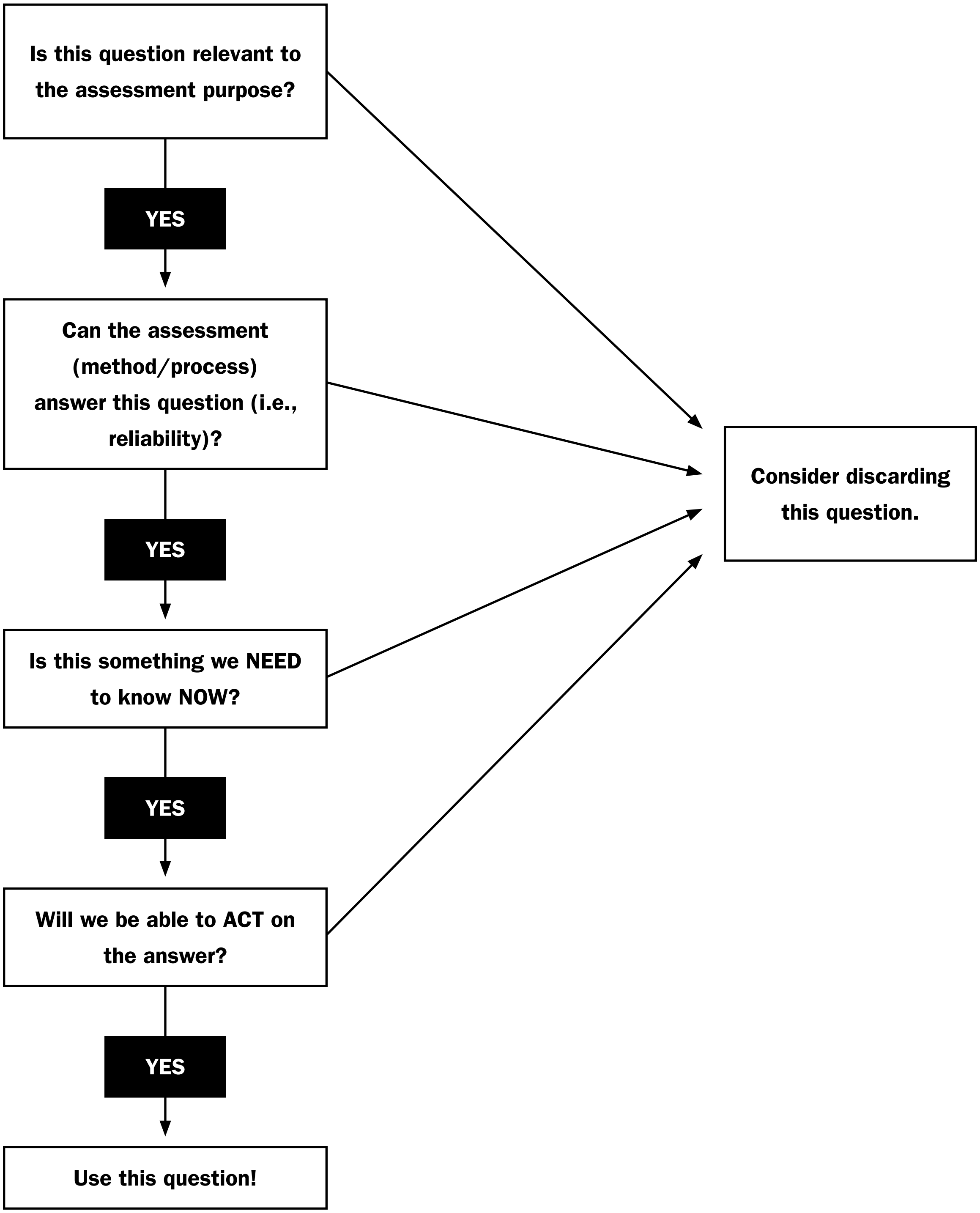
2. The government of Bangladesh released initial funding with a value of $3 million to be disbursed through union councils through food distributions for the cyclone victims and a one-off payment of $30 to families with completely destroyed houses.
3. Union chairmen in all affected unions were directed to hold monthly coordination meetings with all national and international actors responding to the cyclone.

III. International Response in Bangladesh

4. The United Nations Emergency Relief Coordinator released funds from the Central Emergency Response Fund (CERF) for immediate lifesaving measures The U.N. Country Team initiated the cluster system, and sectoral meetings are being held weekly by cluster leads in Dhaka.
5. WFP continues its cash for work for 2.3 million people in the affected area. WFP delivered over 63,300 tonnes of emergency food assistance to the hungry, homeless and vulnerable people during the emergency operations. WFP's field monitor's report shows that food still remains the most urgent priority for many families in cyclone affected areas.
6. UNICEF distributed NFI kits through 12 implementing partner NGOs and launched a mass hygiene campaign in the six affected districts.
7. The Bangladesh Red Crescent Society and IFRC have deployed ten mobile health teams and have distributed 25,000 food rations and 15,000 nonfood item kits to affected families. IFRC allocated $3.5 million in cash, in kind and in services to assist 235,000 people for a period of nine months.
8. Oxfam is delivering clean drinking water to 5,000 families in districts with fresh water shortages. Oxfam is sinking five deep tube wells in coastal areas where surface water is saline and is distributing hygiene kits and disseminated hygiene messages to mothers and children through family health workers.
9. Save the Children UK has established five safe children areas.

10. World Vision International, CARE, OXFAM, IFRC and CRS have together and committed to the repair of 5,000 damaged homes and the construction of 3,500 houses next month. This leaves 7,500 people homeless according to the government's estimate of numbers of totally destroyed houses and local capacity to rebuild. Further funding commitments are being sought from the donor community.
11. A WHO surge team of six national consultants and one coordinator are being deployed to the affected areas. A joint UNEP/OCHA Environmental Risk Identification team is assessing the potential secondary risks posed by large infrastructure and industrial facilities containing hazardous materials.
12. The European Commission pledged US $2.2 million for rehabilitation programs in Bangladesh.

ANNEX 3.8.1 TOOL REVIEW QUESTIONS



ANNEX 3.9.1 EMERGENCY ASSESSMENT TOOL: PAKISTAN CYCLONE

Union Council: ___________________________ Name of Village of Origin: ________________________

Distance from Turbat is ____ km Travel time was ____ hr. by vehicle

Type of damage: ____ rains ____ river ____ overflow from dam

Community is: ____ Completely displaced ____ If displaced, # of kilometers from original site ___ On original site.

Displacement: ____ number of HHs / total staying in public building

____number of HHs / total in spontaneous or makeshift settlement

____number of HHs / total in government/army camps

____number of HHs / total remaining on site

How many NRSP social activists are in this community? _____ female _____ male

DEMOGRAPHICS (VILLAGE OF ORIGIN)	TOTAL # (HH)
Total number of families in village of origin (family = family who cook and eat together)	
Number of HH affected	
Female-headed households	
Ethnic minorities	
Number of HHs with disabled people	

Area Map: *Indicate site of original village and site(s) of displacement, including public buildings, makeshift camps, and government camps. Mark number of HHs in each location, name of locality, water points and distances (km) between each, water courses, areas of defecation, stagnant pools of water, etc.*

Water Infrastructure, Female Questions

A. Preflood (in village of origin)

Where did you get water before cyclone/Yamaeen?

___ hand-dug wells ___ river or stream ___ open pond ___ pipe system ____ hand pumps.

What level of damage has been incurred? ___ complete ____ community can repair __ no damage

Before, did you use any system for cleaning your water? Y ( ) N ( )

If yes, which? ___________boiling _____ tablets ________ sand filter

other (specify) ____

B. Site of displacement (check type): ____ school _____ mosque ____ tent camp _____ spontaneous camp

Where do you get your water now? (*check all that apply*)

___ previous source ____ hand pump _____wells ___ reservoir or cistern _____ delivery / trucking

How far do men or women walk to collect water? time ____minutes Distance ____km

How much time are women spending to collect water each day? _______ hours

How many water collection vessels do people have on average?

#___ capacity ______ liters = ____ total

How many water storage containers do people have on average?

#___ capacity ______ liters = ____ total (Only fill out if different from collection vessel.)

How many containers of water are you able collect daily?

____capacity___ liters ____ total liters

Are you currently using any system for cleaning your water?

Y ( ) N ( ) If yes, what? _________________

C. Site of displacement (check type): ____ school _____ mosque ____ tent camp _____ spontaneous camp

Where do you get your water now? (*check all that apply*)

___ previous source ____ hand pump _____wells ___ reservoir or cistern _____ delivery / trucking

How far do man/women walk to collect water? time ____minutes distance ____km

How much time are women spending to collect water each day? _______ hours

How many water collection vessels do people have on average?

#___ capacity ______ liters = ____ total

How many water storage containers do people have on average?

#___ capacity ______ liters = ____ total (Only fill out if different from collection vessel.)

How many containers of water are you able collect daily?

____capacity___ liters ____ total liters

Are you currently using any system for cleaning your water?

Y ( ) N ( ) If yes, what? _________________

Sanitation, Female and Male Questions

Did families have latrines before? Y ( ) N ( ) If yes, # HHs _______

If yes, what type? Pour flush latrine (# HHs) ______ dry pit (# HHs) ________

Now, where are most men going? ____ open field ____ functional latrine ____ damaged latrine

Now, where are most women going? ____ open field ____ functional latrine ____ damaged latrine

What is the distance (in *meters*) between area that men/women use for defecation and:

_____ water sources _____ nearest house(s) (to be observed / determined by interviewer)

How far down is the water table? on original site: ______(meters) on displaced site: _____ (meters)

Is there at least 30 feet space around the shelters/tents for latrine construction? Y ( ) N ( )

Have the instances of diarrhea, dysentery and cholera increased after the floods? Y ( ) N ( )

Which is the most common type of disease or outbreak since the floods:

____ diarrhea ____ dysentery ____ skin rashes _____ malaria ________ cholera

Which group has been most affected by the outbreak?

____ men ____ women ____ children (0–5) _____ children (5+)

Are there hygiene promoters active in your area? Y ( ) N ( ) (How many? ______)

Shelter, Male

Before the cyclone/flood, how many houses in the village were:

__mud brick __plaster/wood frame __concrete/cement __stone buildings __other (specify ______)

What did you use to cover the ground?

_____ mud/clay ____ carpet/cloth _____woven mats_____ other (specify______________________)

How many houses in the village are:

___ fully destroyed unsound ___ usable but need repairs ___ not damaged

Did HHs typically own their land? Y ( ) N ( ) (How many? _____ HHs / total)

Do displaced families intend to return to original site? Y ( ) N ( ) (How many? _____HHs / total)

If not, do displaced families own land in a different location that they can rebuild on?

Y ( ) N ( ) (How many? _____HHs / total)

What materials have HH salvaged from their houses? (*Check all that apply)*

___ wood; ____palm leaves; ___ bamboo poles; _____steel girders; ____palm/woven mats

What materials have HH already begun to purchase from market for shelter? (*Check all that apply)*

____wood; ___ palm leaves; ___bamboo; _____steel girders; ____palm/woven mats

Do HH have any of the following tools? (*Check*)
shovel _____ pick ax ___taghari ____ leveler____ other (specify) ____________________________

Do families typically build their own houses? Y ( ) N ( )

Do families need additional labor to build their houses?
Y ( ) N ( ) If yes, what? _____mason ___carpenter __ other

Food and Nonfood Items, Male

What type of stove do you normally use?
____ wood burning stove; ____kerosene stove; ____gas stove ___fuel efficient stove

What are most HH currently using?
____ wood burning stove; ____ kerosene stove; ___gas stove__ fuel efficient stove
What form of light is available? ____ electricity; ____ lantern; ____ none; ____ other __________

Materials and Labor, Male

What is the nearest market that HH use? ______________ distance: _____________ km
How often do HH typically go to market? ___________(# times / month)
What is the cost of traveling to this market? Fare _______ PKR vehicle hire _______ PKR
What daily charges you normally pay to labor? Skilled ______PKR Unskilled ______ PKR
Is skilled labor available in the village ? masons # ____ plumbers #_____ carpenters #_____
What is the main occupation for HH in this village? ____ agriculture; ____ livestock; ____ daily wage labor
____ government employment; ____ agricultural laborers

Interviewer Observations (* review with team leader)

Rank Urgency of following (1 = Highest Priority , 10=Lowest priority)

Temporary shelter	______	Nonfood items	______
Food rations	______	Hygiene materials/kit	______
Health support	______	Income-earning options	______
Latrine construction	______	Latrine maintenance	______
Water availability	______	HH water quality______	
Solid waste disposal	______	Hygiene promotion	______
Vector control	______	Improved drainage	______
Agricultural seeds/tools	______	Livestock vaccination	______

Are there any particular needs for women? girls? children? infants? *(Specify)*

What kind of relief has been received in this location? ____ food; ____ NFIs; ____ tents; ____ wat-san

Who distributed this? ____ local NGO; ____ army; ____ INGO; ____other

Specify name of relevant organization(s): ____

Additional Comments:

ANNEX 3.9.2 EMERGENCY ASSESSMENT TOOL: KOSI FLOOD RESPONSE

Methods

Select two formal camps, two spontaneous settlements, and two villages, and complete the following:

1. Community-level rapid assessment form
2. Household-level questionnaire (12 per location—6 men, 6 women)
3. Focus group discussions (FGDs; these need to be small groups in a private or enclosed space):
   a. One with group of 10–12 men
   b. One with group of 10–12 women
   c. Camp management "structure"
4. Additional FGD and observation form for village of origin only

Focus Group in Village

Who has primarily stayed back and why?

How do they manage to meet their needs?

Have any cattle stayed? What is the status of animals?

What is the level of damage to the village?

What is salvageable?

Observation QUESTIONS (Village Only)

What opportunities are there for cash for work?

- *Check on status of community infrastructure, situation of fields (silt deposits), other. silt deposits)*

What is the predominant type of house? Do people typically build on their own? What type of materials (if any) are available in the village or nearby?

What is the predominant livelihoods? What is the land ownership structure?

What type of WASH infrastructure existed before? What was the level of damage?

FGD GUIDING QUESTIONS

a. Focus Group With Men and Women

1. What are the main sources of income in the community? How are you managing after the floods?
   Identify variety of income sources in the community but probe or focus discussion more on coping strategies such as migration, resorting to borrowing, children dropping out of school, sale of cattle or other assets, etc. Try to identify whether this is the same as every monsoon or different this year.

2. What were your main assets before? And now?
   Discuss change in assets, sale of livestock, etc.

3. How are you managing to obtain food on a daily basis?
   Identify locations but focus more on issues such as traveling to government camps to obtain food.

4. Who are the most vulnerable in this place, in your opinion? Why? Give specific examples.
   Try to identify whether they think this is the same as always, or different after the floods and in what ways. Probe for protection issues using examples (e.g., separation during rescue; women being left behind; safety for women at camp, etc.)

5. How are the issues different for women and young girls than for men?
   Probe to check whether responses are the same during normal times as compared to now.

6. What are your plans for returning to the village?
   Try to identify when they think they will be able to go back and how they will manage.

7. What are the priorities needs in this location, in your opinion? What about in the village?
   Try to identify their priority needs that require external (CRS/MDS) support.

b. Focus Group With Community or Camp "Leaders"

How is the camp structured? Is this according to place of origin or any other consideration?
Identify caste or other social issues.

How is the camp organized? Is this formal or spontaneous? What groups existed before (in the village) and now?
Identify what types of groups or committees have been put in place, if any. Probe to check whether the area "leaders" are also the village leaders.

Who are the most vulnerable in this camp, in your opinion? Why?
Try to identify whether they think this is the same as always, or different after the floods and in what ways.

Individual, Household-Level Questionnaire

VILLAGE OF ORIGIN / WARD # / PANCHAYAT	___________ / ______________/ ___________________
Respondent	1 = male, 2= female
Where are you staying now?	_______________
Are most families from your village staying in this same place?	1 = yes, 2 = no
Where do you obtain your meals?	1 = gov't kitchen in camp 2 = NGO kitchen 3 = dry food 4 = cooking on site 5 = other______________
How many members of your family are with you?	_____________
What is the family composition? *(Insert numbers.)*	____ children under 5 ____ girls 6–13 ____ boys 6–13 ____ women (14–59) ____ men (14–59) ____ people above 60
What is the distance from this location to the village?	_____________ km
Have any family members stayed in your village?	1 = yes, 2 = no *(if no skip)*
If yes, who?	1 = husband 2 = father 3 = other_________________
If yes, how are these people obtaining food?	1 = traveling to camps themselves 2 = family is sending food 3 = on their own in the village 4 = other
How often do you communicate with them?	1 = daily 2 = every two days 3 = no communication 4 = other_________________
What is the primary means of communication?	1 = walk 2 = boat 3 = other
What items were you able to salvage from the floods? *(Check all that apply.)*	1 = clothes 2 = cooking utensils 3 = some furniture 4 = animals (which?) 5 = nothing 6 = other
What items have you been able to obtain yourself since the floods? *(Probe to check what materials they have for huts.)*	1 = jute 2 = bamboo 3 = mats 4 = other
What items have you received from an NGO or government?	1 = tarps 2 = buckets 3 = kitchen utensils 4 = dry food rations 5 = other
Where you able to bring your identification documents (ration card, voter ID, etc.)?	yes no

LIVELIHOOD STRATEGIES	BEFORE	NOW
What is your primary source of livelihood back in the village? Note secondary sources here:	1 = farming 2 = ag labor 3 = other daily labor 4 = livestock 5 = petty trade 6 = wages coming from outside (migration) 7 = other	1 = farming 2 = ag labor 3 = other daily labor 4 = livestock 5 = petty trade 6 = wages coming from outside (migration) 7 = other
How many cows do you own?	____	___
How many buffalo do you own?	____	___
How many goats do you own?	____	___
Did you lose any cattle in the flood?	1 = yes, 2= no	
If yes, how many?	____ out of ____ number	
Have you sold any cattle since the floods?	1 = yes, 2= no	____ number
Are any members of your family migrating away from this area due floods?	1 = yes, 2= no	
If so, who in your family is moving?	1 = mainly men 3 = adolescent girls 2 = younger boys 4 = other	
Where are they going?		

SANITATION PRACTICES	BEFORE	NOW
Where do you obtain your water?	1 = tube well 2 = pond 3 = other	1 = tube well 2 = pond 3 = other
Are you queuing to get water?	1 = yes, 2 = no	1 = yes, 2 = no
How long do you have to wait to get water?	___ min.	____ min.
Do you use any system for cleaning drinking water in the household? *(if no, skip next question)*	1 = yes, 2 = no	1 = yes, 2 = no
If yes, what type?	1 = boiling 2 = tablets 3 = cloth filter 4 = other _______	1 = boiling 2 = tablets 3 = cloth filter 4 = other _______
Do you have separate containers for water storage?	1 = yes 2 = no	1 = yes 2 = no
Do you have covered containers exclusively for storage of drinking water?	1 = yes, 2 = no	1 = yes, 2 = no
What type of (defecation practices) do you use?	1 = open defecation 2 = pit latrine 3 = flush toilet 4 = in stream / canal 5 = other	1 = open defecation 2 = pit latrine 3 = flush toilet 4 = in stream / canal 5 = other
Do you have concerns about safety when going to defecate in the camp?	1 = yes, 2 = no	
When do you usually wash your hands? *(Check all that apply.)*	____ after defecation ____ before eating ____ after contact with child feces ____ before cooking ____ other (specify ____________________)	
What do you usually use to wash your hands?	____ soap ____ ash ____ water ______ nothing ____ mud	

ANNEX 3.9.3 DETAILED ASSESSMENT: CRS EMERGENCY ASSESSMENT MANUAL

(To be conducted after the situational assessment)

What are the objectives?

The objectives of an detailed assessment are to:

- Verify and update the data from the situational assessment.
- Gather information to update or commence writing the Field Security Plan—threat and vulnerability assessments should be the first priority
- Quantify the affected population by gender, age, status and vulnerable group membership.
- Identify immediate and underlying problems inhibiting food and livelihood security.
- Determine met and unmet needs of shelter, food, health, agriculture, education, psychosocial, water sanitation and nonfood items.
- Assess logistical parameters and resource needs, for example, transport, storage and communications.
- Identify the priorities of the affected population and their preferred strategies for meeting those priorities.
- Identify key stakeholders (e.g., affected population, government, international and local organizations and CRS partners) and their responses to the emergency.
- Identify which types of comprehensive in-depth assessments to conduct.
- Provide information to inform development of an emergency response strategy and/or an initial proposal for the short-term immediate needs.

What information do I need?

The detailed initial assessment should give you sufficient information to write a proposal for short-term needs and inform development of an emergency response strategy. Information to meet that objective should include:

- Update on security situation and impact of disaster
- Status of the power, transport and communication systems within the affected area
- Availability and price of fuel, food and nonfood items within the affected area
- Availability, condition and costs of office, warehousing, and accommodation
- Description of the affected population (gender, age, vulnerability status, household size)
- Map of affected area showing location of population and major services
- Morbidity and mortality data of the population
- Availability of health services
- Percent of households needing various types of nonfood items
- Quality and liters of water available per person per day
- Methods of excreta disposal, waste disposal and vector control used and available
- Number of people who will not be able to purchase, gather or access sufficient food

- Number of households without any or with inadequate shelter
- Number and condition of houses or shelters
- Current point in agricultural cropping cycle and access to land for production
- Percentage of farming household with current season's crops, multiple seasons' crops, seed stock, livestock, tools, labor sources, agricultural improvements, access to market
- Risk of population and vulnerable groups to sexual exploitation/rape, HIV and AIDS, abduction/trafficking, forced recruitment, and health concerns/disease
- Availability and size of safe spaces to protect the population from potential dangers
- Percentage of schools still functioning and children attending
- Evidence of disruption in daily life from psychosocial symptoms
- Current responses to the disaster by community, government, CRS partners and other NGOs

How do I collect the information?

The methods used to collect detailed initial assessment information will depend on the time available, type of information, amount of information already available from other sources, and capacity of staff. If a sudden onset disaster, it may be important to gather initial assessment information very quickly in order to write a proposal. In that case, staff may employ methods such as:

1. Secondary data review
2. Observations, for example, over flights, drive-throughs or windshield surveys, transect walk, walkabouts, direct observation (as applicable)
3. Individual and key information interviews
4. Group discussions
5. Community mapping
6. Seasonal and crop calendars
7. Head counts or population flow monitoring

If the disaster is slower at the onset and there is not pressure to obtain information in only a few days, or more detailed quantified information is needed, methods that take more time and/or are more statistical rigorous may be added to the above mentioned examples, such as:

a. Household assessment on food security, mortality, morbidity, average household composition and size

b. Nutritional assessment of children under five and other vulnerable population groups that may include mortality and morbidity

c. Focus group

d. Retrospective mortality survey

e. Available Census data or information from the local or state government and any such relevant agencies to count number of people, ages, vulnerable status, unaccompanied minors, nonfood item needs, shelter status, etc.

DETAILED ASSESSMENT TOOL

(Source: CRS Emergency Assessment Manual, adapted for CRS India)

1. **Date**
2. **Event/Location**
3. **Prepared by Country Program**
4. **Situation Update**
   a. Describe the district, block, Panchayat, villages.
   b. Describe any change to the emergency situation since the situational assessment including new secondary emergencies.
   c. Gather information to update or compile the field security plan as described in the CRS Staff Safety and Security Guidelines.
5. **Logistics and Resource Availability (for more detailed logistics questions, see Chapter 8 in the Emergency Assessment Manual)**

The objectives of an in-depth logistical assessment are:

1. To identify and describe existing transportation systems within the affected area
2. To identify and describe available communications and power systems within the affected area
3. To identify and describe current CRS structures and capacities within the affected area
4. To locate and evaluate availability, cost and conditions of space for warehousing, offices and staff accommodation
5. To identify availability, quantity and quality of locally available commodities
6. To articulate logistical roles and capacities of government, local organizations and
7. INGOs/U.N. agencies responding to the emergency.

Relevant Questions on Logistics and Resource Availability

1. How can the site be accessed for personnel and commodities?
2. What are the current conditions, security, cost and time implications of each route?
3. What is the status of the transportation network? Are trucks and drivers available?
4. What is the availability and price of fuel?
5. What is the availability and price of food and relief items that may be needed?
6. What are the regulations for bringing in commodities from national/international sources?
7. Are there suitable buildings available for warehousing?
8. What are the size, security, location and price conditions of available buildings?
9. What is the availability, amount and price of office and staff accommodation space?
10. What is the status of power, water, sanitation, and heating systems in the buildings?
11. What is the capacity of the telecommunications network (telephone/fax/e-mail/internet)? Is it available/reliable? Is there a need for satellite communications?
12. What financial systems are available? How can money be obtained/exchanged and secured?

6. Demographics and Vulnerable Groups

Complete the following two tables regarding the affected population.

Demographics

	FEMALE	MALE	TOTAL
Number of households affected			
Number of people affected			
Children: 0-23 months 24-59 months			
5-14 years			
15-59 years			
60 and over			

Vulnerable Groups

	MALE	FEMALE	TOTAL
Pregnant/Lactating women			
Unaccompanied elderly people			
Unaccompanied children			
Physically/mentally challenged people			
HIV affected/infected people			
Other socially vulnerable groups (e.g., SC/ST/Dalits)			

a. What is the number of families/households in the local area are affected by the disaster?

b. What is the status of the population (e.g., refugees, IDPs, nondisplaced)?

c. What is the average household size?

d. Who is taking care of unaccompanied minors and orphans and other vulnerable children?

7. Livelihood

Number of the families that depends (depended) on the following for their livelihood:

TYPES OF LIVELIHOOD	NUMBER OF FAMILIES DEPEND ON THE LIVELIHOODS		
	PRE-EMERGENCY	POST-EMERGENCY	REMARKS (WHETHER PEOPLE ARE CONTINUING OR NOT)
Fishing			
Agriculture and allied			
Informal sector/petty trade/ wage labor			
Trade, professional or civil Service			
No livelihood			
Other ______________			

1. What is the current response by the government toward livelihood?
2. What are the current responses by other agencies (INGOs/Local NGOs/CBOs)?

8. Health and Nutrition

a. What is the status of mortality and morbidity?	
b. What are the crude and under-five mortality rates?	
c. What are the principal causes of death (e.g., malnutrition, measles, injury, acute respiratory infections (ARIs), diarrhea)?	
d. What are the principle causes of morbidity (including measles, diarrheal disease, ARIs, malaria, injuries), and who is primarily affected?	
e. Is there any presence of diseases with epidemic potential (e.g., cholera, diarrhea, measles, meningitis, typhoid)?	

9. Nutritional Status

a. What is the prevalence of acute malnutrition of very young children (if any information available)?	
b. Are there any symptoms of malnutrition such as throat swelling (due to iodine deficiency), night blindness, lethargy and edema or extremely skinny and upset?	
c. Does the nutritional situation look like it will improve, stabilize or deteriorate ?	
d. What health services are currently available?	
e. What is the vaccination rate for measles?	
f. Are mothers reporting difficulties in breastfeeding and feeding infants and young children?	
g. Is there any evidence of breast milk substitutes in the community?	
h. What is the current response of the government toward health and nutrition needs?	
i. Is a public distribution system (PDS) is available to the community?	
j. How much is the ration being provided by the government to the affected community so far?	
k. What is the current response from other INGOs/CSOs/CBOs, etc., to address health and nutrition needs of the affected population?	

10. Nonfood Items

1. Total number of households needing assistance.
2. Types and approximate amount needed per household:

ITEMS	AMOUNT (APPROXIMATE)
Plastic sheeting	
Clothing	
Washing/cleaning	
Transport	
Cooking: fuel/stoves	
Heating	
Blankets/quilts/mattresses	
Family toilet kits (women-friendly kit)	
Water containers for storage	
Cooking/kitchen utensils	
Disinfectants (phenyl, dettol, chlorine, bleaching powder, etc.)	

11. Water and Sanitation

The Condition of Water Sources

TOPIC	INFORMATION
1. Number and type of sources (tube well/hand pump, wells, ponds, water tap, water tank, etc.) fully damaged?	
2. What are the sources that are available now?	
3. How far is the source of potable water from the present location?	
4. Is adequate water is available for all purposes (drinking and others) to all the families? If no, what is the existing status of availability?	
5. What was the sanitation habit of the community prior to the emergency?	
6. What is the current sanitation practice in post-emergency?	
7. Do the communities have sanitation facility in the relief camps/temporary location?	
8. What are the methods of waste disposal and vector control (e.g., flies, rats, mosquitoes)?	
9. what is the current responses by the government with regard to provision of safe drinking water and sanitation facility?	
10. What is the current responses by the INGOs/ CSOs/CBOs/any other with regard to provision of safe drinking water and sanitation facility?	

Sources for Contamination of Water Sources

SOURCES FOR CONTAMINATION	NUMBER OF CONTAMINATED SOURCES
Human defecation	
Animal defecation	

12. Shelter

Status of the Affected Families

DESCRIPTION	NUMBER OF FAMILIES
1. No of families remaining on the site of their damaged/destroyed shelter	
2. Number of families displaced and accommodated by host families	
3. Number of families displaced and accommodated collectively within existing publicly or privately owned houses such as schools, temples, community houses, etc.	
4. Displaced and collectively settled in newly built relief camps/temp shelters.	

Damage Status of Shelter

1. Number of house completely destroyed and totally inhabitable	
2. Number of houses partially damaged with only some of the main structures habitable	

13. Food Access and Availability

SL NO	TOPICS	INFORMATION
	a. What are the normal ways of obtaining food? Has access to food has been disrupted?	
	b. If yes, how long it is likely to remain disrupted?	
	c. How many families will not be able to purchase, gather or access sufficient quantity and quality of food (including rations) with the next…..	
	0-30 days?	
	31-90 days?	
	Over 90 days?	
	What are the staple foods of the area?	
	What commodities would be the most acceptable to the affected population?	
	Approximate number of families that would require immediate food assistance?	
	What is the current response by the government in provision of food assistance?	
	What is the current status of PDS in the areas? Is it accessible and providing food assistance to the affected families?	

14. Protection and Education

Indicate if any of the following groups are at significant risk/threat from protection issues.

RISKS	OVERALL POPULATION	CHILDREN		ADOLESCENTS		ADULT WOMEN	OTHERS
		M	F	M	F		
Sexual abuse/rape							
Abduction/trafficking							
Forced migration							
Forced militia recruitment							
HIV							
Political manipulation							
Other concerned diseases							
Any other							

1. Are the places where people are staying/camping safe enough from the above potential threats? If no, why?
2. What safe spaces (e.g., religious buildings, community centers, schools, shelter, personal house, and clinics) are available where the population can be protected from potential dangers and learn about potential risks?
3. How many people can be accommodated in these places?
4. How many children are there who are not staying with the families?
5. Where are the unaccompanied children staying? Are they engaged in any job (labor, domestic help, working in the unorganized sectors)?
6. Are the unaccompanied children staying in the relief camps/buildings?
7. How safe are these children? Do communities view these places safe for the children?
8. Number of schools still functioning in the area? Do parents/community members view the schools as safe spaces for children?
9. If schools are still functioning, how many children are still attending the school and where are they going to attend the school?

15. Psychosocial

a. Is there evidence that daily life is being disrupted by psychosocial symptoms such as fear of the incident of disaster, trauma out of the shock, traumatized due to loss of family members/relatives/neighbors, failure to eat/sleep, failure to feed/care for children, excessive use of alcohol suicides, and other drugs, and violent behavior including gender based violence and child abuse?

16. Agriculture

SL NO.	TOPIC	INFORMATION
1	Amount crop totally lost in the area	
2	How much of the available land is cultivable?	
3	Where in the cropping cycles are farmers, e.g., harvest, preparation, planting	
4	Number of households still have the following:	
	• Current season's crops(s)	
	• Multiple seasons' crop(s)	
	• Seed stocks	
	• Labor sources	
	• Tools	
	• Livestock	
	• Market access	
	• Other	
5	Current status of fodder availability	
6	Improvements required (e.g., irrigation systems, storage facilities, fencing, terraces)	
7	What is the current response plan by the government to address the livelihood issues in the community?	
8	Are other agencies planning to respond? How?	
9	Are partners planning to respond? How?	

17. Any Other Information:

18. Any Quotes/Verbatim From the Affected Communities:

ANNEX 3.9.4 EMERGENCY ASSESSMENT TOOL: BALOCHISTAN

Name of village ________________________ ***Hamlet***____________________________

UC__________________________________

Methods

Select one village and two hamlets/settlements, and complete the following:

1. Community level rapid assessment form
2. Focus group discussions: (these need to be small groups in a private / enclosed space)
   a. One with group of 4–6 men
   b. One with group of 10–12 women

Introductory and Observation Questions (10–15 min. only)

Focus Group Guiding Questions (Both Men and Women) (1 hr.):

1. What are the main sources of income in the community?
   Identify predominant livelihoods; variety of income sources in the community; and asset and landownership structures. Discuss livelihood losses, if any. Check whether they expect any changes (or sale) of assets post-earthquake.

2. What are the coping strategies you usually adopt in winter? How will these be different this year?
   Probe or focus discussion more on coping strategies such as migration, storing of grain or food stocks; resorting to borrowing, children dropping out of school, sale of cattle or other assets, etc. Try to identify how much more severe they expect it to be this year and the long term impact of households adopting negative coping strategies.

3. Who are the most vulnerable in this hamlet, in your opinion? Why? Give specific examples.
   Try to identify whether they think this is the same as always, or different after the Earthquakes and in what ways. Would they be able to identify more vulnerable families for a more selective targeting strategy?

4. What are the priorities needs in this location, in your opinion?

5. How are families managing to meet their immediate needs (for water, food, shelter, clothing, blankets, quilts)?
   Determine what initiatives they have taken. Probe to see whether their ability to meet their needs is different for different households within the hamlet.

6. What is the status of animals?
   Check what losses (if any) they incurred with respect to animals. This could include losses of cattle sheds, fodder, etc. Identify plans for sale, consumption and care through winter.

7. How are you feeling after the earthquake? How has it affected you or your family members?
Try to identify symptoms of trauma or stress; cite specific examples. Determine whether there are any difference between men, women and children.

Women's group:

8. How are the issues different for women and young girls than for men? What specific challenges are you facing post-earthquake?
Probe to check whether responses are the same during normal times as compared to now.

Men's group:

9. Shelter questions
   - What is the predominant type of house? Do people typically build on their own?
   - If not, is labor available?
   - What type of materials (if any) are available in the village or nearby?
   - What do you plan to do for your family since winter is coming?
   - What is salvageable from the houses? Are they willing to reuse these materials for transitional shelter?
   - When and how do they plan to rebuild their houses?

ANNEX 3.9.4 RAPID COMMUNITY ASSESSMENT

Instruction: This form is intended as a rapid 15-minute questionnaire to be completed with key (nongovernment) informants, such as village leaders.

Union Council: ________________ Name of village : _____________

Distance from Quetta is ____ km Name of hamlet : _____________

Demographics

	TOTAL #
Total number of nuclear families	
Total individuals or people	
Number of female-headed households (widows, deserted, divorcees)	

Level of Damage

Total number of houses:	
Total number not usable:	
Other infrastructure damage:	
school	___ total ___ partial ___ no damage
mosque	___ total ___ partial ___ no damage
BHU	___ total ___ partial ___ no damage
Observation – scale of damage	___ 1 to 5 (with 5 = 90%)

Water Infrastructure

	WHAT SOURCES OF WATER EXISTED BEFORE EARTHQUAKE? (CHECK ALL THAT APPLY	WHAT IS THE MAIN SOURCE OF DRINKING WATER?	DAMAGE
Hand pumps			( )Y ( ) N
Water supply scheme (PHE)			( )Y ( ) N
Kareze			( )Y ( ) N
Tube well (with electrical pump)			( )Y ( ) N
Comments: *(on secondary sources)*			
What is the quality of water available? ____ clean ____ turbid Comments:			

Sanitation

Did families have latrines before the earthquake? Y ( ) N ( )

If yes, what type? ____ dry pit latrine _____ pour flush latrine

Are there bathing facilities after earthquake? Y ( ) N ( )

If yes, are they separate for women and men? Y ( ) N ( )

Health and Hygiene

Following the earthquake, has there been:

an increase in number of cases of diarrhea among children? Y ( ) N ( )

an increase in number of cases of chest infections? Y ( ) N ( )

an increase in number of cases of eye infection? Y ( ) N ( )

Other ____

Settlement and Shelter

What is the predominant type of shelter? ____ cement ____ mud

Have households received any tents? Y( ) N ( )

Are they sufficient for the coming winter? Y( ) N ( )

Have households received any other shelter materials? Y( ) N ( )

If yes, what? ____

Relief Received

Do families have NIC cards? Y( ) N ( )

Have they received relief? Y( ) N ( )

If, now, why? _____ no ID card ___ level of isolation _____ Other
(Specify____)

What kind of relief has been received in this village? (check all that apply)

____ food ____water containers ___ tents ___ plastic sheets ___ bedding

____ kitchen sets ___ clothes ___ other:__________________

Have they received any tokens for shelter? Y( ) N ( )

Who distributed this? _________ NGO (name: ______________________) _________ government

Observations:

Form completed by:

ANNEX 3.10.1 DETAILED WAT-SAN ASSESSMENT PLAN

METHOD	INFORMATION	WHO WILL PARTICIPATE
Resource map (for water because it is a community resource)	• Sources of water (number, type, location) • distances from household to source • Alternative sources of water, contamination points of water • Number of houses and clustering patterns for each source	• Male and female groups representative of the whole village • Water committee or VDC • Line department operators—maps
Transect walk	• Waste disposal habits, contamination practices/ points • Soil type • Cultural context • Land available for latrines, defecation areas • Women's security for water and latrine access • Means of fetching water, who fetches	• Men and women and children in households, with a community guide
Focus group discussion	**Female** • Main uses of water • Community water management skills • Maintenance customs • Roles of men and women in family hygiene • Cases of illness • Cultural context (appropriate involvement in construction and project activities, latrine use) • Prevalence of diarrhea, security risks (latrines and water)	• Women from vulnerable households
	Male • Alternative sources of water, water table, seasonal trends • Organization and maintenance and responsibilities • Contamination of water and treatment at community level • Population data • Number of people per water source	• Men from vulnerable households
Observation	• Water storage practices, risks of contamination of water at household level • Consumption per capita	• House visits to cross section of homes

ANNEX ? EMERGENCY ASSESSMENT GUIDANCE CRS SOUTH ASIA

(revised January 09)

This document gives guidance on when and how to conduct **emergency assessments,** both ***rapid*** and ***more in-depth***.

> **Note:** Assessments should be **focused** and **time-bound**—one tool or approach should be developed and used within a well-defined period of time to meet specific information needs. If gaps in information emerge, plan to reassess (using a different tool or approach).

RAPID ASSESSMENTS

*Note: In practice, rapid assessment includes several different steps—an initial assessment that relies more on secondary sources to inform the key management decision on **go/no-go**; and a second assessment of the situation with more primary data collection to determine **what type of emergency response** to start.*

Why

- The aim is to confirm how urgent the needs are and whether a CRS/partners response is required. If so, field assessments should trigger the decision on **what type of emergency** response to start.
- If lifesaving action is required, the assessment findings can mobilize immediate funding for emergency interventions.
- The assessment information should provide information on **where** to conduct an initial response.

When

- The assessment should take place as soon as possible after a disaster strikes, with review of secondary information and field work as soon as access becomes possible.
- The field work should start 48 to 72 hours following the disaster.

Who

- CRS should deploy senior staff with prior emergency response experience for rapid assessments.
- CRS staff should, wherever possible, join partner field teams. Assessment teams should be comprised of generalists (or multidisciplinary) and be gender balanced.

Where

- Villages assessed should typically be the worst affected villages in the worst affected districts/ areas.
- Where villages remain inaccessible, the focus should be areas of displacement and/or the

worst affected among villages that remain accessible. Plan to assess initially inaccessible villages as soon as feasible.

How

- Teams should gather secondary data (e.g., from government declarations, media reports, interview with key officials / informants) to collect information on scale of damage and to identify target areas for further field work.
- The field work should be guided by open-ended questions, such as the Sphere checklists or a semi-structured interview template, to ensure that a broad range of information is collected. There is no need for quantitative data collection in the field at this point.
- Select methods that are appropriate for affected persons.
  For example, if people have just been displaced from their homes and suffered some level of trauma, it may be insensitive or inappropriate to attempt to complete written forms with multiple questions. Engage in conversations that allow people to speak openly.
- To reduce risk of bias, information should be cross-checked by talking to several informants and by including **observation** as a key data collection method.
- Information should be gathered directly from women and from any other vulnerable groups (e.g., typically marginalized social or ethnic groups; landless farmers).
- The assessment should focus on who has been affected and how. This includes understanding how people are coping.
- Assessments are best conducted in teams, including at least one woman to be able to talk openly with women. Group and household interviews should be conducted separately with men and with women.
- The rapid assessment should last no more than **2-3 days**. If more information is required for project design, plan to review the assessment approach (see '*more in-depth*' assessment).

Analysis

- Assessment information should be discussed among the assessment team on a daily basis, with daily debriefs with managers to support key decision-making.
- A participatory analysis of results should be organized once the assessment is complete, to inform the design of the first phase response. Partner staff should be included in this exercise.

(MORE) IN DEPTH (SECTORAL) ASSESSMENTS

Why

- These may be required to inform strategy design for the immediate response, or to trigger decisions about subsequent phase of interventions. The aim is to collect information on **how to** (continue to) respond.
  For example, the rapid assessment may help you decide that safe water is an urgent issue,

with high risks of water-borne diseases, but you may not have sufficient information to decide what kind of intervention may be most appropriate to address this need. Or you may know how to respond in the immediate phase, but require greater understanding of water sources and household treatment practices to inform the recovery phase.

When

- If life-saving assistance is required, the priority has to be to deliver that assistance. Once the systems are set up, in-depth assessments can run parallel to those activities.
  For example, the monitoring of relief distributions can be combined with further more focused assessments.
- Further assessments should be conducted when monitoring data indicate that the situation is changing.

Where

- An in-depth assessment may be conducted in sample villages—selected strategically to represent the diversity of the target population and focused on areas where the needs are greatest. The size of the sample should be decided based on the information that is required and the diversity of the area.
- Triangulation is a basic rule of thumb, so it might be advisable to select three groups or villages to represent one perspective.
  For example, if a population has been displaced by the disaster and is currently residing in both formal and spontaneous camps, you may need to talk to both men and women's groups in 3 formal and 3 spontaneous camps.

What

- The assessment should focus on one or more sectors selected for intervention, to help **inform the implementation strategies** within the sector.
- Collect only information that will be useful for decision-making.

Who

- Teams should be multi-disciplinary to look at technical and social issues within target areas and triangulate information. This includes relevant persons with sectoral expertise.
  For example, if it is clear that a water intervention is needed, water engineers may be best suited to assess feasible options. They may join a team that is comprised of social mobilizers or hygiene promoters who have a solid understanding of pre-disaster water treatment practices.
- Assessment teams should be gender balanced.

How

- This assessment can include a mix of qualitative and quantitative data collection methods. This choice depends on time and resource availability.
- Assessments can be conducted using a range of methods—direct observation during transect

walks, FGDs, key informant interviews, HH-level interviews (either random during transect walk or systematic for a HH survey), etc.

- If quantitative data is collected, the sample does NOT need to yield statistically representative results as this is **not a baseline survey**. The chosen data collection and sampling method does, however, need to be clearly documented.
- More in-depth assessments are structured using data collection tools (e.g., FGD guide with 10-12 questions; template for village mapping; structured interview questions). These tools need to be developed (or adapted) to meet the specific information needs of the assessment. It is best to field test the tools before finalizing.

Analysis

- Assessment information should be compiled and discussed among the assessment team on a daily basis.
- Data entry (if required) should take place as soon as possible following data collection.
- A participatory analysis of results should be organized once the data is available to interpret results and explain numbers using qualitative information. Partner staff should be involved in this exercise.

PRACTICAL ASSESSMENT TIPS

- Be intentional about who you talk to; seek out women and other vulnerable groups
- Focus less on numbers, more on questions that answer: HOW, WHO, WHY
- Talk to multiple stakeholder so as to triangulate information
- Vary your methods but Keep it simple
- Develop (or adapt) tools based on the situation and the information needs
- Document your sampling choices
- Analyze preliminary findings on-site (the same or next day)
- Collect ONLY information that you will use for planning, communicating, decision-making
- Keep the assessment to a well-defined period (max. 3 days)
- Communicate trends and urgent needs verbally (before writing extensive reports)
- If possible, combine assessments with other activities
- Recognize and adapt to the evolving situation
- Reassess the situation, as necessary.

SUMMARY OF ASSESSMENT INFORMATION

Given the constant changes that take place in an emergency context, several stages of assessment may be required. Different assessments will vary in time (for example, the 1st assessment could be conducted in the first 2 days; the 2nd during weeks 1 to 3; and the 3rd within 1 month) and also in purpose, methods, approach, etc.

	RAPID ASSESSMENTS		MORE IN-DEPTH
	1ST ASSESSMENT	2ND ASSESSMENT	3RD ASSESSMENT
Objective	To understand scale of disaster and whether there is a need to respond	To determine WHAT are the priority needs for our immediate response	To collect more in-depth information (for sectoral or early recovery planning)
Information Needs	• Type of damage / impact • Estimated numbers of affected families (and persons • Geographic areas (least and worst affected) • Trends in population movements, where applicable	• Household coping strategies. Focus on question of who, what, how, and why. • Protection and vulnerability issues • Level of damage within village • Who is doing (or planning to do) what	• Pre-disaster information (e.g., sanitation practices for WASH) • Local resource availability (both labor and materials) • Trends in recovery • Gaps and remaining needs
Methods	• Observation • Open-ended interviews • Secondary sources	• Open-ended interviews • RRA methods (social mapping; transect walk; focus group discussions; etc.) direct observation • Reviews of secondary sources (local government and village-level data)	• Mix qualitative (e.g., RRA) and quantitative methods (close-ended or structured interviews; water quality tests, etc.) • Observation • Consultations with key stakeholders • Coordination
Key Informants	• Media • Local government • Affected persons	• Village leaders • Specific groups of affected persons (e.g., women; children; minority groups) • Government officials • Other responders	• Line departments • Sectoral specialists • Affected households • Community groups • Other coordination structures
Use of information	• Go/no-go decision • Situation reports	• Immediate response planning • Emergency Proposals	• Long(er) term planning • Design of sectoral interventions • Proposals for external donors

Key Message

Any single assessment should be focused and time-bound—one tool or approach should be developed or used within a limited period of time to meet specific information needs. If gaps in information emerge, plan to reassess (typically, using a different tool or approach).

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 4:

Emergency Needs Assessment Simulation

~~(1½ days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 5: Analysis and Project Design (2½ days)

Module 6: Technical Design and Distributions (2 days)

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together (2½ days

CRS
CATHOLIC RELIEF SERVICES

TABLE OF CONTENTS

MODULE 4: EMERGENCY NEEDS ASSESSMENT SIMULATION (1½ DAYS)

Objective

- To be able to design and lead rapid, participatory emergency assessments

Expected Results

- Participants are capable of designing and implementing an emergency needs assessment appropriate to the context.
- Participants identify best practices for emergency needs assessments and action points to ensure best practice in the future.

Brief Overview and Tips

In this 8-hour module, participants experience a simulated emergency and have to plan and conduct a needs assessment. They then analyze and present their information to the other groups. A significant amount of time is spent in debriefing sessions to identify lessons learned based on the scenario and identify action points to ensure best practice in future.

- Every participant should have a copy of the Sphere Handbook.
- Depending on the group, the facilitator may extend the time spent on either the simulation or the analysis of their performance in the simulation. The identification of best practice and action points to ensure best practice in future is key to making the simulation useful.

Session 4.1	Planning a Needs Assessment	(45 min.)
Session 4.2	Implementing a Needs Assessment	(1 hr.)
Session 4.3	Coordination	(30 min.)
Session 4.4	Analysis	(45 min.)
Session 4.5	Debrief: Assessment Planning	(45 min.)
Session 4.6	Debrief: Numbers Affected	(30 min.)
Session 4.7	Debrief: Coordination and Gap Analysis	(1¼ hr.)
Session 4.8	Sectoral Debrief: Wat-San, Health, Food Security, Shelter	(45 min. × 4 = 3 hr.)
Session 4.9	Action Planning	(1 hr.)

Further Resources

- CRS ASIA Emergency Assessment Guidance, revised March 09
- CRS Emergency Assessment Manual
- Caritas Internationalis Emergency Response Toolkit (2007)
- Good Enough Guide

SESSION 4.1: PLANNING A NEEDS ASSESSMENT (45 MIN.)

Objectives

- To put into practice assessment planning skills in an emergency simulation.
- To identify information the needs required to make key decisions in an emergency response.

Key Messages

- Emergency assessment should be focused and time-bound—one tool should be developed and used within a well-defined period of time.
- The aim of an initial assessment is to confirm how urgent the needs are and **whether** a response is required; if so, **what type of emergency** response to start; and **where** to conduct the initial response.
- Emergency assessments are iterative. The initial assessment will be followed by more detailed assessments as your plan and the context evolve.
- Focus on collecting timely, reliable information that you will actually use.
- Good planning reduces the risk of bias in a needs assessment. Planning means deciding where you will go and who you will talk to; what information you require (and adapting existing tools accordingly); and what methods you will use to collect that information.
- Triangulating information (cross-checking from at least three different sources or using three different methods of collecting information) increases the reliability of the information.

Materials

- Sphere Handbook:
  - Core Standard 3, p. 61
  - Appendix 1: Water Supply and Sanitation Initial Needs Assessment Checklist, p. 124
  - Appendix 2: Food Security Checklist, p. 214
  - Appendix 1: Shelter, Settlement and Non-Food Items Initial Needs Assessment Checklist, p. 278
  - Appendix 1: Health Assessment Checklist, p. 338
- Emergency Assessment Tool used in the country or an example of the CRS Emergency Assessment Tool (see Handouts 3.9.1–3.9.4)
- Handout 3.5.1: Transect Walk
- Handout 4.1.1: Memos
- Handout 4.1.2: OCHA Situation Report

Facilitation

TIME	METHOD	CONTENT
5 min.	**Presentation**	**The facilitator introduces the simulation:** • What is a simulation? A representation of a real situation by a similar but simpler model that can be altered by its users. The aim is to test knowledge and skills learned from previous training efforts and to expose participants to key topics and themes that further training will address. • What will happen? There will be four groups (You will need to have one resource person for each group—so decide on the number of groups accordingly, and avoid groups larger than six.) A series of reports (Handout 4.1.2) will inform you of a disaster. Each group will receive one copy of each document, and a copy will be posted on the Humanitarian Information Board at the back. At regular intervals new reports will bring updates on the situation. Memos (Handout 4.1.1) will arrive from head office with instructions. The participants stop being "training participants" and react to the changing situation as they would in reality, making decisions and planning or implementing their assessment. It is important to draw on emergency relief best practice, standards and tools in order to get familiar with them and learn how best to use them.
	Question and Answer	Spend a few minutes refreshing participants' memories of the qualities of a good emergency needs assessment. (See Key Messages.)
5 min.		Participants form four groups. **First OCHA (U.N. Office for the Coordination of Humanitarian Affairs) report** arrives. **First memo:** The executive director requires an assessment plan. The participants start planning their needs assessment.
30 min.	**Working groups**	**Second OCHA report** arrives, with updated numbers, preliminary needs and details of other agencies' responses. **Second memo,** media clipping, arrives. Working groups start planning participatory needs assessment: 1. What info to collect, using Sphere checklists from last training. 2. What methods to use. 3. Who are the stakeholders, what are their interests and influences on the possible response, and how will you involve them?
5 min.	**Working groups**	**Third memo**: Finalize your plans and assign roles within the team.

SESSION 4.2: IMPLEMENTING A NEEDS ASSESSMENT (1 HR.)

Objectives

- To practice collecting and cross-checking information in an emergency needs assessment
- To practice interviewing skills

Key Messages

- It is easy to jump to conclusions based on previous experience or other biases and think that we know the needs of the disaster-affected people.
- To do a good interview, be prepared with a checklist; introduce yourself 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; and avoid leading questions.

Materials

- Handout 4.2.1: Facilitator's Guide: Needs Assessment Roles
- Handout 4.2.2: Facilitator's Guide: Captions
- Handout 4.2.3: Facilitator's Guide: Photographs

N.B. Each group needs one resource person who must be fully familiar with the needs assessment roles (4.2.1).

Facilitation

TIME	METHOD	CONTENT
10 min.	**Instructions**	The assessment teams go to the field. The assessment teams can collect their information in two ways: 1. Going to the wall and observing the photographs and reading the quotations from people in the field 2. Conducting their own interviews with their resource person, who will play the role of affected men, women, and children; local officials; local organizations; etc. Each group has one facilitator as resource person. If you are serving as the resource person, you will have the assessment role-play document, and you must have read this document thoroughly and know it very well. The information you will give to the assessment team must be based on this document, to ensure consistency between groups.
50 min.	**Group work**	The assessment team members sit with their resource person. They start by saying who they want to talk to first. The resource person will become that person and answer all questions on the basis of the role-play document. When the assessment team members wish to interview another person, they will tell the resource person to change roles, and the resource person will give them information according to this new role. (The facilitators could prepare paper hats with names of potential interviews written on them, so that resource person could wear relevant hat when being interviewed) The assessment team members should have planned to use a range of different participatory methods, but in this exercise they will only be able to practice observation and interviews. Remember, constantly analyze your information! Spend time during the exercise discussing and analyzing the information you have collected so far, in order to plan how best to use the time available.

SESSION 4.3: COORDINATION (30 MIN.)

Objective

To practice collecting information from government and other actors

Key Messages

- The collection of information from the government and other NGOs is an essential part of any needs assessment.
- Information about what you are doing (assessment and response plans) also needs to be shared with the government, NGOs and U.N.

Materials

- Handout 4.3.1: Facilitator's Guide: Who Is Doing What, Where
- Handout 4.3.2: Facilitator's Guide: Number of People Affected

Facilitation

TIME	METHOD	CONTENT
30 min.	**Group work**	Each group receives the following: • Memo 4 from government with some statistics and a request to attend a coordination meeting • An article from the *Simulation Times*, warning of humanitarian catastrophe and food crisis The participants ask their resource person questions, as if they are at the coordination meeting. For example, they ask to speak to the chairman of the meeting or the NGO or U.N. representatives, and then ask them questions about what they are doing. The resource person can also ask them questions; e.g., "What is Caritas going to do to respond to this disaster?" When the coordination meeting is over, the resource person tells the teams they can spend some time reviewing their information. Have they spoken to all the stakeholders? Have they got all the information they require? The assessment teams are allowed to go back to their resource people and ask for further information.

SESSION 4.4: ANALYSIS (45 MIN.)

Objective

- ~~•~~ To analyze information collected during assessment

Key Messages

- The assessment team members must share their information at the end of each day. They should highlight key findings, identify trends and disparities in the data, investigate underlying causes and identify further information requirements.
- Many tools exist to help the analysis of information collected during a needs assessment, and these are introduced in Module 5.

Facilitation

TIME	METHOD	CONTENT
45 min.	**Group work**	Each assessment team prepares a presentation on the results of their needs assessment. Explain that this is what they must do in a real assessment: sit together at the end of the day and share their information, identifying key findings, trends and disparities. For the sake of time, each group is asked to prepare sectoral presentations, as follows. Each group will present in turn, after a general debrief. • Group 1: Summary of assessment methods: where they went, who they talked to, what methods they planned. • Group 2: Number of people affected and information from the coordination meeting. • Group 3: Wat-san and health: what information did they collect, especially about coping strategies and gender? • Group 4: Shelter and food security: what information did you collect, especially about coping strategies and gender?

SESSION 4.5: DEBRIEF: ASSESSMENT PLANNING (45 MIN.)

Objectives

- To share feedback on the simulation and generate learning from the planning of a needs assessment
- To identify best practice for assessment planning and action points to ensure best practice in future

Key Messages

- First define the objective of the assessment, then what information is required, who to talk to and what methods to use.
- A stakeholder analysis helps to identify people and groups in society, their interest and influence in a potential emergency response project, and their potential role in the needs assessment.
- A checklist must be prepared to guide the collection of information in the assessment.
- Team members should decide on roles and responsibilities during the assessment, and ensure regular sharing of information and coordination of tasks.

Facilitation

TIME	METHOD	CONTENT
5 min.	**Plenary discussion**	Share overall impressions of the simulation. What worked well? What worked less well? Distinguish between the emergency environment and the simulation exercise. For example, the fact that different sources of information provided contradictory information was not a negative thing about the scenario; rather, it is a reality of working in an emergency.
15 min.	**Group reflection**	In your groups, reflect on the “Planning a Needs Assessment” session. 1. First review your plan. 2. Compare your actual assessment with the plan. Where did you go, who did you talk to, what information did you collect and what methods did you use? Identify three things you must do better next time. Write each idea on a colored card.
20 min.	**Sharing in plenary**	Each group shares one idea. The cards are pinned up on the board. At the end the facilitator reviews the list of action points for improvement and draws out key messages:
5 min.		Conclude by asking if there are actions that need to be taken now to ensure best practice in future. Record these action points on a flip chart.

SESSION 4.6: DEBRIEF: NUMBERS AFFECTED (30 MIN.)

Objectives

- To share information on the numbers affected
- To identify best practice and action points to ensure best practice in future

Key Messages

- Accuracy is often a challenge for collecting numbers or statistics in an emergency. Use secondary sources for quantitative data and focus your primary data collection on qualitative information about people and coping strategies.
- Focus on what you need to know. Early in an emergency, data might be unreliable, but it can indicate the scale of the crisis and worst affected areas.
- Ask for big picture information from people who are in a position to have collected it, for example, government officials or community leaders.
- Compare information from different sources, and ask how the information was collected to see whether it is viable.

Facilitation

TIME	METHOD	CONTENT
5 min.	**Presentation**	Group 2 presents the number of people affected.
10 min.	**Plenary discussion**	The facilitator works systematically through the information on the number of people affected: • At the district level, what was the total? What was the gender breakdown (number of men and women?) How many children, and how many elderly? How many pregnant, and how many breastfeeding? Also ask the source of the information, that is, where did they get this information? • At the *upazila* level, what was the total? What was the breakdown by gender, age, pregnant and breastfeeding? Also ask for the source of the information. • At the union level, what was the total number affected? There were two different figures given by different sources. Did groups collect both figures, and did they notice a contradiction? Did they cross-check the validity of the information? They would have discovered that the union official was exaggerating; his number affected exceeded the number in the census. • At the village level? What was the breakdown by gender, age, PLW (pregnant and lactating women)? Source of information?
10 min.	**Group reflection,**	The facilitator asks each group to think what they have learned from this discussion, and write each idea on a card.
10 min.	**Round robin Plenary sharing**	The facilitator asks each group to read out one card, and the facilitator sticks the cards (no repetition of ideas) on the flip chart.
10 min.	**Plenary discussion**	Conclude by asking if there are actions that need to be taken now to ensure best practice in future. Record these action points on a flip chart.

SESSION 4.7: DEBRIEF: COORDINATION AND GAP ANALYSIS (1¼ HR.)

Objectives

- To share information on what other agencies are doing and use a gap analysis matrix to organize and analyze the information
- To identify best practice on coordination and action points to ensure best practice in future

Key Messages

- In the early stages of a disaster, other agencies' response plans are constantly evolving, so maintain contact and share information on a regular basis.
- Identify broad trends in the response and collect detailed information about what organizations in the same working areas are planning or doing, including the type of support and contents of their relief packages, where they will work, and who they will serve and for how long.
- A gap analysis matrix is a useful tool for organizing information about other organizations' relief efforts, and analyzing whether other actors are already meeting the identified needs in a particular geographic zone.
- Decisions about how to work together to avoid duplication are often best made in bilateral meetings.

Materials

- Handout 4.7.1: Blank Gap Analysis Matrix

Facilitation

TIME	METHOD	CONTENT
5 min.	**Plenary discussion**	The participants share the names of all the other actors who are responding to this emergency.
25 min.	**Group work**	Once the list is established, distribute a blank gap analysis matrix. In their groups, the participants fill it in for two or three organizations, using the information they collected during the assessment.
20 min.	**Plenary sharing**	• Share findings from this exercise. • Did you have a sufficient level of information? • Is any information missing about location of programs, type of people we serve, duration, etc.?
10 min.	**Plenary discussion**	Demonstrate how the gap analysis matrix can be used during the project design stage to analyze whether other actors are already meeting the identified needs in a particular geographic zone.
15 min.	**Small group reflection + round robin sharing**	The facilitator asks each group to identify a lesson learned on coordination based on the scenario and write each idea on a colored card. Each group reads out one card, and the facilitator sticks the cards (no repetition of ideas) on the flip chart. Identify and record actions that need to be taken now to ensure best practice in future.

SESSION 4.8: SECTORAL DEBRIEF: WAT-SAN, HEALTH, FOOD SECURITY, SHELTER (45 MIN. × 4 = 3 HR.)

~~Objective~~

- To share results of the simulation field assessment in order to learn that whom you talk to and what methods you use affect the quality of information gathered during a needs assessment
- To identify the strengths and weaknesses of the field assessment teams and decide on action points to improve future assessments

Facilitation

TIME	METHOD	CONTENT
30 min.	**Presentation and discussion**	Group 3 presents their findings in the sector of wat-san. The other groups ask questions or complement with additional information. (10 min.) The facilitator asks whether the resource person for that group can confirm that all the information is correct. Has the group misrecorded anything? Have they exaggerated or jumped to conclusions? The facilitator asks other groups to comment. Did they collect any additional information on wat-san? (15 min.) Whom did the group talk to? Whom did the other groups talk to? The facilitator leads a discussion on whom an assessment team should talk to in a community, for example: • Community leader • Women's leader • Affected women on embankment, in school, and in shared houses (5 min.)
15 min.	**Small group reflection + round robin sharing**	The facilitator asks each group to identify a lesson learned based on the scenario and write each idea on a card. Then each group reads out one card, and the facilitator sticks the cards (no repetition of ideas) on the flip chart. Identify actions that need to be taken now to ensure best practice in future. (15 min.)
45 min. **45 min.** **45 min.**		Repeat as above for: • Health • Food security • Shelter
15 min.	**Plenary discussion**	Overall debrief: **Ask:** What have we learned from this simulation? • The accuracy of information collected is variable. • Different people provide different information, according to their experience and their points of view. • It is necessary to speak to multiple (3+) sources and use multiple (3+) methods. • It is necessary to analyze information—to think about the best way to bring it together and make sense of it. **Conclude** with the importance of triangulation and stakeholder analysis. (Different subgroups or individuals have different "sectoral" interests and voice on different issues.)

SESSION 4.9: ACTION PLANNING (1 HR.)

Objectives

- To regroup and prioritize action points
- To develop action plans, with specific time frames and people responsible

Materials

- Colored dots, at least five per person
- List of action points from previous sessions (on flip chart)

Facilitation

TIME	METHOD	CONTENT
5 min.	**Plenary: task instructions**	Review the action points. Identify broad categories that can be regrouped under train staff or partners, tools and systems, staffing, etc.
10 min.	**Individual task**	Individual task instructions: Let us revisit the list of action points identified throughout the workshop and vote with dots on them. Each participant has four blue dots to vote with. Place the dots next to the action points which you think are most important.
5 min.	**Plenary**	Participants vote with their dots, on the wall.
20 min.	**Group work**	Count up the dots (this can be done by the facilitator during an energizer or in plenary). Debrief on voting: The facilitator reads out the prioritized action points and organizes them in relevant categories. The facilitator asks the participants to form groups by organization, office or department. Based on the action points prioritized, each group will develop their own action plan for the coming year, stating **what** needs to be done, **who** will do it, **how**, and by **when**.
15-20 min.	**Plenary**	Each team presents its action plan.

ANNEXES MODULE 4

ANNEX 4.1.1 SIMULATION MEMOS

MEMO 1

LOGO

To: Emergency Response Coordinator
From: Caritas Executive Director
Subj: Planning Field Assessment

Caritas X would like to thank its partners in Emergency Response for their willingness to work together. The government has given its approval for Caritas and partners to conduct a participatory needs assessment in Chittagong District.

Please provide us with the plan for your field assessment.

1. What is your objective, and what information do you need to collect?
2. What methods will you use?
3. Whom will you talk to? (Who are the stakeholders? Consider the organizational strategy, e.g., Caritas' option for the poor, elderly, children, minorities.)

Make sure that when you plan the above, all gender and protection issues are taken into consideration.

Because of the urgency of the situation, I suggest that you delegate the tasks and form teams.

Please respect Caritas' commitment to Sphere, as well as the Red Cross and NGO Code of Conduct.

MEMO 2

To: Emergency Response Coordinator
From: Media Unit
Subj: Newspaper article

We have clipped the following regional articles from the *Simulation Times*:

The Simulation Times

Excerpts From the Region
17 June 2007, Dhaka. The Government of Bangladesh Disaster Management Bureau (DMB) reports that Chittagong has been struck by a cyclone and tidal surge. Radio communications from local officials in Chittagong received by DMB this morning noted severe flooding, destruction of houses and fields, 200 people reported missing and hospitals overcrowded with injured. People are desperately short of food, clean water and safe shelter.

MEMO 3

CARITAS LOGO

To: Emergency Response Coordinator
From: Caritas Executive Director
Subj: Planning Field Assessment

Thank you for your good work on the assessment planning.

The assessment teams will depart shortly for the field. Please make your final preparations, and be ready to carry out a rapid participatory assessment.

Remember, an assessment should look at people's coping strategies and the gap between what they are able to do to meet their needs and what the government and other agencies are able to provide.

MEMO 4

Government Disaster Management Bureau

To: Emergency Response Coordinator
From: Disaster Management Bureau
Subj: Cyclone and tidal surge

As you may be aware, a major disaster has struck Chittagong.

The local government offices are currently collecting information regarding the numbers affected and damage to property.

The information available so far is in the table below:

DISTRICT	SUBDISTRICT	UNION AFFECTED	SQ. KM	NUMBER OF VILLAGES	FAMILIES AFFECTED (AVERAGE FAMILY SIZE = 6)			DEATH
					WORST	MEDIUM	PARTIAL	
Chittagong	**Shandip**	8	25	46	5639	2669	1029	25
	Anowra	8	30	55	3251	1595	852	20
	Basskasli	8	30	45	4650	3200	1200	18
	Moheskhali	8	25	44	3500	2000	1876	26
		32	110	190	17040	9464	4957	89

You are hereby requested to attend an emergency coordination meeting in my offices, to begin immediately.

Please be prepared to present a list of the emergency relief resources that your agency has in-country and immediately available for this crisis.

Thank you.

MEMO 5

To: Emergency Response Coordinator

From: Media Unit

Subj: Newspaper article

We have clipped the following regional articles from the *Simulation Times*:

The Simulation Times

Excerpts From the Region

18 June 2007, Chittagong. More than 150 villages have been devastated by the cyclone that occurred two days ago. According to the government, 675 people have been reported killed in six *upazilas*. In village X (*please insert name*) there is confusion and panic over the number of missing. Mothers are hunting for their children and seeking news of their husbands, who might have been out fishing or on business at the time of the cyclone.

People are crowded into cyclone shelters and any area of high land. Mrs. X (*please insert name*) told me, "We are desperate. We have nothing to eat—please bring help."

Local NGOs have been slow to respond and if food is not distributed fast, starvation will set in.

ANNEX 4.1.2 OCHA REPORTS

OCHA Situation Report, No. 1
Numbers and Priority Needs

To:

From:

Subj:

Update:

No. 1

Unconfirmed NGO report of received by OCHA today.

Area(s) affected by crisis: Chittagong

At present no data on size or needs of affected population available. OCHA will continue to monitor agency reports and provide regular updates. On behalf of our partner, we appreciate receiving any confirmed information that your agency receives as this situation evolves. Thank you.

Priority Needs: search & rescue
emergency shelter

OCHA Situation Report, No. 3
Numbers and Priority Needs

To: Executive Director, Caritas Bangladesh

From: OCHA

Subj:	Update:	Bangladesh Cyclone & Sea Surge
No.	2	Field Assessment
Situation:		Chittagong
Reported Deaths:		675
Injured:		3900
Displaced		165000
Priority Needs:		Water, Sanitation, Hygiene
		Shelter, Blankets, Clothing
		Food, Cooking Fuel

Comments: Unconfirmed reports have been received that crisis may be much larger than expected. Affected population and areas are likely to increase.

Agencies Responding: Bangladesh Red Cross Society volunteer networks have started needs assessments. BRCS has stocks of NFIs and is receiving donations of food from non affected communities. BRAC and ASA have donated food to their members. The U.N. is organizing an interagency assessment and is inviting NGO staff to join the assessment team, particularly those with good local knowledge of the area and emergency experience. Based on this assessment, WFP food stocks, UNICEF school kits, UNICEF NFI kits and funding will be made available to local NGOs.

ANNEX 4.2.1 NEEDS ASSESSMENT ROLE-PLAY GUIDE:

(ONLY FOUR COPIES REQUIRED, FOR EACH OF THE FACILITATORS.)

DISTRICT OFFICE (Deputy Commissioner):

This information is available:

DISTRICT	UPAZILA	UNION AFFECTED	SQ. KM	VILLAGES	FAMILIES AFFECTED (AVERAGE FAMILY SIZE = 6)			DEATH
					WORST	MEDIUM	PARTIAL	
Chittagong	Shandip	8	175	264	27395	14917	4403	114
	Anowra	8	175	264	27395	14917	4403	114
	Basskasli	8	175	264	27395	14917	4403	114
	Moheskhali	8	175	264	27395	14917	4403	114
		32	700	1056	109580	59668	17612	456

BANGLADESH RED CRESCENT (DISTRICT OR UPAZILA OFFICE)

The Bangladesh Red Crescent has a large network of volunteers. In each upazila Red Cross volunteers are trained in early warning, rescue and first aid. They were active spreading the cyclone warnings by HF radio and loudspeaker, and they helped to manage cleaning and sleeping arrangements in the cyclone shelters.

Red Crescent volunteers have started registering families who are displaced and have distributed 8,000 survival kits in Chittagong district. Survival kits consist of food (rice, dal, spices, sugar, oil, tea) for a family of six for seven days.

The Red Crescent has put out an appeal for $1 million for emergency food, plastic sheeting, jerry cans, cooking kits, water point rehabilitation and reconstruction of houses.

VILLAGE HEALTH CENTER

The ground around the health center is flooded but the health center is still operational. The three staff are very busy. There are a nurse and two health assistants. They are seeing a sharp rise in the number of diarrhea cases. Today 36 cases of diarrhea came to the clinic. Also they are seeing a rise in cases of upper respiratory infections, with 12 cases today. This number is likely to increase as people spend more nights in the cold and wet, under bad shelter conditions. Immediately after the floods, a number of people came to the clinic with minor injuries, and some people who have traveled in from far away are still arriving.

The clinic has received supplies of oral rehydration solution and diarrhea treatment from the World Health Organization, as well as basic medicines for respiratory infections and injuries.

Malaria is a big concern and the clinic does not have malaria treatment medicines. There is no lab testing facility. The health workers are not up to date on diarrhea or malaria treatment protocols.

The clinic is cut off from the local hospital and lacks communications or transport to get severe cases to secondary care.

SHOP OWNERS IN TOWN

The market is still functioning. In fact, business is good. There is lots of demand because families are buying essential food and household items like buckets, cooking pots and stoves. There is plenty of rice, dal, cooking oil and spices. Prices have gone up a little, because of uncertainty about stocks, but they stabilized when it became clear that the central warehouses had not been damaged.

VILLAGE SHOPKEEPERS AND SMALL TRADERS

Prices have gone up because the road between the village and the town (50 km) is interrupted. The local businessmen have 2-3 tons of rice and dal but prices have gone up. One kg of rice is double what it cost before the cyclone, dal is one-third more expensive. Probably the roads will be cleared after two more days and then more rice and dal will be available from the town.

TRIBAL FAMILIES

Ten tribal/ low caste families are landless and very poor. They face discrimination in jobs and access to community services. Their houses were very weak and have been totally destroyed. They cannot sleep in the school or on the embankment because they are not allowed to mix with the other families. They are sleeping on wet ground close to their houses on the edge of the village. They are drinking very dirty water. They have not received any food rations

VILLAGE INFO

	MAN	WOMAN	CHILD (6 - 12 YRS GIRL)	VILLAGE LEADER	LOCAL RED CRESCENT VOLUNTEER TEAM LEADER
DEMOGRAPHICS					
How many people are affected	More than 600 families	More than 500	?	600 families	600 families
Family size	I have three children and my mother lives with us	I have three children and my mother lives with us.	I live with my father, mother and three sisters	Total village population is 3600	Average family size is 5+
What are people's likely movements?	On the embankment, at the school	Don't know	We saw many people going to the school	Embankment = 200 families School = 100 families The rest = stay with relatives and friends	Based on our survey: Embankment = 150 families School = 50 We don't know details for the rest.
Vulnerable groups	Three families have lost both the mother and father.	Three families have lost both the mother and father. The children have become orphans.	Our classmates have lost their fathers and mothers.	We think we will send the orphans to the orphanage in the nearby town.	We gave the three orphan families food and clothes. The village also has ten tribal families and five families with chronically ill people.
WATER AND SANITATION					
Water-related diseases	Diarrhea	Diarrhea and coughing	Fever and diarrhea	Lots of diarrhea, malaria, diseases	Diarrhea, coughing, dysentery. Big problem.
Vulnerable people/groups	My elderly mother, children	My elderly mother, children	?	All elderly and children, two families with disabled	Children, elderly, widows, 10 ethnic families
Equal access to existing facilities	Everyone had their own tube well and latrine.	Now it is difficult to collect safe water. Some poor families have problems with sanitation.	We are not using the latrine (it was destroyed by the cyclone) so we are going to toilet in the water. We drink the water mother gives us.	All water and sanitation systems have been destroyed so people are doing whatever they can.	Big problem: defecation in open water, drinking same water.

	MAN	WOMAN	CHILD (6 - 12 YRS GIRL)	VILLAGE LEADER	LOCAL RED CRESCENT VOLUNTEER TEAM LEADER
Security risks for women and girls	Don't know	I only go to toilet at night. Lack of privacy in shelters, sleeping in the open.	My mother took me at night to go to toilet, because she is scared to go alone.	No security risks	Women and girls are very vulnerable.
Current source of water	A few raised tube wells are still functioning.	Our tube well is not functioning, I have to collect from ½ km away by boat (simple float).	Now we only bathe every three days. We drink the water mother gives us.	Most tube wells are destroyed, installation of new tube wells for every family is urgently needed.	We will do a survey of tube wells soon.
Treatment	Don't know	I know I should boil water but I have no firewood so I cannot boil it.	I drink water when I am thirsty, I don't care where it comes from.	We need water purification tablets to reduce water borne diseases immediately.	We already supplied water purification tablets to the community leader but it is not sufficient.
Water collection and storage	Our women collect water with pitchers.	I collect 10 pitchers of water daily for drinking and cooking. I used to have three pitchers, now I only have one.	Sometimes I go to help my mother collect water. It is very heavy to carry and it is very far away.	We need tube wells.	Don't know
Mugs	We lost our mugs and drinking pots.	I am worried, everyone dips their dirty hands in the pitcher, we have no mugs.	I drink with my hands.	Don't know	Don't know
Hygiene, Soap	We don't use soap.	I want soap but I don't have any money.	What is soap? Why is it needed?	We only use soap for washing our body during bathing. Is it true it is needed after going to the toilet? It is too costly.	We are trying to do hygiene promotion but it is very difficult to change people's behavior.
Current Defecation practice	Early in the morning I go down to the edge of the water.	I go at night.	Any time, any where	It is a big problem for the affected people. In the school, the latrines are not usable.	We taught people last year how to dig a temporary ditch latrine but no one has done it, and we don't have the materials.
Normal practice	We had an open latrine but now it is flooded.	We had an open latrine but now it is flooded.	I used our latrine sometimes.	A few families had sanitary latrines, most had open latrines, some had nothing.	We tried to motivate the community to build sanitary latrines but they did not do it.
Normally wash hands	No	No	No	No	No

	MAN	WOMAN	CHILD (6 - 12 YRS GIRL)	VILLAGE LEADER	LOCAL RED CRESCENT VOLUNTEER TEAM LEADER
Is current practice a threat to water supplies?	Yes it is a threat.	Maybe it is a threat but we don't know how.	?	Definitely, but what can we do?	Definitely, but we are trying our best.
SHELTER					
How many houses have been totally destroyed?	The storm destroyed all the houses.	My two straw-made houses were washed away by the storm.	We are now living in our relative's house, and sometimes stay with some of our classmates.		
Where are people staying now?	Our house is partially damaged: out of three houses, the two straw houses are destroyed. I am sleeping in the third house, which had an iron roof and is okay.	Our house was straw and has been totally destroyed. I am sleeping in the shelter at the school with my husband and children. It is very crowded and dirty and I am nervous being surrounded by men and sleeping in the same room as them.	I am sleeping with my relatives in our village. My house was destroyed but my relative's house is okay.	Embankment = 200 families School = 100 families The rest = relatives, etc.	We estimate 50 percent of houses are totally destroyed. Two hundred families on the embankment are in terrible conditions, sleeping under blankets or bits of plastic.
How many people have no shelter?	Almost all of the families.	In our cluster more than 50 percent lost their only shelter.	So many people, I saw them sleeping on the embankment.	The people on the embankment have nothing, their houses are destroyed and they are sleeping in the open. The people in the school have lost everything too.	Our staff members are doing a survey. We have provided some relief material to the families on the embankment: 100 units of plastic sheeting and 150 utensil kits for the 100 people on the embankment and the 150 people in the school.
What are the risks to the life, health and security of people because of the lack of shelter?	There is a risk of disease; I am very worried that people will steal my farming equipment; and I am worried about the sexual harassment of my young wife and daughters.	I am worried about my children getting ill at school. One child already has diarrhea, another has a cough. Also, I feel unsafe living in the same room as so many men. And I am scared going to the toilet at night.	It is very crowded and uncomfortable at my neighbor's house.	The people sleeping on the embankment might die from the cold and wet. There is a risk of infectious diseases spreading very fast in the school.	The risk of water-borne diseases, respiratory infections and malaria is very high. People on the embankment are most exposed to disease because they are sleeping in the open.

	MAN	WOMAN	CHILD (6 - 12 YRS GIRL)	VILLAGE LEADER	LOCAL RED CRESCENT VOLUNTEER TEAM LEADER
What is the impact on the host population of displaced families?	?	?	?	I have three families staying with me. I have given them food but now I have little left for my own family. I share my water with them and sanitation arrangements but this is a real problem.	?
What is the impact on household activities that normally take place inside the home?	I keep my agricultural tools (spade, copper, plough seeds) in the house. My seeds are ruined. My cattle shed is destroyed.	Our poultry and ducks were killed. We had a goat but he is gone. My straw-made cooking house is destroyed.	My school books and my certificates are ruined.	This village was mainly agri – farming. Some fishermen. Some small traders. So much has been destroyed.	A lot has been destroyed. We are not focusing on that now as we are more worried about immediate food, shelter, wat-san concerns.
What was the design of the village houses?	Single roof with bamboo and wooden structure. One house with a tin roof.	Our house was made of bamboo, straw and polythene.		I have a wood and bamboo structure twin roof.	House quality depends on the level of poverty. The poorest families have houses made of bamboo, straw and polythene. Better houses have roofs with wood or bamboo structures.
HOUSEHOLD ITEMS					
What remains post-cyclone?	I lost everything from two houses, except for some clothes, some bedding. The kitchen and all utensils were washed away. I lost my spade, copper and plough.	We lost mosquito nets, bedsheets, blankets, cooking utensils, cooking pots, clothes and cots. We have one pitcher for water. We lost firewood and our portable stove.	I lost my school books, clothes, eraser and toys. My neighbor's house was okay, they didn't lose much.	Nothing is left. Everything is gone.	We are only providing food but NFIs are under active consideration and if people demand it we will request Chittagong office for supplies.
FOOD SECURITY Before the disaster, what was your main source of income?	I am a sharecropper, I rent my land. I grow rice and vegetables, and sell the vegetables in the market. Also daily labor for money to buy food.	I am a day laborer. I am landless. I earned a little money from poultry. We eat when we have food but sometimes we have no food.		Crops and cultivation are the main sources of income. Sometimes day laborers get work but sometimes they have to go far. 20 percent landowners 10 percent small business 60 percent day laborers 10 percent rickshaws or beggars	Usually the area is very productive. But many people suffer from lack of food especially in the months of Oct-Nov

	MAN	WOMAN	CHILD (6 - 12 YRS GIRL)	VILLAGE LEADER	LOCAL RED CRESCENT VOLUNTEER TEAM LEADER
Before the disaster, what food or income did you have in June?	June is aus + aman planting season, so there is labor in the fields.	My husband does day labor in the fields planting rice.	Usually we have food in June.		
Food stocks pre-disaster?	We have a little food stored from the last harvest in April.	We have no food stocks.	In December we eat well but at other times of year we don't have enough food.	Twenty percent have food stocks for six months but some have been destroyed. Other people have no food stocks. Day laborers have no other income.	People have 200 days of food security normally but after a disaster this reduces enormously.
Livestock pre-disaster?	Two cows for cultivation	Few poultry	-	Thirty percent of families had at least two cows, 80 percent had poultry.	Thirty percent of families had at least two cows, 80 percent had poultry.
Post Disaster, what food do you have?	Some food stocks were destroyed. I have enough food to last one month, but I need to sell some to repair my house. We are eating two meals a day.	I am managing. I collected some rice from my neighbors for cooking. I sent my children to the embankment where the relief was distributed, we got seven days' ration.	We are eating only two times a day (usually three) sometimes bread, sometimes rice.	Food is a real problem; we need food support. It is an emergency. All stored food and agricultural crops are damaged. People are suffering a lot. If possible, distribute food immediately.	Distributed seven days worth of food for 200 families on the embankments. The next harvest is one month away at the earliest (late amal). But the people need food support
Where will you get food from for the next two months?	My aus crop has been destroyed. My only hope is to plant aman. But I don't have aman seedlings. I will have to sell something to purchase seeds and food	My husband will have to go to the city or other upazila areas to look for work. We will sell my poultry if we have no food, or I will sell my ornaments. I will do domestic work to earn money.	We don't know what our parents will do. I will stop school and help my father and mother.	We need one month's relief for all 600 families.	We haven't surveyed longer term needs, only immediate relief.

ANNEX 4.2.2 PHOTOGRAPH CAPTIONS

Displaced people from the flood area start to arrive in Chittagong.

Relief supplies start arriving at the nearest international airport.

Parts of Chittagong city are also flooded, making transport and communication difficult.

“We are walking to try and find clean water. We cannot swim, and we are afraid the water will get deeper. We don’t know where to go to get clean water. But we have to try, for our children.”
— Village women interviewed in the upazila

“We came to the shelter as soon as we heard the cyclone warning on the radio. We told our neighbors, and they are here, too. The conditions are really cramped, there is hardly enough room to lie down at night. We want to go back to our house, but it is under water, and the roof was ripped off. Soon we will run out of food.” — Man in cyclone shelter

“Even the embankment wall is under water. But at least the cattle that got here are still alive. All the others must have drowned. Clearing up their dead bodies will be a really big job.” Local villager

“At the moment we are concentrating on emergency shelter, but when the water recedes and people start going home, they are going to need help rebuilding their homes.”
— Representative, Chittagong Cyclone Relief (local NGO)

“The flood water has disrupted the fishing. I have spent hours in the water and haven’t caught anything yet.” Local fisherman

“Our fields are flooded. But we don’t know how bad the damage will be until the waters recede. If it drains away quite quickly, then maybe some of our crops will survive.” — Local fisherman

“We’ve distributed more than 8,000 survival packs to people in temporary camps around the city. The stuff is left over from the crisis here last year. We’ve got lots of volunteers helping out. The packs contain one to two weeks’ worth of food for a family of six: rice, dal, sugar, oil , tea and some spices. We could distribute a lot more if we had more.” — Red Cross volunteer coordinator

“All the mobile phone networks are down. We are using our VHF radio network. But it only has local coverage. We are so busy we can’t let everyone use it; we have a lot of requests, but the Red Cross is the priority.” — Red Cross radio controller

“We have no idea how many affected there are yet. People just keep coming into town from the villages around here. It’s really hard to keep track. I’ve been all over town.... I don’t know … the people arriving have lots of complaints and requests … but they don’t seem all that bad off. It’s hard to know what’s what.” — Official, City Council

"We are using the flood water to wash in, to cook with and to drink. We have no choice."
— Village woman

"Boats and helicopters. Those are the top priority for us at the moment. We need help just getting to the worst affected areas. In the long run, all this damage to our roads and bridges is going to be crippling for farmers and small businesses trying to get their goods to market."
— Local official, City Council

"We have donated some basic medical supplies: antibiotics, serums, antidiarrheal medicines, rehydration salts and analgesics. We have given 20 kits to local clinics, but we haven't been able to access the worst affected areas yet." — WHO official

"We've got a couple hundred tons of rice in our warehouse left over from last year's disaster, but nothing else. Not a balanced diet. We'll distribute what we've got. If we get more, we'll distribute more." — Red Cross volunteer, Relief Operation

"We distribute food for a big WFP [World Food Program] in the south … we're seeing if maybe we can divert something up here … but people in the south down there need it as much as anyone here. Maybe more. It's a tough call, you know?" — Food Relief (local NGO), Coordinator

CLINIC

"Incredible number of diarrhea cases. I would definitely call it an epidemic. We could really use a truckload of oral rehydration salts. I've been showing people how to make ORS out of water, sugar and salt, but so far they haven't got access to clean water to make it. Did you bring any water testing kits? We lost all of ours in the flood. I've got to be able to tell people whether or not they can drink the water, and right now I can't do that." — Nurse, Clinic

"Mosquitos are really bad now. We have a lot of malaria cases. A lot of people in the town are complaining of fever, joint pains, chills. I'm sorry, we're very short of staff at the moment. I really have to get back to my rounds." — Nurse, Clinic

"What I really need right now are basics: bandages, rubbing alcohol, antidiarrheals, antibiotics. I'm still treating snakebites. And people just keep coming. Lots of malaria. With all the standing water, the overcrowding, one mosquito can infect dozens of people." — Doctor, Clinic

"Diarrhea. That's the number one problem here right now. So many children have it. It seems to be spreading very quickly." — Nurse, Clinic

MARKET

"We are selling buckets and cooking pots out of our house. Now, this is just what everyone needs here. We're the first people to get a store going. Business is booming!" — Shop owner

"The price of rice has gone up 100% in the past few days. I have just spent my last bit of money on enough rice for today, but what about tomorrow?" — Woman shopper, Market area

Displaced Camp

"The waters were so high. All the food in the village is destroyed. Over 1,000 cows have died. We came here with our family." — Flood-displaced man, Displaced Camp

"My wife and I spent the night on a tree branch. We couldn't climb down because we had no idea how deep the water was. She is 5 months pregnant. She lost both her parents and her two brothers in the flood." — Flood survivor, Displaced Camp

"It could be worse. At least we got a tent from the Red Cross. This should be okay for a while, but I don't know what we are going to do after that. Even in the tent, it's cold at night. The kids are already starting to cough." — Flood survivor, Displaced Camp

"We don't know exactly how many people there are here. It's many thousands. It's hard to tell; people keep arriving, although less so each day now." — Red Cross volunteer, Displaced Camp

"We've been hit so hard. But if the rains stop and the waters recede, the people would go home tomorrow. No one wants to be here. But they say more rain is coming."
— Red Cross volunteer, Displaced Camp

"The children are in the worst shape here, especially those living near the river. There are loads of mosquitoes, lots of malaria. The kids are playing and bathing in the dirty water. I'm afraid they're going to get really sick, like hepatitis or something." — Volunteer, Displaced Camp

"My brother won't stop crying. He's only one year old. He has bad diarrhea. And he's really hungry too. Do you please have some food I can give him?" — 10-year-old girl, Displaced Camp

"I want my mom." — Crying child, Displaced Camp

"I made it here with a few of the kids from my village. So many didn't make it out of there. The waters came so fast. We've all lost family. Please send food. The kids are so hungry. Please."
— Woman, Displaced Camp

ANNEX 4.3.1 COORDINATION: WHO IS DOING WHAT, WHERE, FOR WHOM AND FOR HOW LONG?

WHO?	WHAT	WHERE	FOR WHOM?	FOR HOW LONG?
Bangladesh Red Crescent	6,000 survival packs of 7 days rice, dal, sugar, tea, spices for 6 people. 2,000 packs of water purification tablets (10 tablets per pack).	200 packs in 30 villages, 5 villages in each union, total of 6 unions. One union is Bangarchar. 200 packs per village in 10 villages including Bangarchar.	For families with totally destroyed houses.	7 days. 1 tablet for 10 liters water, so 10 liters a day for 10 days
Government	40 crore Thaka for food, and essential items.	Divided evenly between 4 upazilas, 8 unions in each upazila.	Disaster-affected. Union DMCs will do lists of disaster-affected families.	Each upazila will deliver assistance as quickly as possible.
WHO	Basic medicine kits and ORS.	250 villages in worst affected areas of Sadar, Usmanirchar, Bangarchar, Sangarso, Matibalga, Azimnagar, Rahamathpur, Nilkamal.	Health clinics with staff actively working to help the disaster-affected.	3 months of basic medicines. ORS might last 1–2 weeks depending on scale of problem.
BRAC / ASA	Food package (10 kg rice, 2 kg dal, 1 liter oil) per family.	Every upazila where they have members	Only for credit and saving members.	One-off, 1-week ration.
WFP	Has warehouse of food in Chittagong. Needs local partners to distribute food.	Stocks are in Chittagong.	Disaster-affected families.	Will give 1-month ration.
ActionAid	Assessing now. Is planning shelter assistance for people living in the open.	Not decided yet. Previous programs in Shandip and Anowra upazilas, probably relief in same areas.	Families with totally destroyed houses.	6-month program of assistance.
Oxfam	Hygiene packs with bucket, soap, mugs, female hygiene items (menstruation), toothbrush and toothpaste. Plan water point rehabilitation.	Baskasli and Anowra upazilas, where they have long-term programs.	Female-headed households, widows, orphans, low castes and tribals.	Will distribute by the end of this month. 1-month soap ration.

ANNEX 4.3.2 FACILITATOR'S GUIDE NUMBER OF PEOPLE AFFECTED

LEVEL	TOTAL NUMBER AFFECTED	0-4 YRS	5-9 YRS	10-14 YRS	15-19YRS	TOTAL UNDER 19	20-59 YRS	60+ YRS	PREGNANT	BREASTFEEDIN	M	F
District	186860	22423	22423	20555	18686	84087	91561	13080	4672	4672	95299	91561
Upazila	46715	5606	5606	5139	4672	21022	22890	3270	1168	1168	23825	22890
Bangarchar union	12700	1524	1524	1397	1270	5715	6223	889	318	318	6477	6223
Village	3600	432	432	396	360	1620	1764	252	90	90	1836	1764

ANNEX 4.7.1 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 that 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? Identify geographic areas that these actors cover.

What? Gather information on their existing and future project activities.

How? Gather information on their strategies, approaches and the people their project serve.

Coverage? Gather information on the numbers of the people they will work with.

When? Know when the assistance was given, what period it was meant to cover and for how long it will continue.

ORGANIZATION (WHO)	STRATEGIES AND APPROACHES (WHAT, HOW)	GEOGRAPHIC AREA (WHERE)	PROJECT PARTICIPANTS (COVERAGE)	DURATION OF ACTIVITIES (WHEN)	COMMENTS ON THE QUALITY OF THE ORGANIZATION'S PROGRAMMING

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 5:
Analysis and Project Design

~~(2½ days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 6: Technical Design and Distributions (2 days)

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together (2½ days

CRS
CATHOLIC RELIEF SERVICES

TABLE OF CONTENTS

MODULE 5: ANALYSIS AND PROJECT DESIGN
(2½ DAYS)

Objective

- To analyze assessment information and develop an emergency response strategy and results framework

Expected Results

- Participants are able to use various tools for analysis, such as problem trees, ranking matrices, conceptual frameworks, gap analysis and capacity analysis.
- Participants are able to develop gender-responsive, innovative, appropriate emergency response strategies.
- Participants are capable of taking appropriate decisions on targeting and scale.
- Participants are able to develop a results framework.

Brief Overview and Tips

In this workshop participants share their experiences of using tools for analysis, and practice using matrices to organize information from an initial emergency assessment and to prioritize problems. The assessment findings are compared with the gap analysis and organizational capacity analysis. The participants increase their understanding of gender-responsive programming and use a prioritization matrix for strategy selection. Then the participants practice making targeting and scale decisions. By the end of the workshop participants are capable of developing a results framework and applying tools in proposal development.

- Participants should have copies of the Sphere Handbook.
- Timings are for participants with good English and some experience of emergencies and program development. More time will be needed if sessions are given through an interpreter or to less experienced participants.
- If participants are already familiar with analysis tools such as problem trees, gap analysis and capacity analysis, then take the shorter option for Session 5.1 and adapt Session 5.2 to draw out lessons learned rather than learning how to use the tools.
- Handouts can be adapted to the local context, or recent examples from real emergencies can be used.

Session 5.1	Introducing Analysis Tools: Problem Tree, Matrices and Conceptual Frameworks	(3½ hr.)
Session 5.2	Gap Analysis and Capacity Analysis	(1½ hr.)
Session 5.3	Program Objectives and Program Components	(1¾ hr.)
Session 5.4	Gender-Responsive Programming	(2 hr.)
Session 5.5	Strategy Selection	(1½ hr.)
Session 5.6	Targeting and Scale	(1½ hr.)
Session 5.7	Means-to-End Logic: Results Frameworks	(1 hr.)
Session 5.8	Putting It Together	(1 hr.)

Further Resources

- Sphere Handbooks
- ProPack I

SESSION 5.1: INTRODUCING ANALYSIS TOOLS: PROBLEM TREE, MATRICES AND CONCEPTUAL FRAMEWORKS (3½ HR.)

Objectives

- To understand the importance of a good analysis of the information collected in the assessment
- To reflect on various tools that the participants can use to analyze assessment information
- To develop problem-analysis skills

Key Messages

- 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 lifesaving, which carry associated risks, and so forth. 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 and where.
- Conceptual frameworks can be useful to help organize information in a way that makes sense of it all (as well as helping us think of questions to ask during an assessment). Some conceptual frameworks provide “tested” causal logic somewhat comparable to problem trees, while others do not.

Materials

- ProPack I: Problem Trees, pp. 76–80
- Handout 5.1.1: Example of a Problem Tree
- Handout 5.1.2: Tools for Analysis (from ProPack I)
- Handout 5.1.3–5: Group 1–3 Assessment Forms
- Handout 5.1.6: BBC Cyclone report
- Handout 5.1.7: Information and Prioritization Matrices
- Sphere Handbook Conceptual Framework for Malnutrition, p. 136
- Handout 5.1.8 Conceptual Frameworks

Facilitation

TIME	METHOD	CONTENT AND FACILITATION NOTES
30 min.	**Small group work**	**In small groups, reflect on your experiences of doing the problem analysis after an emergency assessment. (Or draw on general project design experience.)**

	Plenary discussion	**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 min.)
		Round robin debrief, one question at a time.
		Facilitator posts challenges on the wall, under the relevant categories (knowledge, skills, attitudes). (15 min.)
		Make sure this reflection is done in detail, including challenges related to use of problem tree, etc.

PROBLEM ANALYSIS—PRIORITIZATION		
20 min. (+30 min.)	**Plenary Discussion**	**(a) Distribute or project the example of a problem tree (if participants have little or no prior knowledge of problem trees, spend some time introducing and explaining how they work, (refer to ProPack I, pp. 76-80). Ask participants for their opinions: Is this a useful analysis of the problem? What are the advantages and 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 links, because the cause is the disaster
10 min.	**Presentation**	(b) Explain that in the first stages of an emergency response, the immediate necessity is to organize information and prioritize needs. These two steps can be done using matrices (simple tables): the first to present assessment findings by location and by sector and the second to prioritize problems as perceived by different subgroups within the community.
40 min.	**Exercise in plenary**	(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, nonfood items (NFIs), water, sanitation, etc. The table, when complete, presents the assessment findings organized by sector and geographic location.

TIME	METHOD	CONTENT AND FACILITATION NOTES
20 min.	**Explanation**	In this exercise we will practice analyzing initial assessment data, as you would in an emergency. Three participants will be facilitators, and the others will form three 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 turns to facilitate and write notes. (Distribute the assessment forms to each group and invite the facilitators to come to the front and prepare a large matrix to fill in during plenary. Start the exercise.)
30 min.	**Group exercises**	(c) The next step is to prioritize problems as perceived by different subgroups 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) 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 lifesaving 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.
15 min.	**Presentations**	(d) One group presents their matrix. Other groups ask questions and make comments and suggestions.
15 min.	**Discussion**	(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.
30 min.	**Plenary discussion**	Conceptual frameworks can help us to frame the problem and identify the right level of analysis. Turn to the conceptual framework showing the causes of malnutrition (Sphere Handbook, p. 136). The layers of the framework correspond to the different levels in a problem tree, with malnutrition as the central problem, inadequate dietary intake and disease as immediate causes, and intermediate and then underlying causes below that. Ask participants what other conceptual frameworks they know. Share these frameworks and discuss how they can help during the analysis process. See that some map out proven causal relationships (malnutrition), while others look at the parts that make up the whole (WASH: Water, Sanitation and Hygiene for All triangle).

SESSION 5.2: GAP ANALYSIS AND CAPACITY ANALYSIS (1½ HR.)

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. Catholic Relief Services and our partners need to make 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 our 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 in meeting urgent humanitarian needs because of information gaps at the interagency 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 5.2.1: Coordination (gap analysis)
- Handout 5.2.2: SWOT Analysis (SWOT is strengths, weaknesses, opportunities, threats)
- ProPack I: Gap Assessment, Looking at Strengths, pp. 58–59

Facilitation

TIME	METHOD	CONTENT
1 hr.	**Presentation**	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, i.e., 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 min.)
	Group work	**Group work:** Using the capacity analysis and gap analysis handouts, review the prioritization matrix and decide what issues you want to focus on. (30 min.)
	Discussion	Each group tells about the issues they have decided to address. Then go round and ask each 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. (20 min.)
30 min.	**Presentation**	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. (10 min.)
	Pair buzz	Ask participants to form pairs and brainstorm lessons learned based on their experience of coordination in emergencies. (10 min.)
	Discussion	Share ideas and sum up with Key Messages. (10 min.)

SESSION 5.3: PROGRAM OBJECTIVES AND PROGRAM COMPONENTS

(1¾ HR.)

Objective

~~•~~ To practice defining strategic objectives (SOs) and identifying components of program strategy, drawing on analysis tools and the Sphere Handbook

Key Messages

- Explain that in an emergency context, our SOs are typically sector specific, and each may be a different prioritized problem. They result from the same disaster but may not be otherwise related (which is different from a "developmental" context).
- The Sphere Handbook can tell us what components we need to look at (based on industry-recognized conceptual frameworks or theories of change).

Materials

- The Sphere Handbook

Facilitation

TIME	METHOD	CONTENT
5 min.	**Introduction**	**Defining objectives:** Explain that in an emergency context, our SOs are typically sector specific, and each may be a different prioritized problem.
10 min.	**Individual or pair work**	Ask participants to define their SOs, based on the problem analysis, gap analysis and capacity analysis above. That is, where a problem has been identified as a priority, and the gap analysis and capacity analysis show that it is something we should address, frame this as the program objective. **Tip**: Write the objective statement in the present tense to describe the desired state you wish to achieve by the end of the program, for example, disaster-affected families in District X are living in safe, hygienic conditions.
15 min.	**Plenary discussion**	Participants read out their SOs. Give feedback. Do they define who and when? Do they describe the solution to an identified problem?
10 min.	**Introduction**	**The next step is to decide how the objective will be achieved—the implementation strategy. What approach will be used to address this problem? How will the causes of the problem (SO level) be addressed? The intermediate results (IRs) are used explore this level.**
	Instructions	The Sphere Handbook can be useful in identifying the different components of a response and formulating potential response strategies, for example: • Components of each chapter: WASH, p. 54; food, p. 106; shelter, p. 206; health, p. 252 • Malnutrition conceptual framework • Food security responses: Appendix 3, p. 177 • Standards, indicators and guidance notes
30 min.	**Small group work**	Divide the participants into four groups, with each group taking a sector that corresponds to one technical chapter of the Sphere Handbook. Use objective statements from the above exercise, or use the following examples. The disaster-affected population in District X 1. has access to water, sanitation and hygiene facilities. 2. has adequate, nutritious food for all family members. 3. is living in safe, adequate, durable shelter. 4. has improved health. Each group works with the corresponding chapter of the Sphere Handbook (WASH, food security, shelter, health) to brainstorm all the potential components of a potential WASH, food, shelter or health response. Note any technical considerations that will have to be taken into account when deciding which strategies can be implemented.
30 min.	**Discussion**	Each sectoral group shares the components of a potential response as well as technical considerations.

SESSION 5.4: GENDER-RESPONSIVE PROGRAMMING (2 HR.)

Objectives

- To understand how emergency response strategies can respond to women's practical and/or strategic needs and support them in their productive, reproductive and/or community roles
- To understand how faulty or incomplete assessment or analysis can bias strategy selection

Key Messages

- There is no point in collecting gender-disaggregated assessment (or M&E [monitoring and evaluation]) information if we don't do anything with it.
- Disaggregating assessment and M&E data is necessary but not sufficient to make a project gender-sensitive; ensuring 50-50 participation of men and women in project activities is appropriate in many contexts, but it is not enough to make programming gender-responsive.
- To respond to the immediate needs of women, it may be necessary to include both men and women in our project activities.
- While responding to the immediate needs of women, it may be possible to address structural needs, for example, by giving women a voice in community decision making. Emergencies can be an opportunity for change!
- There is no "right" way to involve women in emergency programs. It is important to be flexible and creative in developing the best strategy to respond to a given situation.

Materials

- ProPack I, p. 190
- Handout 5.3.1: Gender and Emergency Response
- Handout 5.3.2: Gender in Emergency Programs

Facilitation

TIME	METHOD	MESSAGE AND CONTENT
10 min.	**Plenary game**	**Ask participants to define gender. Introduce a quick game to practice distinguishing between gender and sex. Hold up one flash card at a time and participants have to shout out whether it is a cultural norm or a sexual characteristic.** ***Prepare flash cards in advance, one statement per card, and make sure everyone can read them:*** • Women have long hair. Men do not. • Men can grow beards. Women cannot. • Men play football. • Women cook food. • Women have babies. • Men do strong physical work. • Other.
10 min.	**Plenary discussion**	Discuss. Sex is about the physical characteristics that define men and women. Gender is about the social and culturally assigned roles or values assigned to men and women.
10 min.	**Plenary discussion**	Ask participants to think about women's role in society. Broadly speaking, their role can be divided into three categories: reproductive, productive and community. Give some examples of each, and ask participants to complete. These categories can help guide assessment and analysis. A gender-responsive program can respond to women's needs in any or all of these areas. A program can respond to practical needs or strategic needs. Read the definitions of these (see ProPack I, p. 190). Ask for examples of each.
20 min.	**Group work**	Form groups and distribute one scenario to each group (Handout 5.3.2) Read the scenario and answer the following questions: • Is this an example of meeting practical needs or strategic needs? • What will the results of this scenario be? • Do you have any recommendations, and if so, what are they?
20 min.	**Plenary**	Each small group presents to the large group, starting by reading its scenario.
10 min.	**Plenary**	Discuss what you learned from this exercise and sum up with Key Messages.
20 min.	**Group work**	Return to the previous exercise and your old groups, one for each sectoral objective (WASH, food, shelter, health). Look again at your list of components and list of three examples of components that meet women's practical needs and three examples of meeting women's strategic needs.
20 min.	**Plenary sharing**	Each group reads its list. Correct or discuss any confusion about practical versus strategic needs.

SESSION 5.5: STRATEGY SELECTION (1½ HR.)

Objective

- To use the prioritization matrix (from Session 5.1) to rank different implementation strategies against a range of criteria

Key Messages

- What we want to achieve (SO) may need to be revisited depending on how we want to achieve it; for example, if we do not have the technical capacity to implement it (e.g., we may have tentatively decided that water security is a priority need that we have the capacity to respond to, but if the best solution in the specific case at hand is a very high tech delivery service, we may decide we're not the best to respond in that sector after all).
- There are many possible ways to address a single problem.
- Strategies to respond to a situation of food insecurity can include food distributions, cash-for-work (CFW), vouchers, seeds and tools, seed fairs, stoves and fuel, nutrition education, income generation and livelihood support, and so forth.
- Each method has advantages and disadvantages, and these must be analyzed and compared before deciding which will be used.
- Strategy design needs to be participatory and contextualized; there is no one-size-fits-all.
- In any given sector, there are multiple strategies that can be adapted, and these different strategies can be ranked using criteria such as quick; cost-effective; addressing underlying causes, not just symptoms of problems; meets women's strategic as well as practical needs; or technically feasible to meet Sphere standards.
- The stakeholder analysis can inform the project strategy. For example, you may have identified a marginal group of households that deserves special attention, or a powerful group whose influence and interests should not be ignored.
- Be prepared to reconsider and adapt based on the changing needs and gaps on the ground. For example, increasing local coping mechanisms may mean moving from food distributions to CFW and cash grants or vouchers once the markets start to function or moving from blanket plastic sheeting distribution to more tailored shelter reconstruction support.
- Remember Sphere Common Standard 1, "The disaster-affected population actively participates in the … design … of the assistance program."

Materials

- Sphere Handbook pp. 177–79, 28–29
- Examples of Bid Comparison Forms (to hand out or on PowerPoint)
- Handout 5.5.1: Food Security Response Matrix (Example)
- ProPack I: Strategy Review Questions, pp. 93–94

Facilitation

<table>
<tr><th>TIME</th><th>METHOD</th><th>CONTENT</th></tr>
<tr><td>20 min.</td><td>Plenary discussion</td><td>
This session will start with a discussion on food security and the introduction of a tool to prioritize (or rank) potential strategies based on a set of objective criteria.
Start by asking: If you decide that your objective is “IDPs [internally displaced persons] have access to sufficient food,” what strategies could you use to achieve this objective? Review the problem tree in Handout 5.1.1 and the food security conceptual framework in Handout 5.1.8 to refresh your memory of the range of possible causes of food security. The facilitator writes ideas on the flip chart:

Free food distribution
Communal kitchens
Tokens to exchange for food with local registered suppliers
Food or tokens for work (CFW)
Lobby government or U.N. for government assistance
Provision of seeds and tools
Income generation support
Distribution of pots and cooking fuel to assist in food preparation

Ask participants to turn to p. 177 of the Sphere Handbook to read about different responses to food security.
</td></tr>
<tr><td>15 min.</td><td>Introduction</td><td>
Introduce group exercise: Discuss the prioritization matrix as a tool to determine which strategy would be appropriate for the emergency context.
Based on the scenario of the cyclone scenario (Handout 5.1.1) and subsequent exercises, what questions would you ask (what criteria would you use) to rank different program implementation strategies?
List relevant criteria:

Is it the quickest way to meet urgent needs?
Is it cost effective?
Are the underlying causes of the problem addressed rather than just its symptoms?
Can women’s strategic and practical needs be met?
Do we have the technical capacity to comply with Sphere standards?
Will interventions be sustainable?
Other.

Draw the matrix on board (or flip chart) and explain the ranking process (fill in certain columns, if needed to illustrate logic). Pass around (or project) an example of a bid comparison form, and explain how it is similar to the system used to compare supplier bids in the procurement of a computer, for example.
<table>
<tr><th></th><th>COST</th><th>GENDER</th><th>SUSTAINABILITY</th><th>SPEED, ETC.</th></tr>
<tr><td>Food for work</td><td>3</td><td></td><td></td><td></td></tr>
<tr><td>Vouchers</td><td>1</td><td></td><td></td><td></td></tr>
<tr><td>Food distributions</td><td>5</td><td></td><td></td><td></td></tr>
<tr><td>Seeds, etc.</td><td>2</td><td></td><td></td><td></td></tr>
</table>
Rank on scale of 1–5, with 1 = poor and 5 = good
Give some tips to participants:

You are effectively ranking strategies against each other—it may help to rank all the strategies against one criteria, working column by column rather than scoring one strategy at a time (or working row by row).
You may want to allow groups to give increased weight to some criteria as opposed to other. You may allow some criteria to be “pass or fail.”
You can decide how to make the matrix work best for you.

</td></tr>
</table>

TIME	METHOD	CONTENT
30 min.	**Group work**	**Group exercise:** In five groups, develop a "prioritization matrix" to rank (with agreed upon criteria). Allow groups to debate and come up with final score.
30 min	**Plenary**	**In plenary:** Develop one common matrix with agreement on scores for each cell. Discuss strategies as you score. Explain, for example, why distributions are *not* cost effective; how gender may be a challenge in CFW programs if men generally engage in unskilled labor; and so forth. Conclude with Key Messages. Spend time sharing ideas on how to ensure the active participation of the disaster-affected population in the program (Sphere Common Standard 1). Read together or hand out for homework reading ProPack I Strategy Review Questions.

SESSION 5.6: TARGETING AND SCALE (1½ HR.)

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 two 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 the worst affected areas.
- Blanket targeting of disaster-affected families is often the quickest and most 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 decisions need to be revisited (along with other intervention decisions) over time. For example, a program may start with blanket coverage, then introduce more targeted criteria for next phase of support, and so on.
- Stakeholder analysis (see Module 3, Session 7) can inform targeting decisions.

Materials

- Handout 5.6.1: Targeting Case Study
- Sphere Handbook Common Standard 4, pp. 35–37
- ProPack I: Stakeholder Analysis

Facilitation

TIME	METHOD	CONTENT
10 min.	**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 two 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 min.	**Group work**	Distribute targeting exercise to the groups. **Group Exercise:** Your organization is responsible for providing humanitarian relief in three 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 min.	**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 trade-offs (e.g., serving affected people less 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. For example, how will people in Villages A and 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 the people we serve in setting the criteria)? Refer to Sphere Common Standard on Targeting (Indicator 2; Guidance Notes 2 and 3). **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 people. • Revisit targeting decisions and revise them based on changing needs and updated gap analyses.

SESSION 5.7: MEANS-TO-END LOGIC: RESULTS FRAMEWORKS (1 HR.)

Objective

To define intermediate results (IRs) based on the chosen program strategy

Key Messages

- A results framework is an easy-to-read diagram that gives a snapshot of the top three levels of a project's objectives hierarchy: goals, SOs and IRs.
- There is a means-to-end relationship among the IRs, SOs and goals.
- Intermediate results state the expected change(s) in identifiable behaviors by ~~program participants~~ in response to the successful delivery and reception of program outputs. These results are called "intermediate" because progress at this level is a necessary step toward achieving the SOs.

Materials

- ProPack I, pp. 98–101, 105–106
- Handout 5.7.1: Example of a Results Framework

Facilitation

TIME	METHOD	CONTENT AND FACILITATION NOTES
15 min.	**Plenary discussion**	Draw a results framework diagram and explain how it works and why it is useful (see Key Messages section above). Depending on the group, Handout 5.7.1 may or may not be useful.
20 min.	**Small group work**	In groups, participants define the desired changes for the strategy selected in Session 5.5. Phrase the change in the present tense, as a behavior that is practiced, activity being implemented, and so on.
25 min.	**Plenary sharing and discussion**	Members of each group write their IRs on pieces of paper. Read them aloud and place them on the board under the SO (defined in Session 5.3). Review the causal links (means-to-end logic) that leads from the IRs to SOs to Goal.

SESSION 5.8: PUTTING IT TOGETHER (1 HR.)

Objective

- To review different tools for analysis and understand how together they contribute to proposal development and help us to achieve excellent emergency response programming

Key Messages

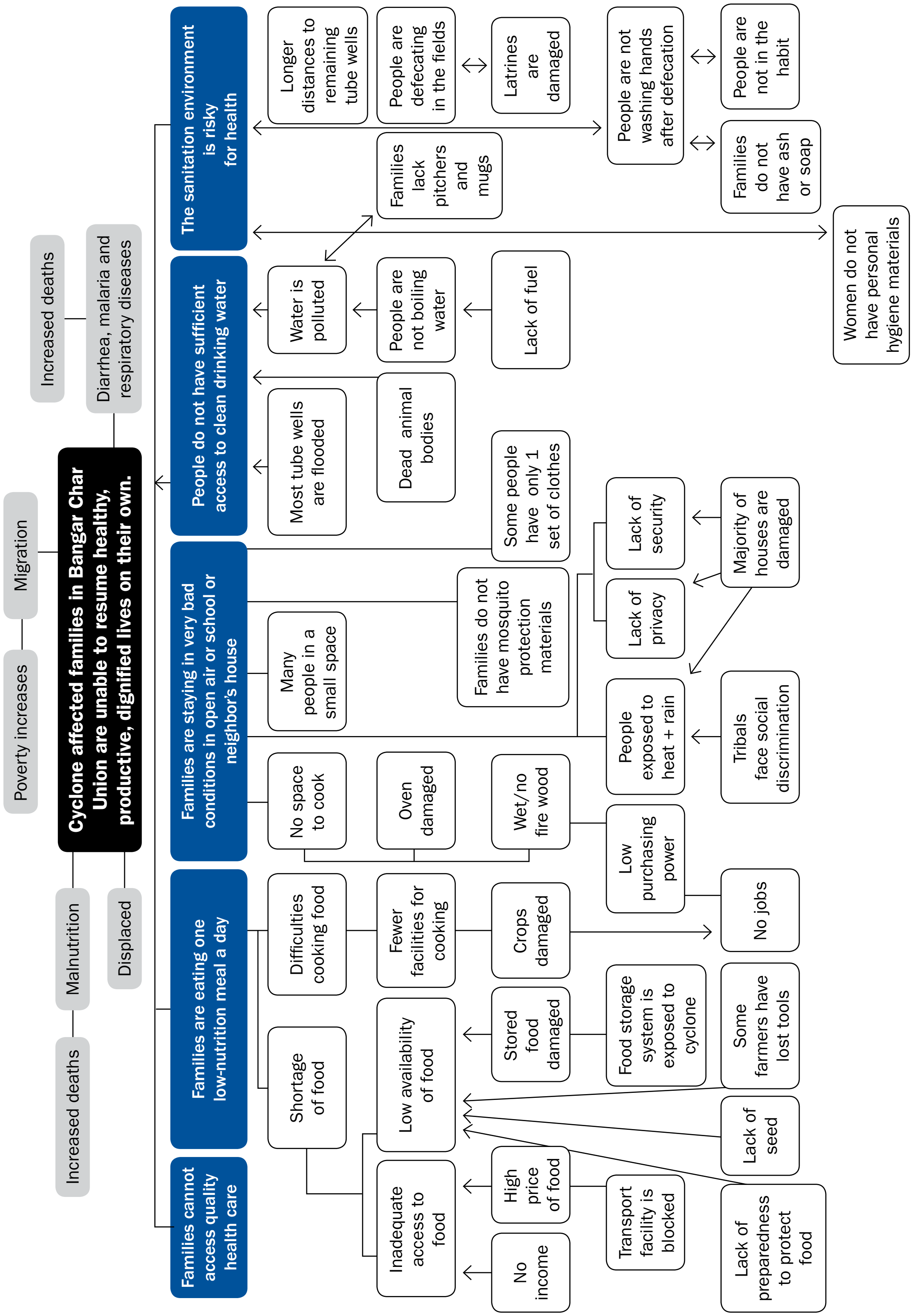
- The tools included in this training are only a selection of the many tools available. Use tools to meet a specified need by analyzing detailed, up-to-date assessment information. Involve the affected population in their use and do not lose sight of the bigger picture.
- In an emergency where information is rapidly changing, be prepared to reconsider and adapt. Assessments must be repeated over time, and the program strategy must be reviewed and redesigned to respond to the changing environment (e.g., needs and gaps).

Facilitation

TIME	METHOD	CONTENT AND FACILITATION NOTES
10 min.	**Plenary discussion**	Read aloud the CRS EPR General Program Quality Statements (Handout 5.8.1).
15 min.	**Small group work**	In groups, answer the following question: • What tools will help you to meet these quality statements? Include tools covered in this training and others.
10 min.	**Plenary discussion**	Share findings.
5 min.		Read aloud the Emergency Proposal Template (Handout 5.8.2).
15 min.		Form different groups and answer the following question: • What tools will you use to support the different sections of an emergency proposal?
5 min.		Share findings. Conclude with Key Messages.

ANNEXES MODULE 5

ANNEX 5.1.1 ANALYSIS EXERCISE PROBLEM TREE



ANNEX 5.1.2 TOOLS FOR ANALYSIS

Source: ProPack I, p. 74

TOOLS OF ANALYSIS LINKED TO PURPOSE

IF YOUR MAIN PURPOSE OF ANALYSYS IS TO:	CONSIDER USING:
Organize and classify information so that it makes sense	Conceptual frameworks such as those CRS uses for food security, and the IHD framework Tools such as gender analysis capacity and vulnerability matrices
Sift through information gathered in an assessment to prioritize issues for project focus	Ranking exercises and matrices
Investigate underlying cause and effect relationships	Problem analysis tools, such as the problem tree
Link the effects and influences between an external or macro environment on an internal or micro environment	Conceptual framework such as the IHD that shows causes and effects between household assets, strategies, structures and processes, shocks, cycles and trends
Organize information about which agencies are providing which services and where	Gap assessment charts and maps
Promote more critical and deep thinking by project stakeholders	Careful sequences of open questions for group discussions, visual tools such as problem trees, force-field analysis charts or other

ANNEX 5.1.3 BALOCHISTAN RAPID COMMUNITY ASSESSMENT

RAPID ASSESSMENT

Name of village: Gamak Tank **Union Council:** Hoshab **District:** Ketch

Methods

Select 1 village or 2 hamlets/settlements, and complete the following:

1. Community level rapid assessment form
2. Focus group discussions (these need to be small groups in a private or enclosed space):
   a. 1 with group of 4–6 men
   b. 1 with group of 10–12 women

Introductory / Observation Questions (10–15 min. only)

Village is located on the edge of a dam. The cyclone and heavy rain broke the dam, and a wall of water swept into the village. Damage is extensive, particularly closest to the dam where few houses remain standing. Mud everywhere, now drying. Very hot, few trees, and remaining standing walls give tiny patches of shade.

Focus Group Guiding Questions (Both Men and Women) (1 hr.)

1. What are the main sources of income in the community?
   - Identify predominant livelihoods; variety of income sources in the community; and asset and landownership structures. Discuss livelihood losses, if any. Check whether they expect any changes (or sale) of assets postcyclone.

   Families had cattle, chickens and ducks, but many of the livestock were killed in the cyclone. Many male members of the family are working abroad, in the Gulf states and sending home their pay. Some women did embroidery or weaving and earned a little income by selling their goods.

2. Who are the most vulnerable in this hamlet, in your opinion? Why? Give specific examples.
   - Try to identify whether the affected people think this is the same as always, or different after the cyclones and in what ways. Would they be able to identify more vulnerable families for a more selective targeting strategy?

   The elderly, particularly those without children working abroad.

   One family has a handicapped daughter, who needs to be cared for at home, but now their home is damaged.

3. What are the priorities needs in this location, in your opinion?

   We need new homes, shelter from the sun and shelter from the rains when they come.

   We need drinking water. We are drinking mud.

How are families managing to meet their immediate needs (for water, food, shelter, clothing, blankets, quilts)?

- Determine what initiatives they have taken. Probe to see whether their ability to meet their needs is different for different households within the hamlet.

The government brought us food. We don't know if they will bring us more.

4. What is the status of animals?
   - Check what losses (if any) they incurred with respect to animals. This could include losses of cattle sheds, fodder, etc. Identify plans for sale, consumption and care.

Very few animals in this village survived. There is a shortage of fodder. Normally families keep dried grass in their homesteads, but this has been destroyed. Without food, soon the cows will die.

Women's group:

5. How are the issues different for women and young girls than for men? What specific challenges are you facing postcyclone?
   - Probe to check whether responses are the same during normal times as compared to now.

It is very shocking for the women to be out of doors. They are afraid that their honor will be compromised. But they say they have nowhere to go. Their village is on a plain, with no natural protection or shelter. They say it is too hot under the sun. Some have used clothes and bits of broken houses to make temporary shelters, but they are small and inadequate. Cooking space is out of doors, and children sit on the ground or play outside.

Men's group:

6. Shelter questions
   - What is the predominant type of house? Do people typically build on their own?
   - If not, is labor available?
   - What type of materials (if any) are available in the village or nearby?
   - What is salvageable from the houses? Are they willing to reuse these materials for transitional shelter?
   - When and how do they plan to rebuild their houses?

Houses were made of baked mud walls, with thatch + timber or metal sheeting roofs. People build their own mud walls, and masons help with the roof. Men have salvaged wood and metal roofing. They can start building with mud bricks and salvaged materials, but the government has said the village may be relocated away from the dam. Reconstruction has to wait for government decision on relocation.

RAPID COMMUNITY ASSESSMENT

Instruction: This form is intended as a rapid, 15-minute questionnaire to be completed with key (nongovernment) informants, such as village leaders.

Union Council: Hoshab **Name of village:** Gamak Tank

Demographics

	Total #
Total number of nuclear families	76
Total individuals or people	average family size 5
Number of female-headed households (widows, deserted, divorcees)	2

Level of Damage

Total number of houses:	60-70
Total number not usable:	20
Other infrastructure damage:	
School	_0_ total ___ partial ___ no damage
Mosque	___ total _1_ partial ___ no damage
Observation—scale of damage	_4_ 1 to 5 (with 5 = 90%)

Water Infrastructure

	WHAT SOURCES OF WATER EXISTED BEFORE? (TICK ALL THAT APPLY	WHAT IS THE MAIN SOURCE OF DRINKING WATER?	DAMAGE
Hand pumps			( ) Y ( ) N
Water supply scheme (PHE)			( ) Y ( ) N
Hand-dug well	√	√	(√) Y ( ) N
Tube well (with electrical pump)			( ) Y ( ) N
Comments: (on secondary sources) Water is dirty. Before and now, people not using any system to clean their drinking water. Women spending an hour to collect water, taking vessels to nearest clean tube well.			

What is the quality of water available? ____ clean _√_ turbid

Comments:

Sanitation

Did families have latrines before? Y ( ) N (√)

If yes, what type? ____ dry pit latrine _____ pour flush latrine

Are there bathing facilities after? Y ( ) N (√)

If yes, are they separate for women and men? Y ( ) N ( )

Health and Hygiene

Following the cyclone, has there been:

an increase in number of cases of diarrhea among children? Y (√) N ( )

an increase in number of cases of chest infections? Y (√) N ( )

an increase in number of cases of eye infection? Y ( ) N (√)

Other ____

Settlement and Shelter

What is the predominant type of shelter? ____ cement _√__ mud

Have households received any tents? Y( ) N (√)

Are they sufficient? Y( ) N ( )

Have households received any other shelter materials? Y( ) N (√)

If yes, what? ____

Relief Received

Have families received relief? Y(√) N ( )

If, not, why? _____ no ID card ___ level of isolation _____ other

Specify:____

What kind of relief has been received in this village? (tick all that apply)

__√_ food ____water containers ___ tents ___ plastic sheets ___ bedding

____ kitchen sets ___ clothes ___ other:___________________

Have they received any tokens for shelter? Y( ) N (√)

Who distributed this?

_________ NGO (name: ______________________) _________ Government

Observations

Women complain about lack of electricity – no light at night.

Cooking is difficult as wood is scarce.

Zakare ethnic minority appears to be poorest, lives on margins of the village. Did not participate in focus groups.

Form completed by: **Mohammed Islam**

ANNEX 5.1.4 BALOCHISTAN RAPID COMMUNITY ASSESSMENT

RAPID ASSESSMENT

Name of village: Dali Bazar **Union Council:** Nasirabad **District:** Ketch

Methods

Select 1 village or 2 hamlets/settlements, and complete the following:

1. Community level rapid assessment form
2. Focus group discussions (these need to be small groups in a private or enclosed space):
    a. 1 with group of 4–6 men
    b. 1 with group of 10–12 women

Introductory / Observation Questions (10–15 min. only)

Strong wind and huge rain during the cyclone. Flash flood brought water rushing toward the houses. People have taken shelter in public buildings (20), in a camp established by the army on the other side of the road (20), and in temporary shelters next to the camp (10).

Focus Group Guiding Questions (Both Men and Women) (1 hr.)

1. What are the main sources of income in the community?
    - *Identify predominant livelihoods; variety of income sources in the community; and asset and landownership structures. Discuss livelihood losses, if any. Check whether they expect any changes (or sale) of assets postcyclone.*

    Agriculture and livestock, day laborers. Cyclone damage means no work for day laborers. Estimated half of cattle dead. Some fields destroyed by flash flood, others water logged and damage to crops not yet clear.

2. Who are the most vulnerable in this hamlet, in your opinion? Why? Give specific examples.
    - Try to identify whether the affected people think this is the same as always, or different after the cyclones and in what ways. Would they be able to identify more vulnerable families for a more selective targeting strategy?

    People who have lost their cattle, the crops in their fields. Day laborers have no work to do. People have no money to buy food and are dependent on government handouts.

3. What are the priorities needs in this location, in your opinion?
    First is shelter, then clean water.

4. How are families managing to meet their immediate needs (for water, food, shelter, clothing, blankets, quilts)?
   - Determine what initiatives they have taken. Probe to see whether their ability to meet their needs is different for different households within the hamlet.

   The government brought us food. We don't know if they will bring us more.

5. What is the status of animals?
   - Check what losses (if any) they incurred with respect to animals. This could include losses of cattle sheds, fodder, etc. Identify plans for sale, consumption and care.

   Roughly half the animals were killed. The others survived because they were grazing on high land.

Women's group:

6. How are the issues different for women and young girls than for men? What specific challenges are you facing postcyclone?
   - Probe to check whether responses are the same during normal times as compared to now.

   Women are suffering because their options are very limited. Purdah requires them to stay at home. Now they stay in or near the army tents during the day and sleep in the school or their temporary shelters at night. They are totally reliant on government food handouts, NGOs, or their husbands' finding work.

Men's group:

7. Shelter questions
   - What is the predominant type of house? Do people typically build on their own?
   - If not, is labor available?
   - What type of materials (if any) are available in the village or nearby?
   - What is salvageable from the houses? Are they willing to reuse these materials for transitional shelter?
   - When and how do they plan to rebuild their houses?

   Houses were made of baked mud walls, with thatch + timber or metal sheeting roofs. People build their own mud walls, and masons help with the roof. Some families have salvaged wood and metal roofing, and others have nothing. When the mud dries, they can start to rebuild. It should be in 3–5 days.

RAPID COMMUNITY ASSESSMENT

Instruction: This form is intended as a rapid 15-minute questionnaire to be completed with key (nongovernment) informants, such as village leaders.

Union Council: Nasirabad **Name of village:** Dali Bazar

Demographics

	TOTAL #
Total number of nuclear families	**50**
Total individuals or people	**270**
Number of female-headed households (widows, deserted, divorcees)	

Level of Damage

Total number of houses:	50
Total number not usable:	50
Other infrastructure damage:	
School	_1_ total ___ partial ___ no damage
Mosque	___ total _1_ partial ___ no damage
Observation—scale of damage	_5_ 1 to 5 (with 5 = 90%)

Water Infrastructure

	WHAT SOURCES OF WATER EXISTED BEFORE? (TICK ALL THAT APPLY	WHAT IS THE MAIN SOURCE OF DRINKING WATER NOW?	DAMAGE
Hand pumps			( )Y ( ) N
Water supply scheme (PHE)			( )Y ( ) N
Hand-dug well	√	√ and stream and trucking	(√)Y ( ) N
Tube well (with electrical pump)			( )Y ( ) N
Comments: *(on secondary sources)* Water from the well is dirty. Some families filter and some boil. Army brought truck of drinking water (city corporation) twice since cyclone.			

What is the quality of water available? ____ clean__√_ turbid

Comments:

Sanitation

Did families have latrines before? Y (√) N () 30 HHs out of 50

If yes, what type? _____ dry pit latrine __√__ pour flush latrine

Are there bathing facilities after? Y ( ) N (√)

If yes, are they separate for women and men? Y ( ) N ( )

Health and Hygiene

Following the cyclone, has there been:

an increase in number of cases of diarrhea among children? Y (√) N ( )

an increase in number of cases of chest infections? Y (√) N ( )

an increase in number of cases of eye infection? Y ( ) N (√)

Other ____

Settlement and Shelter

What is the predominant type of shelter? _____ cement __√__ mud

Have households received any tents? Y(√) N ( )

Are they sufficient? Y( ) N (√)

Have households received any other shelter materials? Y( ) N (√)

If yes, what? ____

Relief Received

Have families received relief? Y(√) N ( )

If, not, why? _____ no ID card ___ level of isolation _____ other

Specify: Army has set up a camp with 20 tents on the other side of the road from the village. Not clear whether they will bring more tents for the remaining 30 families. Tents are extremely hot, people go in them at night but not during the day.

What kind of relief has been received in this village? (tick all that apply)

__√_ food ____water containers __√_ tents ___ plastic sheets ___ bedding

____ kitchen sets ___ clothes ___ other:___________________

Have they received any tokens for shelter? Y( ) N (√)

Who distributed this?

_________ NGO (name: _______________________)

_________ Government

Observations

Form completed by: Nasir Rahman

ANNEX 5.1.5 BALOCHISTAN RAPID COMMUNITY ASSESSMENT

RAPID ASSESSMENT

Name of village: *Delay Bazaar* ***Union Council:*** *Dandar* ***District:*** *Ketch*

Methods

Select 1 village or 2 hamlets/settlements, and complete the following:

1. Community level rapid assessment form
2. Focus group discussions (these need to be small groups in a private or enclosed space):
   a. 1 with group of 4–6 men
   b. 1 with group of 10–12 women

Introductory / Observation Questions (10–15 min. only)

Strong wind and huge rain during the cyclone. Houses damaged. People still living in their houses—no displacement to camps/public buildings.

Focus Group Guiding Questions (Both Men and Women) (1 hr.)

1. What are the main sources of income in the community?
   - Identify predominant livelihoods; variety of income sources in the community; and asset and landownership structures. Discuss livelihood losses, if any. Check whether they expect any changes (or sale) of assets postcyclone.

Agriculture and livestock, day laborers. Cyclone damage means no work for day laborers. Some cattle died when river burst its banks. Some fields destroyed by flash flood, others water logged and damage to crops not year clear.

2. Who are the most vulnerable in this hamlet, in your opinion? Why? Give specific examples.
   - Try to identify whether the affected people think this is the same as always, or different after the cyclones and in what ways. Would they be able to identify more vulnerable families for a more selective targeting strategy?

There is a family with a blind lady and two small children. Her husband left to get a job last year but never returned. She is very poor.

All the mothers and small children are suffering because of food shortages, poor hygiene and danger of disease.

Old people cannot help themselves; they rely on others, and now everyone is busy.

3. What are the priorities needs in this location, in your opinion?

If government stops food distributions, food will be the priority. If not, clean water and return to work.

4. How are families managing to meet their immediate needs (for water, food, shelter, clothing, blankets, quilts)?
   - Determine what initiatives they have taken. Probe to see whether their ability to meet their needs is different for different households within the hamlet.

Families have patched their houses with bits of cloth or plastic. They are living inside, but say the shelter is inadequate if it rains, and are scared that cracked walls may collapse. A few houses had roofs totally blown off in the wind, others had damage.

Cooking is normally outside, but now women say the environment is dirty and are scared about disease. Food is limited—government distributed rice and dal. Oil is in short supply. Market prices are high, people have no cash.

Bedding is hanging out to dry, or is being hung up to create shade.

Men are concerned about getting back to work.

5. What is the status of animals?
   - Check what losses (if any) they incurred with respect to animals. This could include losses of cattle sheds, fodder, etc. Identify plans for sale, consumption and care.

Animals enclosures were damaged so cows are wandering freely and adding to the unhygienic conditions. Their fodder was soaked by the rain or blown away by the cyclone.

Women's group:

6. How are the issues different for women and young girls than for men? What specific challenges are you facing postcyclone?
   - Probe to check whether responses are the same during normal times as compared to now.

For water the women now go further, and it takes longer. Normally they don't like to travel outside our village, but at this time it is necessary. It can take over an hour. Mothers are afraid for the security of their teenage girls, and don't want to take them with them nor leave them alone at home.

Women are concerned about hygiene. Because of water shortage, and cyclone, everything is dirty, and it will take time to clean up.

Men's group:

7. Shelter questions
   - What is the predominant type of house? Do people typically build on their own?
   - If not, is labor available?
   - What type of materials (if any) are available in the village or nearby?

- What is salvageable from the houses? Are they willing to reuse these materials for transitional shelter?
- When and how do they plan to rebuild their houses?

Houses were made of baked mud walls, with thatch + timber or metal sheeting roofs. People build their own mud walls, and masons help with the roof. Men are already fixing roofs and walls, but say tools and materials are in short supply. It is temporary, will not last for long.

RAPID COMMUNITY ASSESSMENT

Instruction: This form is intended as a rapid, 15-minute questionnaire to be completed with key (nongovernment) informants, such as village leaders.

Union Council: Dandar **Name of village:** Delay Bazar

Demographics

	TOTAL #
Total number of nuclear families	**120**
Total individuals or people	**x5**
Number of female-headed households (widows, deserted, divorcees)	**4**

Level of Damage

Total number of houses:	120
Total number not usable:	12
Other infrastructure damage:	
School	__total ___ partial _**1**__ no damage
Mosque	___ total _**1**_ partial ___ no damage
Observation—scale of damage	_**2**_ 1 to 5 (with 5 = 90%)

Water Infrastructure

	WHAT SOURCES OF WATER EXISTED BEFORE? (TICK ALL THAT APPLY	WHAT IS THE MAIN SOURCE OF DRINKING WATER NOW?	DAMAGE
Hand pumps			( )Y ( ) N
Water supply scheme (PHE)			( )Y ( ) N
Hand-dug well	√	√	(**√**)Y ( ) N
Tube well (with electrical pump)			( )Y ( ) N
Comments: *(on secondary sources) Water from the well is dirty. A few families filter and some boil.*			

What is the quality of water available? ____ clean _**√**__ turbid

Comments:

Sanitation

Did families have latrines before? Y () N (√) *only a few had latrines*

If yes, what type? ____ dry pit latrine ___√_ pour flush latrine

Are there bathing facilities after?Y ( ) N (√)

If yes, are they separate for women and men? Y ( ) N ( )

Health and Hygiene

Following the cyclone, has there been:

an increase in number of cases of diarrhea among children? Y (√) N ( )

an increase in number of cases of chest infections? Y ( ) N (√)

an increase in number of cases of eye infection? Y (√) N ( )

Other *skin rashes, infected cuts*

Settlement and Shelter

What is the predominant type of shelter? ____ cement __√__ mud

Have households received any tents? Y( ) N (√)

Are they sufficient? Y( ) N ( )

Have households received any other shelter materials? Y( ) N ( )

If yes, what? ____

Relief Received

Have families received relief? Y(√) N ( )

If, not, why? _√__ no ID card ___ level of isolation _____ other

Specify: *Government distributed food. Families without ID cards were not allowed food. Some had lost their cards in the storm, Zakare ethnic families sometimes never had ID cards.*

What kind of relief has been received in this village? (tick all that apply)

___√_ food ____water containers ___ tents ___ plastic sheets ___ bedding

____ kitchen sets ___ clothes ___ other:___________________

Have they received any tokens for shelter? Y( ) N (√)

Who distributed this?

__________ NGO (name: ________________________)

__________ Government

Observations

Zakare families seem poorest, deprived of government services.

Form Completed by: *Ashima Khan*

ANNEX 5.1.6 AID PLEAS AFTER PAKISTAN CYCLONE

29 June 2007

Some 800,000 people have now been hit by flooding in Pakistan's Balochistan province, with hundreds of thousands of homes destroyed, officials say. Many of them are without electricity or drinking water four days after a cyclone hit coastal districts. Eyewitnesses say there is almost no sign of government relief getting to the affected areas. Police have fired tear gas on hundreds of angry protesters in the city of Turbat who were demanding help.

The central government has confirmed 14 deaths and 24 people missing in Balochistan since Tuesday, but other reports but the figure much higher. Officials further north in the Khyber agency bordering Afghanistan say nearly 70 people have been killed. In Afghanistan, more than 80 people have died in recent days.

'Terrible stench'

The BBC's Ilyas Khan in Turbat district says much of the area is completely devastated, with trees uprooted, electricity wires down and roads destroyed. The worst damage was caused by waters overrunning from the Mirani dam, some 45 km (30 miles) south-west of Turbat.

The rains have subsided, but many people have been wading through the waters in temperatures of around 40° C to try and retrieve possessions from the wreckages of their homes before they are stolen.

Possessions have been swept away

He says that only buildings made of cement blocks have survived, but most people living in mud-brick houses have seen their homes destroyed. Everywhere is the terrible stench of rotting animal carcasses, he says. People have been taking shelter in schools and mosques. The water in hand-drawn wells has been rendered undrinkable by the floods. Tube wells, that need electricity to pump the water from deeper down, are not working because of the power failures. The military has been sending relief supplies by helicopter and has been trying to use C130 planes which have had problems finding places to land. But our correspondent says that he has yet to meet anyone who has received supplies.

"Our homes have been destroyed, there has been no drinking water and no food for the last four days," one protester, Ghulam Jan, said, the AFP news agency reports.

The authorities say they have two relief camps established in Balochistan and should have three more set up in the next two days.

ANNEX 5.1.7 INFORMATION BY LOCATION MATRIX

LOCATION	TYPE OF DAMAGE	LIVELIHOODS	VULNERABLE GROUPS	COPING STRATEGIES	ANIMALS	WOMEN'S NEEDS	SHELTER	# HHS AFFECTED / # HHS	WATER SOURCE + QUALITY	SANITATION + HEALTH	OTHER

Prioritization Matrix

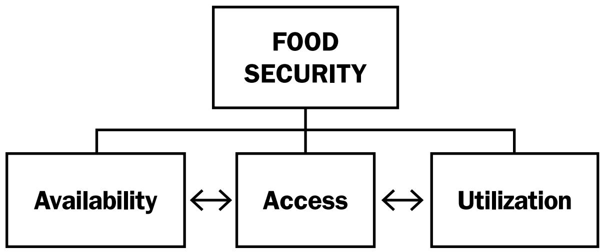
Give a score of 1–5 to indicate the level of priority, with 5 for the most urgent priority. The most urgent is what the different categories of people identify as being their greatest need, or the most lifesaving, also taking into account associated risks.

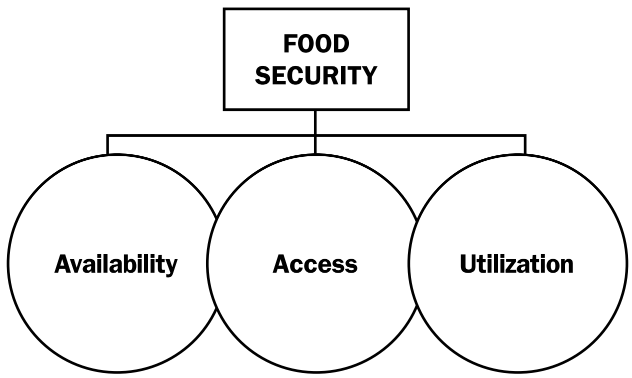
PROBLEM / GROUPS								

ANNEX 5.1.8 CONCEPTUAL FRAMEWORKS

Food Security

Food security exists when all people at all times have physical and economic access to sufficient, safe and nutritious food for a healthy and active life.

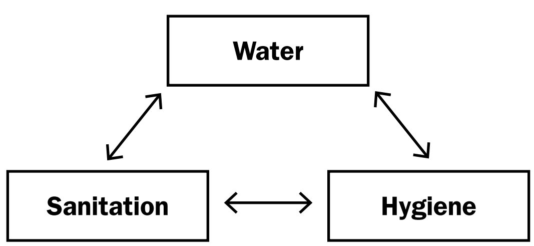




Representing the framework as partially overlapping circles plays down the causation and reflects the relationships between availability, access and utilization, as given in the definition above.

Water-Sanitation-Hygiene Promotion

The conceptual framework shows how water, sanitation and hygiene promotion are interdependent. For example, if the objective is providing drinking, that is, clean water, one must provide water quantity and quality, which in turn requires hygiene promotion on keeping water clean and work on sanitation if that's a key source of contamination.



A basic rule of thumb for WASH (Water, Sanitation and Hygiene for All) activities is that they must invest in software (hygiene promotion, or operation and maintenance training) as well as hardware (tube wells, latrines, hygiene kits).

ANNEX 5.2.1 COORDINATION: DISTRICT KETCH, BALOCHISTAN

WHO?	WHAT?	WHERE?	FOR WHOM?	FOR HOW LONG?
Pakistan Red Crescent	1,000 survival packs of 7 days rice, dal, sugar, tea, spices for 5 people 500 packs of water purification tablets (10 tablets per pack)	50 packs per village, in 5 Union Councils: Kashokalat, Gokdan, Kalatuk, Nodez, Hoshak 25 packs per village, same as above	For families with totally destroyed houses	7 days 1 tablet for 10 liters water, so 10 liters a day for 10 days
Government	Food rations every 2 weeks for 2 months.	All affected Union Councils (UCs) in Ketch: Kashokalat, Gokdan, Kalatuk, Nodez, Hoshak, Dandar and Nasirabad	Disaster-affected. UC Disaster Management committees will do lists of disaster-affected families.	district authorities will deliver assistance as quickly as possible.
WHO	Basic medicine kits and ORS (oral rehydration solution)	for health centers in affected UCs: Kashokalat, Gokdan, Kalatuk, Nodez, Hoshak, Dandar and Nasirabad	Health clinics with staff actively working to help the disaster-affected	3 months of basic medicines. ORS might last 1–2 weeks depending on scale of problem.
WFP	Has warehouse of food in Quetta. Needs local partners to distribute food.	Stocks are in Quetta	Disaster-affected families	Will give 1 month ration.
ActionAid	Assessing now. Is planning shelter assistance for people living in the open.	Not decided yet. Previous programs in Kashokalat and Gokdan, probably relief in same areas.	Families with totally destroyed houses	6-month program of assistance
Oxfam	Hygiene packs with bucket, soap, mugs, female hygiene items (menstruation), toothbrush and toothpaste. Plan tube well installation and trucking.	Nodez, Hoshak, Dandar UCs, where they have long-term programs.	Female-headed households, widows, orphans, low castes and tribals.	Will distribute by the end of this month: 1 month soap ration.

ANNEX 5.2.2 SWOT ANALYSIS

Strengths	**Opportunities**
• Experience in food security and shelter, both in country and agency level. • At national level, a dozen program staff implemented emergency response last year. • Familiar with donor tools and requirements. • Financial and logistics systems in place. • Will need to recruit and have recruitment procedure in place. • Know disaster area well, recently completed 3-year program there. • Good relations with two small, strong local NGOs. • Former staff may be available to work. • Established relations with district level government officials. • Goodwill among the community from recent program.	• National and International Caritas supports intervention. • Government has invited aid agencies to respond. • Donors allocating money to the crisis. • Other NGOs sharing information at coordination meetings. • Local procurement of food and nonfood items is possible. • Limited road access; government is planning repairs. • Unskilled labor in abundant supply.
Weaknesses	**Threats**
• Lack of technical water expertise, e.g., no capacity to install tube wells. • Limited experience of sanitation and hygiene, run from another field office. • Need to improve targeting, distributions and M&E (based on last year's emergency program). • Recruitment of skilled staff is slow; few experienced people available. • Few female field staff and difficult for male staff to work with women in the community. • Distance management of field staff proved weak, need for improved communications. • English and writing skills weak.	• Very limited staff accommodation options. • Many roads and footpaths damaged and access to worst affected areas difficult. • Shortage of vehicles for hire. • Price rises of essential goods. • Warehousing facilities are of poor quality and have limited space.

ANNEX 5.3.1 GENDER AND EMERGENCY RESPONSE

GENDER-SENSITIVE EMERGENCY ASSESSMENTS

When conducting a gender-sensitive emergency needs assessment, the aid worker looks at:

- How men and women are differently affected by disaster
- Men's and women's priority needs
- How men and women's roles and tasks within the household and wider community are affected by the disaster
- How cultural and social norms restrict or enable men and women's access to assistance or potential for recovery

A useful framework for gender analysis is as follows:

1. Activity profile: What did/do people do before and after the disaster?
    - Productive: anything that produces money or is of material value
    - Reproductive: anything to do with the household that is unpaid, such as childcare, cooking, and the like
    - Community: anything that is done "in public" such as attending meetings or participating in an IGA (income-generating activity) group
2. Access and control profile: Who has access and/or control over what?
    - Resources: economic/productive (land, labor, capital, tools, credit, skills, market info)
    - Benefits: provision of basic needs, cash/income, assets, education/training, power, prestige, status, opportunities
3. Influencing factors
    - Enabling (education, etc.)
    - Constraining (lack of mobility, etc.)
    - Social, cultural, economic, etc.

All PRA /RRA (participatory rural appraisal / rapid rural appraisal) tools can be made gender-sensitive by:

- Holding separate discussions with men and women (and informing each group about the others' feedback if possible).
- Looking at and taking into account different gender roles and responsibilities.
- Looking at and analyzing issues of access to and control over benefits and resources and more generally at power relations between men and women.
- Promoting the idea that change in power is not a "zero sum game"; increased power (voice,

access, control) for women does not necessarily mean less power for men, both men and women can gain from the change in gender relations.

Using these tools in a participatory manner that allows men and women to analyze the information, reflecting on roles, responsibilities and power relations, can be a powerful tool for awareness raising on gender issues at the community level.

Gender-Responsive Emergency Programming

In an emergency it is possible to do more than respond to the practical, short term needs of the women affected by disaster. Gender analysis during the needs assessments can inform emergency response programming and make it gender-sensitive. Gender-sensitive programs can increase women's participation in decision making through involving them in community meetings and management committees. Where mixed male and female committees are not appropriate, separate men's and women's committees can have equal decision-making powers. Emergency wash, shelter, livelihood, health or education programs can address underlying issues of inequality of access or discrimination by involving women in the design of new systems, in decisions about reconstruction and development of training or IEC (information, education and communication) materials.

EMERGENCY RELIEF	GENDER-RESPONSIVE EMERGENCY RELIEF
Conduct needs assessment.	Speak to men and women separately, and conduct gender analysis.
Analyze findings and design response program.	Use tools such as prioritization matrix to evaluate different options according to criteria such as women's involvement, participation and sustainability.
Meet immediate needs.	Involve women and men in full community meetings to decide targeting criteria and draw up ~~beneficiary~~ lists. Ensure women and men have equality in decision making.
Reconstruct infrastructure and restart services.	Ensure women's participation in program design discussions. Solicit feedback of predisaster infrastructure and services and suggestions for improvements, particularly regarding women's access to and quality of facilities/care.
Monitor process and impact indicators.	Seek regular formal and informal feedback from women and men separately. Disaggregate data by sex.
Transition to rehabilitation programs.	Conduct participatory assessments with men and women and use PRA tools to do gender analysis. Assess and analyze root causes of problems and gender inequality. Involve men and women in every stage of the project cycle.

ANNEX 5.3.2 GENDER IN EMERGENCY PROGRAMS

Scenario 1: Your emergency needs assessment 48 hours after the disaster shows that families affected by the earthquake are running out of food. Women interviewed describe searching for food in the rubble, and lack of access to local markets. They say they are eating one or two small meals a day, and have to share cooking pots with other families. You plan an emergency food distribution of food rations and cooking utensils to 5,000 families.

Scenario 2: Your emergency needs assessment 48 hours after the disaster shows that families affected by the earthquake are running out of food. Women interviewed describe searching for food in the rubble, lack of access to local markets and a shortage of cooking pots. In each location you call a public meeting and ask for one person from every household, preferably the woman, to participate. You discuss the assessment findings, distribution plan and targeting criteria. In the meeting, the community members propose and confirm names to go on the ~~beneficiary~~ list. The first distribution takes place the day after the list is done. If changes to the list need to be made, a joint NGO-community committee will investigate complaints and changes to the list will be presented and endorsed in another public meeting.

Scenario 3: Your emergency needs assessment 48 hours after the disaster shows that families affected by the earthquake are running out of food. Women interviewed describe searching for food among the rubble, lack of access to local markets and a shortage of cooking pots. In each location you call a public meeting and ask for one person from every household, preferably the woman, to participate. You discuss the assessment findings, distribution plan and targeting criteria. During the meeting men speak about the urgent need to clear the roads of debris, and women say their priority is to clean the community drinking water facilities. You propose a quick transition from food rations to cash-for-work (CFW) projects to clear roads and clean water facilities.

Scenario 4: Your emergency needs assessment 48 hours after the disaster shows that families affected by the earthquake are running out of food. In each location you call a public meeting and ask for one person from every household, preferably the woman, to participate. You discuss the assessment findings, distribution plan and targeting criteria. During the meeting men speak about the urgent need to clear the roads of debris, and women say their priority is to clean the community drinking water facilities. You propose a quick transition from food rations to CFW projects. Women and men form a CFW committee and decide that normal gender divisions on labor can be put aside because of the urgency of the work. The committee also proposes a payment system that pays men and women equally for one day's labor, different from the traditional system that penalizes those who cannot do heavy lifting. As a result, where heavy lifting is required, the women work in teams, and work is completed ahead of time.

ANNEX 5.5.1 EXAMPLE FOOD STRATEGY

FOOD SECURITY RESPONSE MATRIX (EXAMPLE)

STRATEGIES	SPEED	IMPACT ON LOCAL MARKET	SUSTAINABILITY	TARGET MOST VULNERABLE	SECURITY	GENDER EQUITABLE	COST EFFECTIVENESS	DIGNITY
Food distribution	5	1	1	4	3	4	1	1
FFW	2	1	2	2	3	2	2	2
Provide seed	1	1	5	5	5	4	4	4
CFW	3	4	2	2	2	2	3	2
Cash	5	5	1	4	1	3	4	4
Agri. support	1	3	4	4	4	4	4	4
Food vouchers	3	4	2	3	4	4	4	3
Income generation	1	4	5	4	5	5	5	5

1 = poor, 5 = very good

Speed: How quick the strategy will meet the immediate food security needs of a household.

Impact on local market: Will the strategy have a positive or negative impact on the local market? Strategies such as food vouchers, cash for work (CFW), income generation and cash will generally allow people to meet their food needs through use of local markets. Food distribution and food for work (FFW) do not involve the local market unless the food is purchased locally.

Sustainability: Does the strategy have short- or long-term impact on household food security? Food distribution will only impact the immediate food needs of a family, whereas income generation will allow the people we serve to earn money in the future and thus meet their long-term food security needs.

Target the most vulnerable: Does the strategy allow for the targeting of the most vulnerable members of the community, such as the disabled, elderly, female headed households, and the like?

Security: Does the strategy put staff at risk? Generally handling cash is considered to be a greater security risk than handling food. However, this can vary depending on the local context. For example, the security risks around handling cash can be greatly reduced by distributing the cash through the local banking systems.

Gender equitable: Will the strategy allow for women and men to be targeted as equally? In some societies cultural norms may prevent women from participating in CFW and FFW activities.

Cost effectiveness: Does the strategy give the best value of money? Compare various strategies: For example, food distribution and FFW will incur cost for the transportation and storage of food, whereas CFW or food vouchers will not.

Dignity: Does the strategy enhance or diminish the dignity of the people we serve? Queuing for food or working on CFW and FFW projects could be considered to be less dignified than receiving cash or vouchers. Cash and flexible vouchers can empower people by allowing them to prioritize their most urgent needs. Income generation projects assist people by increasing their human capacity and thus their dignity.

ANNEX 5.6.1 TARGETING EXERCISE

GENERAL SITUATION

September 2008: Following almost a week of torrential rain, many villages have been damaged by flood waters. Now that the rain has stopped and the water is starting to recede, local relief agencies are starting to access the affected area. Initial assessments show that many houses have been damaged, crops have been destroyed and livestock drowned. In some villages people have been forced to take refuge in public buildings such as schools. Water is still standing in low lying areas; however, road access to villages is possible by road.

ASSESSMENT REPORT

The following information was collected by Caritas field staff for three affected communities.

Village A
Located near the main road, this village of 350 families is situated in a low-lying area. Damage to houses and property was largely caused by flooding from a nearby river. Because the river flooded last year, the community was better prepared, and most moved their possessions to the roof of their houses or to higher ground. As the water level drops, people are beginning to return to their houses. The water has receded from the main road, and commercial traffic is starting to use the road. Some markets and shops are already open. However, many streets and houses remained clogged with mud that was deposited when the river flooded.

Village B
This village is located 10 km from the main road at the base of a mountain. The village has also been affected by the flooding river as well as runoff from the slopes of the mountains. This is the first year that the river has flooded this village. Villagers were not prepared and had to abandon their houses quickly as the flood water rose. Many of the displaced families are staying with relatives; however, some are staying at the local school. Farmers in this village had harvested most of their crop before the rain. However, families that lost their houses lost most of their food stocks. Host families have food but complain that there is not enough to share with the displaced families.

Village C
This village is located in the mountains approximately 30 km from the main road. Damage to the houses in this village has been mostly caused by severe mud slides. Families with damaged houses have taken refuge in a local school. No crops were harvested before the flooding, and 100 percent of all standing crops (paddy) have been destroyed. Almost all livestock was lost. The community has food stocks for another two to four days.

See attached sheet for summary of assessment data and map of village locations.

RESOURCES

Your organization received $10,000 from Caritas Internationalis for the provision of food relief to the affected area. A family food ration costs $26. WFP has offered to transport any relief supplies to the villages free of charge.

OTHER AGENCIES

Oxfam is providing safe drinking water and shelter kits to the three villages. MSF is providing medical assistance to affected communities.

TASK

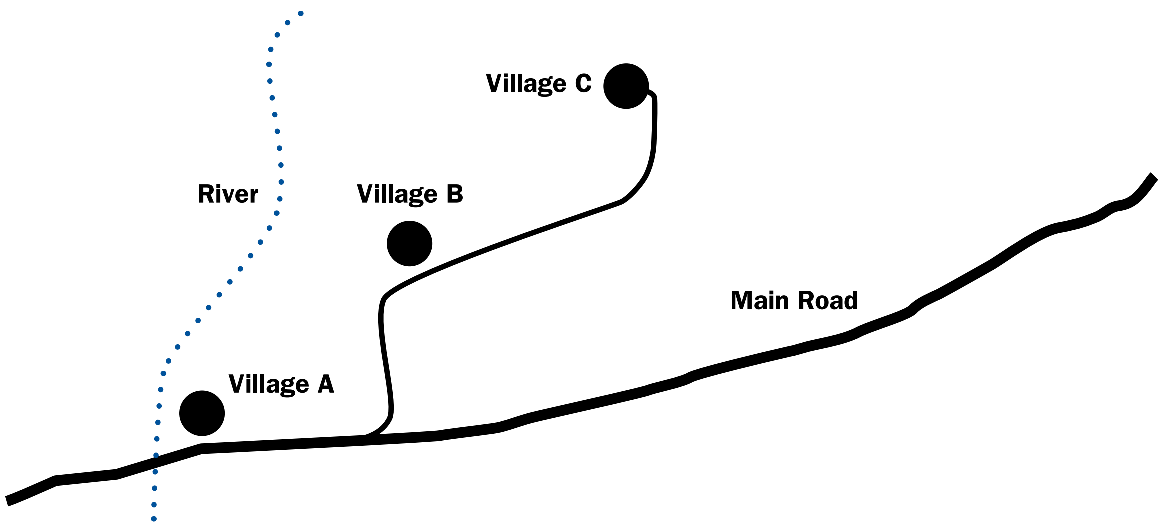
Your organization is responsible for providing humanitarian relief to the above three villages. Based on the assessment reports and the available resources, plan your organization's targeting strategy for the project area.

The strategy should include:

- What criteria will you use for targeting households for the interventions?
- What resources will you allocate to the village(s)? Give specific numbers.
- Be prepared to defend your targeting strategy

MAP AND SUMMARY ASSESSMENT DATA

Area Map



Summary of Assessment Information

VILLAGE NAME	NO. OF FAMILIES	NO. OF DEAD PEOPLE	NO. OF INJURED PEOPLE	NUMBER OF HOUSES DAMAGED			NUMBER OF FAMILIES IN SHELTERS	PERCENT OF CROPS DAMAGED	PERCENT OF LIVESTOCK LOST
				TOTALLY DESTROYED	DAMAGED	NO DAMAGE			
A	350	3	22	55	80	215	100	45%	20%
B	225	22	30	69	40	116	40	30%	50%
C	150	45	36	90	30	30	115	100%	90%

ANNEX 5.7.1 EXAMPLE OF A RESULTS FRAMEWORK

CRS PAKISTAN EARTHQUAKE RESPONSE

Goal
Earthquake-affected rural families rebuild their homes and communities.

Strategic Objective 1
Earthquake-affected households meet their immediate needs.

Strategic Objective 2
Earthquake-affected households and villages use appropriate water and sanitation facilities.

Strategic Objective 3
Emergency shelters provide disaster-affected families with adequate protection from winter.

Intermediate Result
2,000 individuals will receive cash or vouchers in exchange for roughly 16 days' work clearing debris from their household property, roads and public buildings.

Intermediate Result
Earthquake-affected families will do an average of 9 CFW days to repair or build latrine and bathing enclosure facilities for 2,000 households.

Intermediate Result
2,000 households will build temporary winterized shelters in compliance with Sphere standards on or near their original homes.

ANNEX 5.8.1 EMERGENCY PREPAREDNESS AND RESPONSE

PROGRAM QUALITY STATEMENTS

The following program quality statements are divided into several categories: general emergency overseas program quality; security; emergency staffing; staff care; orientation, training and debriefing; procurement; and media.

A. General Program Quality Statements for Overseas Operations

Excellent CRS emergency programs:

1. Base programming decisions and policies primarily on the best interests of the affected population.
2. Base programming decisions and policies on an assessment of the justice issues.
3. Base programming decisions and policies on analysis of and action to address root causes.
4. Provide timely response to the urgent needs of the affected population.
5. Target the most vulnerable.
6. Ensure that there is legitimate representation of the target population and that they have a voice in and are represented throughout the planning, implementation and evaluation of activities.
7. Are carried out at all stages with local partners, based on analysis of their capacity, principles and policies.
8. Develop local partners' capacity to mitigate and respond to emergencies prior to emergency events (e.g., preparedness).
9. Build on the existing strengths of local communities and partners.
10. Seek to reduce intergroup tensions and strengthen connections between divided groups.
11. Integrate peacebuilding approaches where appropriate.
12. Are planned and implemented in coordination with other agencies.
13. Are gender responsive.
14. Are managed in accordance with the emergency planning cycle.
15. Are specifically adapted to each phase of the emergency.
16. Are designed with an explicit transition/exit strategy, based on an assessment of current needs, and bear in mind community coping mechanisms.
17. Demonstrate technical expertise.
18. Use measurable indicators to demonstrate positive results.

ANNEX 5.8.2 EMERGENCY PROPOSAL

A. Response Profile

Provide brief overview including:

Project title

Location

The people we are serving

Period of performance

Funding requested

Implementing partner

B. Description of Emergency

1. Include bullet points summarizing the issues that you will address and priority needs.
2. Identify local assets and strengths that project will build on.

C. Proposed CRS and Partner Response

3. Identify target population and provide justification.
4. Indicate overall response plans—with five main activities.

D. Implementation Plan

Include a project framework, specifying goal, SO and IR; and cross-cutting issues.
(Tip: Use Sphere standards as a reference in determining your SOs)

Select illustrative indicators: Refer to Sphere and OFDA Guidelines to determine appropriate indicators for monitoring an emergency response.

E. Estimated Budget in US Dollars

Specify amount of request, based on estimated population served
(e.g., $25 NFI kits for 5,000 households).

EMERGENCY OPERATIONS DEPARTMENT

MODULE 6:
Technical Design and Distributions

~~(2 days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 5: Analysis and Project Design (2½ days)

Module 7: Emergency Monitoring and Evaluation Systems

Module 8: Refresher Training: Pulling It All Together (2½ days

CRS CATHOLIC RELIEF SERVICES

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MODULE 6: TECHNICAL DESIGN AND DISTRIBUTIONS (2 DAYS)

Objective

To use Sphere to design context-specific and appropriate response strategies

Expected Results

- Participants are familiar with the minimum standards in each sectoral chapter of Sphere.
- Participants are able to use technical guidance notes in Sphere.
- Participants are familiar with a range of practices or strategies in the various sectors.
- Participants are capable of registering the people we serve and organizing a distribution.

Brief Overview and Tips

This 13- to 15-hour module uses scenarios to familiarize participants with Sphere standards in technical sectors such as food security, water and sanitation, and shelter and settlement. Sectoral program strategies are analyzed using case studies of recent emergency programs. Then participants work in groups to develop guidelines and become familiar with tools for ~~beneficiary~~ registration and distribution. The module ends with a look at alternatives to distribution and a brief introduction to the voucher method. A distribution role-play and additional exercises on vouchers are optional.

Session 6.1	Sphere Standards on Food Security and Strategy Design	(2 hr.)
Session 6.2	Sphere Standards on Wat-San and Strategy Design	(3½ hr.)
Session 6.3	Sphere Standards on Shelter and Settlement and Strategy Design	(2 hr.)
Session 6.4	Strategy Review	(1½ hr.)
Session 6.5	~~Beneficiary~~ Registration	(1½ hr.)
Session 6.6	How to Organize a Distribution	(1½ hr. or 2 hr. 20 min.)
Session 6.7	Alternatives to Distribution	(1 or 2 hr.)

- These sessions provide a model that can be replicated and adjusted according to a regional or country-specific context. For example, if the next emergency response is likely to require a nutrition or health intervention, develop sessions on these technical sectors.
- The scenarios and case studies should be adapted to reflect the local context and draw on real lessons learned from the country or regional program.
- *Session 6.6 includes an optional distribution role-play, which is useful for staff who are new to emergency response.*
- *Session 6.7 includes optional exercises that can be used if participants need to learn more voucher programming. A full training handbook on voucher methodology is also available online (see Further Resources).*

Further Resources

- Sphere Handbook
- CRS Voucher Methodology: Step by Step Training Cum Implementation Handbook, Catholic Relief Services Asia
- Operation and Maintenance Training Manual, A Guide for CRS Staff
- Guidelines for Cash Transfer Programming, IFRC-ICRC (International Federation of Red Cross and Red Crescent Societies—International Committee of the Red Cross)
- Cash and Vouchers in Emergencies, HPG (Humanitarian Policy Group)
- CRS Guidelines for Shelter Programming
- CRS Minimal Technical Information Requirements For Preparing/Reviewing Shelter Sector Proposals
- Engineering in Emergencies, RedR
- Many more resources are available on the CRS Emergency Community Intranet.

SESSION 6.1: SPHERE STANDARDS ON FOOD SECURITY AND STRATEGY DESIGN (2 HR.)

Objectives

- To become familiar with the standards, indicators and guidance notes in the Sphere Handbook, Chapter 3, Minimum Standards in Food Security, Nutrition and Food Aid
- To use Sphere to develop appropriate Phase 1 interventions
- To explore alternative strategies to address food security

Key Messages

- Strategy design needs to be participatory and contextualized; there is no one-size-fits-all solution.
- We need to maintain a balance between social processes and service delivery (including hardware, distributions, etc.).
- In any given sector (especially food security), there are multiple strategies that can be adapted. Using objective criteria and ranking processes can help strategy selection (See Module 4, Session 5).

Materials

- Handout 6.1.1: Instructions and Food Security Scenario
- Handout 6.1.2: Food Security Case Study
- Sphere Handbook

TIME	METHOD	CONTENT
75 min.	**Small group work**	In this session we will focus on using Sphere for strategy design. Using the assessment findings in the case study, your job is to develop a strategy to address food security. **Group Exercise:** Getting to know the standards: Hand out the Group work Instructions and Food Security Scenario from Handout 6.1.1. Ask each participant to prepare a flip chart with their own proposed response. (45 min.) • Post all flip charts on wall and conduct a gallery walk. Ask participants to identify key differences and how each proposes to apply Sphere. (20 min.) Facilitator asks the following questions: • Based on the scenario, what alternatives to distributions could we have chosen? Refer to the Sphere Handbook (Standard 1, Guidance Note 1, p. 177) and focus on distributions for lifesaving. • Review content of proposed packages and food rations. Check whether they expect to provide 100 percent of caloric content. Refer to Sphere Handbook p. 181. • Check whether they made any provisions for fuel (Sphere Handbook, p. 198). • How did they plan their pipeline (is it sufficiently timely?) What did the sourcing did they plan for? Local? (Sphere Handbook, p. 189.) • What considerations or options were proposed for special needs? Refer to Guidance Notes in Sphere Handbook (p. 183). **Conclude** by pointing out things the teams did well and gaps in their proposed solutions. (10 min.) Link back to the Strategy Prioritization Matrix in Module 5, Session 5, which we will use a little later in this module.
45 min.	**Group work**	**Best Practice and Case Study** Review Case Study on Food Security. Discuss Learning Questions in small groups (change groups, if needed). (30 min.)
	Plenary discussion	Debrief in plenary focusing on learning and *applicability* for your country context (Questions 2 and 4). (15 min.)

SESSION 6.2: SPHERE STANDARDS ON WAT-SAN AND STRATEGY DESIGN (3½ HR.)

Objectives

- To become familiar with the standards, indicators and guidance notes in the section on Minimum Standards in Water Supply, Sanitation and Hygiene Promotion
- To use Sphere to develop an appropriate WASH (Water, Sanitation and Hygiene for All) activities
- To explore alternative strategies and innovations in WASH sector

Key Messages (for all sectors)

- We do not work in isolation and cannot meet all the needs. Prioritization is required.
- Strategy design needs to be participatory and contextualized; there is no one-size-fits-all solution.
- We need to maintain a balance between social processes and service delivery (including hardware, distributions, etc.)

Materials

- Handout 6.1.1: Water and Sanitation Scenarios for Groups A and B, and C and D
- Handout 6.1.2: Sanitation and Water Case Studies
- Sphere Handbook

TIME	METHOD	CONTENT
10 min.	**Plenary**	We will use Sphere for strategy design. This will include extensive group work and use of Sphere. Review instructions and set parameters for exercise.
40 min.	**group work**	**Group Exercise:** Getting to know the standards: Divide the participants into four groups. Give Groups A and B the three-line scenario on sanitation and Groups C and D the scenario on water (distribute Handout 6.1.1, section on WASH). • After 30–40 minutes (check on progress), each group should present their proposed solution to the peer group working on the same scenario. Conduct a *peer review* and identify differences between the proposed strategies. Be prepared to propose one joint strategy in plenary. Be prepared to clearly identify how Sphere has been applied (cite relevant pages numbers, if possible).
40 min.	**peer reviews**	**Facilitator's Notes:** Once the peer review has been conducted, ask the groups to present (one at a time). Solicit feedback from the other group members, asking them to focus on the relevant Sphere sectoral chapter and standards. Review each of the proposed strategies focusing on: • Social processes: level of participation; use of local skills, knowledge and resources; maintenance plans • Proposed supplies and numbers to ensure ratio of latrine and water points to ~~beneficiary~~ numbers • Technical standards adopted: How have these been defined locally? • Key "education" components: hygiene messages (hand washing; water filtration) and how they plan to conduct this (careful with any proposal for behavior change in early phase of emergency response) • Site and environmental considerations • Consideration of vulnerability groups (women, disabled, etc.) • Anticipated timeframe for delivery (is this appropriate? What if people move out of camps in two months?) Specific to sanitation: • Discuss design options (e.g., dry pit, septic tank, ecosan, trenches). • Check on preexisting defecation practices to verify rationale behind choice. Specific to water: • Has water quality testing been considered? Emphasize importance of quality (duty of care). • Discuss other options: shock treatment, digging wells, trucking, household filtration, etc.
60 min.	**plenary**	**Conclude** by summarizing things teams did well and gaps in terms of proposed solution.
45 min.	**Individual reading and small group discussion**	**Best Practice and Case Study** 1. Review Case Studies on Sanitation and Water. Discuss Learning Questions in small groups of four (change groups, if needed). (30 min.) 2. Debrief in plenary focusing *only* on Questions 2 and 4. Discuss *applicability* for your country's context. Regarding applicability, processes may be transferable but appropriateness of designs is contextual. They may be good ideas, but need to be adapted based on local reality, capacities and organizational strength. (15 min.) Assign Question 3 as homework.

SESSION 6.3: SPHERE STANDARDS ON SHELTER AND SETTLEMENT AND STRATEGY DESIGN (2 HR.)

Objectives

- To become familiar with the standards, indicators and guidance notes in the section on Minimum Standards in Shelter and Settlement
- To use Sphere to design appropriate interventions
- To explore best practices in shelter

Key Messages

- We do not work in isolation and cannot meet all the needs. Prioritization is required.
- Strategy design needs to be participatory and contextualized; there is no one-size-fits-all solution.
- We need to maintain a balance between social processes and service delivery (including hardware, distributions, etc.)

Materials

- Handout 6.1.1: Sectoral Exercises Getting to Know the Sphere Standards
- Handout 6.1.2: Shelter Case Study
- Handout 6.3.1: Minimal Technical Information Requirements for Preparing and Reviewing Shelter Sector Proposals
- Sphere Handbook

TIME	METHOD	CONTENT
2 min.	**Plenary**	In this session, the exercise will structured in the same way as in the previous session. We will focus on using Sphere for strategy design, building on key assessment findings to address shelter and settlement.
45 min.	**group work**	**Group Exercise:** Getting to know the standards: Divide the participants into four groups. Give Groups A and B the three-line scenario on Shelter and Groups C and D the scenario on NFIs (see handouts). • Each group should briefly present their proposed solution to the peer group working on the same scenario. Conduct a *peer review* and identify differences between the proposed strategies. Be prepared to propose one strategy in plenary. Clearly identify how Sphere has been applied (note relevant pages, as needed).
30 min.	**peer reviews**	Use Handout 6.3.1 and the following questions to debrief: • How does the technical design propose to address Sphere standards on appropriateness, safety, etc.? Look for specific applications of physical and design indicators to the local context. • How did the team factor in social processes? Participation? • Any considerations for procurement chains? Local market?
	plenary	
45 min.	**Individual reading and small group discussion**	**Best Practice and Case Study** 1. Review Case Study on Shelter. Discuss Learning Questions in small groups of four (change groups, if needed). 2. Debrief in plenary focusing *only* on *applicability* for Country X (Question 4).

SESSION 6.4: STRATEGY REVIEW (1½ HR.)

Objective

- To review and revise strategies with the goal of maintaining the high standards of independence, effectiveness and impact as defined in the Sphere Common Standards and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

Key Messages

- The Sphere Common Standards and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief should guide our emergency response strategies.
- An emergency response strategy needs to be technically strong, and it needs to be gender responsive, participatory, accountable and designed to build on local capacities and reduce vulnerabilities.
- Be innovative!

Materials

- Sphere Handbook: Gender, p. 15; Core Standard 1, People-Centered Humanitarian Response, p. 55; Code of Conduct, p. 368.

TIME	METHOD	CONTENT
15 min.	**Plenary reading**	Participants read aloud from the Sphere Handbook, p. 15 on gender as a cross-cutting theme, Core Standard 1, People-Centered Humanitarian Response; and the Code of Conduct.
40 min.	**Group work**	Form groups, with each group allocated one sectoral strategy. The task is: 1. To review the strategy, using the tool below and the standards or principles from Sphere (gender, participation, building on capacities, reducing vulnerabilities etc.) 2. To adapt and improve the strategy to make it more participatory, accountable, gender responsive, etc. Draw the matrix on a board (or flip chart) and explain the ranking process. Fill in certain columns, if needed, to illustrate logic. (This matrix was introduced in Module 5 Session 5). • Strategy • Gender Responsive • Participatory • Accountable • Other Rank on scale of 1–5, with 1 = poor and 5 = good
35 min.	**Plenary presentations and discussion**	Each group presents their strategy review and proposed innovations that will attain Sphere Standards and adhere to the Code of Conduct. Discuss and **conclude** with Key Messages.

SESSION 6.5: ~~BENEFICIARY~~ REGISTRATION (1½ HR.)

Objective

To be capable of implementing transparent, accountable ~~beneficiary~~ registration

Key Messages

- Transparency and information sharing with the community are critical to effective and accountable registration and distributions.
- Registration processes are required for any effective distribution and should be done directly, not based on secondary (government/army) data.
- Each ~~beneficiary~~ (head of household) must have a distribution token before the day of the distribution.
- The serial number on the distribution token must match the serial number on the family registration form held by the NGO.
- Only information that will be useful should be collected. 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 (PLW); 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 the people we are serving 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

- Handout 6.5.1: Registration Form

Facilitation

TIME	METHOD	MESSAGE AND CONTENT
5 min.	**Introduction**	Almost all emergency responses involve distributions of some kind. What are some of the key steps in preparing for distributions? What is a registration process and what type of information is collected?
5 min.	**Instructions**	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.* In preparing for the training, you need to develop five simple guidelines to ensure that the identification of the people you are serving (registration and token distribution) is conducted in a dignified, equitable, accountable and secure way. Ask groups to write their guidelines on sticky notes or index cards (one idea per card).
20 min.	**Group work**	Possible Guidelines—Registration: • Develop and discuss selection criteria in a community meeting. • During registration, collect only information that you will use. • Manage tokens the same way as cash. • Large families can receive two or three tokens (e.g., two kits for 9–15 family members, three for 16+ members) • Provide information on distribution location, date and time, as well as package content, at the time of token distribution. • Establish rules to deal with "exceptions" (people who register late; people with no IDs, etc.). • Do your own registration. • Spot-check the process.
20 min.	**Plenary**	Round-robin debrief: Each group is invited to share *one* guideline. Obtain agreement from participants as to whether it should be one out of the five possible guidelines. Rephrase or clarify the guideline as necessary, and note it once you reach consensus. Repeat for each guideline until five (or six maximum) are noted. (This achieves a high degree of discussion, collaboration and buy-in).
20 min.	**Group work**	Return to your groups and design your registration form, based on the scenario. Think carefully about what information is required, and collect only information that is useful.
10 min.	**Gallery walk**	Post the registration forms and conduct a gallery walk to identify common features and areas of differentiation.
10 min.	**Plenary Q&A**	**Conclude** with a question-and-answer discussion to understand why a registration form is essential: • It is a planning tool that tells you the total number of households and individuals requiring each type of package. • If required (e.g., for later programming), it can indicate the gender and age breakdown or vulnerabilities (e.g., PLW, disabilities, very young children). • It is a control that can be used to check the name of head of household and serial number of ~~beneficiary~~ tokens/ID cards when the distribution begins. • A copy can be used as the distribution master roll, which the people you are serving will sign to show that they have received their ration.

SESSION 6.6: HOW TO ORGANIZE A DISTRIBUTION

(1½ HR. OR 2 HR. 20 MIN.)

Objective

~~•~~ To be capable of organizing a transparent, participatory, equitable relief distribution

Key Messages

- Transparency and information sharing with the community is critical to effective and accountable distributions.
- A distribution committee that 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, and daily and weekly distribution reports.
- A distribution must be carefully monitored, including the quality of items, dignified treatment of the people we serve, number of people served and quantities distributed.

Materials

- Sphere Handbook: Minimum Standards in Food Security, pp. 175–213
- Handout 6.6.1: Guidance on Distributions Forms and Tools
- Handout 6.6.2: Distribution Templates
- Handout 6.6.3: Distribution Pipeline Templates
- Bananas, sweets, rope, clipboards and other props, if doing the optional distribution role-play.

Facilitation

TIME	METHOD	MESSAGE AND CONTENT
5 min.	**Reading aloud**	Read aloud the Sphere standards on food transfer (p. 192).
5 min.	**Instructions**	Now, for the same scenario, develop guidelines for your field team to conduct a transparent, participatory, equitable relief distribution.
20 min.	**Group work**	Ask groups to draft eight simple guidelines for distributions. Write guidelines on sticky notes or index cards (one idea per card). Possible Guidelines—Distribution: • Involve the people you are serving in a distribution committee that 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 the people ahead of time: what they will receive, when, where and how. • Establish clear roles and responsibilities for your team. • Ensure that enough materials are available from the start for the planned number of people you are serving (can factor 5 percent extra). • Monitor the process (and content!).
15 min.	**Plenary**	Round-robin debrief: Each group is invited to share *one* guideline. Obtain agreement from participants as to whether it should be one out of the eight possible guidelines. Rephrase or clarify the guideline as necessary, and note it once you reach consensus. Repeat for each guideline until eight (up to 10 maximum) are noted.
15 min.	**Plenary reading aloud, Q&A**	Distribute Handouts 6.6.1 and 6.6.2. Read aloud the description of each form, and take time to understand each form.
15 min.	**Group work**	In groups, draw a diagram of the layout of a distribution site, using the guidance in Handout 6.6.1.
15 min.	**Plenary discussion**	The members of one group present their distribution plan. The others ask questions and suggest improvements. Review the guidelines from the earlier group work to confirm that all participants are adhering to them. **Conclude** with Key Messages.
15 min.	**Group role-play preparation**	**Optional Distribution Role-Play** Split into two groups. Preparation is as follows: First group consists of the people we are serving. We need to have their names registered for the distribution, so two members of the group use the registration forms to write down the details of people's ID cards, family size, etc. People should give real information, e.g., family size as much as possible. Second group decides how to lay out the distribution site and who will have what task. They receive the completed registration forms.
20 min.	**Mock distribution**	**Distribution** The second group receives the stock (sweets or bananas) from the facilitator and does the physical inventory. Then they call up the people we are serving and start the distribution. At the end they fill out the distribution report.
15 min.	**Plenary discussion**	**Plenary Discussion** What did we learn from this role-play? Did we adhere to our guidelines and use the distribution layout and tips in Handout 6.6.1? What lessons learned or best practice can we add to our guidelines based on this role-play?

SESSION 6.7: ALTERNATIVES TO DISTRIBUTIONS (1 OR 2 HR.)

Objective

- To have a basic understanding of the alternative mechanisms available to deliver emergency relief do a disaster-affected population

Key Message

- Distributions are not the only mechanism for reaching the people we serve with certain goods. Alternative strategies such as vouchers, cash and fairs provide significant advantages in terms of logistics and ~~beneficiary~~ involvement.

Materials

Handout 6.7.1: PowerPoint Presentation on Voucher Methods

Facilitation

TIME	METHOD	MESSAGE AND CONTENT
20 min.	**Plenary discussion**	**Explore alternatives to distribution:** What are the advantages and disadvantages of using distributions and the means of getting assistance to the people we serve? For example, **Advantages:** • Quick, easy to organize, easy to account for relief materials, good for standardized relief packages **Disadvantages:** • Waiting in line does not uphold ~~beneficiary~~ dignity; NGO organizes and is responsible for the purchase, transport and distribution of goods; the people we serve do not have choice over relief materials.
10 min.	**Plenary Q & A**	What are alternative strategies for delivering assistance to disaster-affected communities? For example, • Vouchers in exchange for a selection of goods at local vendors • Vouchers in exchange for a selection of goods at an NGO distribution • Cash handouts
15 min.	**Presentation**	If any participants have experience of any of the above, ask them to share their experiences, or the facilitator can give a brief presentation, based on a recent experience. For example, • The context and aim of the project (e.g., livelihood support) • Assessment: identification of needs and the people we serve • Vendor identification, price ceiling agreement • Vendor training • ~~Beneficiary~~ training • Distribution of vouchers, ID cards, fingerprinting, mobilization • Shopping
10 min.	**Plenary discussion**	Ask participants what they think the differences are between cash and commodity vouchers, using the vouchers in a market or a fair. • Cash vouchers give the people we serve free purchasing choice from registered vendors. • Commodity vouchers can be exchanged for a fixed commodity from registered vendors. • Shopping can be done in the town market with registered vendors. • Shopping can be done at an organized fair where registered vendors are brought together in a selected venue. Summarize with the PowerPoint presentation.

TIME	METHOD	MESSAGE AND CONTENT
1 hr.	**Group work**	Optional Group Work Exercises: • Identify the advantages and disadvantages of each of these types of vouchers. • Make a plan for implementing a voucher program. What steps need to be taken before, during and after the people we are serving go shopping? What tools need to be developed? • Identify the necessary conditions for implementing a voucher program.

ANNEXES MODULE 6

ANNEX 6.1.1 SECTORAL EXERCISES GETTING TO KNOW THE SPHERE STANDARDS

Time: 30 min., small group work; 30 min., peer review and write-up

Instructions: In your groups, read your scenario and, using the Sphere Handbook, determine the following:

- What standard(s) apply to the scenario?
- What are the relevant indicators that we have to reach?
- What guidance notes would best help to design the intervention to achieve the standard?

Based on your analysis of the assessment information provided in the scenario and review of relevant Sphere standards, draft (in bullet points) a response strategy that includes:

- One objective statement
- Four or five key outputs of the response project (specifying the number of outputs expected)

Tip: Make assumptions on the scenario presented in the case study to justify your selection, as needed. These assumptions should correspond to information required to design your response.

- Be prepared to present and discuss your proposed solution to the other group working on the same scenario.
- Write your proposed strategy (objective and outputs) on one flip chart. Indicate any assumptions you have made.

Notes

1. An objective statement expresses an aim that is realistic, specific to the project, and measurable. They are the central purpose of the emergency response. Write it in a full sentence, as if already achieved. Put the targeted primary ~~beneficiary~~ group(s) as the subject of the sentence.
2. Outputs are goods or services (including knowledge, skills, attitudes, enabling environment) provided by the project. Write it in a full sentence (as if already completed) and put the targeted primary ~~beneficiary~~ group(s).

Water and Sanitation

Groups A and B: Assessment findings indicate that people have moved out of their villages and are congregating in schools and other public buildings. The government is planning to provide food rations for the next 10 days, but sanitation conditions are rapidly deteriorating. In response, you decide to address the sanitation issues in three camps. Two of these camps are located in schools where toilets exist (blocks of eight toilets in each camp) but these are in poor condition and starting to overflow due to the overcrowding. There are 1,200 people staying in these camps and 65 percent are women or girls. Open defecation is generally practiced in this affected district since only 30 percent of households had latrines before the flood.

Groups C and D: Assessment findings indicate that, despite high levels of damages to houses, people are staying their village of origin to protect their assets, especially livestock. Families typically own two cattle and three to five goats, but have incurred some losses (estimated at 20 percent). By salvaging materials from their collapsed homes, they have been able to patch up their shelters themselves. However, the water wells were damaged, and water sources are contaminated. Stagnant water is becoming a breeding ground for mosquitos. Food is being provided by the government, and your priority is to address the water needs in 10 villages. An average of 40 households resides in each village with an estimated six people per household as per national census data.

Shelter and Settlement

Groups A and B: Assessment findings indicate that, despite high levels of damages to houses, people are staying in their village of origin to protect their assets. People typically live in houses made of mud and bamboo, which collapsed due to standing waters. Currently, families are sleeping in open air (due to excessive heat under tents), and women complain about the lack of privacy. Due to lack of shade, children are getting dehydrated during the heat of the day. In response, you decide to provide transitional shelter materials. You are planning to work in 10 villages, targeting an estimated 400 households. You've confirmed that bamboo is readily available on the local market. Skilled labor is available locally.

Groups D and C: Assessment findings indicate that people have moved out of their villages and are spontaneously congregating along roadsides, in schools and other public buildings. The government is planning to provide dry food rations for the next month but people were not able to salvage many assets and do not have the basic facilities. Families who left early enough were able to bring livestock, especially cows and buffalo. Based on your gap analysis, you decide to provide an nonfood item (NFI) package to meet the needs of 5,000 households. You are concerned because winter is fast approaching, and people are exposed. Women represent at least 50 percent of the population.

Food Security, Nutrition, Food Aid

Form Only One Group for Food-Related Discussions

Assessment findings indicate that people have moved out of their villages and are spontaneously staying on embankments, on higher roads or in other public places. The government is providing two meals a day but only in formal camps. While men from spontaneous settlements travel to these camps at night to eat evening meals, women stay in the huts with the smaller children as they cannot travel at night or leave their meager possessions. There is a seemingly high number of pregnant and lactating women who are receiving inadequate nutrition.

You expect waters to recede by the end of the month, enabling affected families to return to their homes. They have lost all their grain stocks, and key infrastructure is damaged. Local markets are now functional, and families have received cooking utensils from other NGOs.

Based on assessment information, you identify additional food needs and plan to respond. You intend to work only with families residing in spontaneous settlements, an estimated 1,200 people.

ANNEX 6.1.2 CASE STUDY—SANITATION

Assessments in Bihar, following the late August breach of the Koshi River, indicated that sanitation in formal and spontaneous camps was a clear priority. To effective design the sanitation activities, key assessment findings needed to be taken into account. In particular, 66 percent of households interviewed in the assessment stated that they practiced open defecation before the floods, while 31 percent used open streams or ponds. Despite these preexisting practices, affected people repeatedly raised concerns over the proximity of defecation areas to the makeshift huts that composed the camps. In addition, the only users of the few, very makeshift latrines constructed over the open canals were women, as they had no alternative during the day. Their preference, however, was to wait for darkness and travel in groups to open defecation areas. The overcrowding and very limited physical space in camps suggested that communal latrines were the only option.

Given the complexity of the situation and the prevailing sanitation practices, it was imperative to design a creative, locally appropriate alternative that would avoid the pitfall of faced by other agencies: building emergency latrines that are subsequently not used. The staff initiated extensive consultations with men and women in camps. Latrine design, privacy issues and maintenance were discussed, so that culturally appropriate solutions could be devised. This included providing community labor for digging trenches and cleaning latrine sites (of feces); using local materials such as bamboo mats (tatia) and poles for the enclosure; and discussing separate, marked latrine blocks for men and women. Regarding maintenance, it was agreed that, rather than forming stand-alone maintenance committees or paying cash-for-work to support cleanup, individual users of any given latrine block should be held responsible for cleanliness. Simple steps such as mothers accompanying children, using ash and soil to cover feces, and avoiding use of water in the trenches (to allow for quicker decomposition) were agreed upon. In addition, hygiene promoters conducted daily visits and routine awareness-raising activities. These adopted a range of methods including the “red flag game,” which involves engaging individual users in tagging open defecation in and around the latrine with a flag tied to a pole—a visual and engaging way to raise awareness of inappropriate use.

Learning Questions

1. What did you learn from the case study? What is new or innovative about the case study?
2. How did the strategy selection differ from your previous group exercise?
3. How does the case study take Sphere into account?
4. Is this strategy applicable in your country's context? If so, how? If not, why not?

Case Study—Shelter

The 2005 Earthquake in Pakistan resulted in more than 3 million families losing their homes. With winter fast approaching in this mountainous region, provision of shelter to enable affected people to withstand the harsh cold was the clear priority. While many agencies continued to promote winterized tents and other prefabricated solutions, Catholic Resource Services' shelter team carried out a technical assessment of affected areas to systematically review what construction techniques were typically used and what skills or capabilities existed in the villages; the structural failures caused by the earthquake and options for seismically resistant construction; and the availability of materials, including timber and corrugated iron sheets, and tools. A package of materials was put together with simple guidance on how to ensure structural reinforcements, and it was pilot-tested in three villages by local carpenters. This resulted in rolling out a shelter program that followed a four-step process that included (1) intensive social mobilization and formation of shelter committees; (2) identification of local skilled labor and construction of a demonstration shelter for an extremely vulnerable family (identified by the village); (3) provision of materials and 2,000 pak rupees; and (4) technical follow-up and cash-for-work payments to skilled laborers. Essentially, the program sought to operationalize Sphere shelter and settlement standards by engaging the people we serve in a self-build model and promoting standards the construction of "safe, adequate and durable" shelters.

The program was considered a success in many regards, with CRS delivering 19,916 shelter units in under five months. The success was a result of several key factors. First, the approach and shelter design were premised on the fact that members of households could build the shelters themselves by using local resources. For example, even though the roofing materials were sufficient to ensure covered space of 3.5. sq. meters per person, CRS did not provide timber for the frames. Families were expected to reuse materials from their collapsed houses. Second, key technical guidance was developed for construction safety, adequacy and durability, resulting in adoption of simple yet effective techniques such as use of cross-bracing, building stonewalls only to a 3-foot height, grounding of pillars, and so forth. Finally, given the extremely challenging logistics, CRS opted to use cash as an enabler of the distribution and construction process. Specifically, materials distributions were done at centralized locations and the people we were serving received a cash grant to cover transport costs back to the village. The grant also included a provision for the hiring of two laborers to clear rubble or support construction of individual shelter. Monitoring and evaluation findings indicate that cash hugely facilitated the logistics and enabled a high degree of family ownership in the construction. In particular, results indicated that families invested significant labor and resources in the construction process and built far better and more durable homes than CRS anticipated at the outset.

Learning Questions

1. What did you learn from the case study? What is new or innovative about the case study?
2. How did the strategy selection differ from your previous group exercise?
3. How does the case study take Sphere into account?
4. Is this strategy applicable in your country's context? If so, how? If not, why not?

Case Studies—Food Security

Across the South Asia region, emergency response teams consistently identify food as a primary need in postdisaster scenarios. Nonetheless, there has been recognition of the logistical challenges associated with both organizing wet kitchens, which provide wet food, and with distributing dry rations, which ensure the appropriate caloric values for all household members. In Orissa, India, for example, lower caste members of the villages are prevented from sharing utensils or food with other villagers, even though all are equally affected by the devastation. In Afghanistan, trucking large quantities of commodities across highly insecure areas is a significant problem. Inevitably, emergency evaluations have found that food is arriving too late; that distribution mechanisms are excessively complex; that rations are not suited to local cultures; and so forth. In response, programs across the region are exploring alternative means of enabling disaster-affected families to access food.

Immediately following the devastating Cyclone Sidr in Bangladesh, in November 2007, Caritas Bangladesh initiated an emergency cash-for-work program, putting people to work clearing debris.

In just three months, the program provided 225,000 person-days of cash for work, meaning that more than 13,000 families received a combined total of over $400,000. Activities included immediate rubble and pond clearing, road repair, and rebuilding of embankment and other community infrastructure.

Similarly, in Afghanistan's winter emergency response in January 2008, a cash-for-work strategy was used to clear critical access roads and enable families (male family members) to earn cash during the winter months. In Herat and Ghor, CRS employed more than 20,000 laborers in snow-cleaning activities with participants working for an average of five days at $4 per day.

In both Afghanistan and Bangladesh, the benefits of using cash for work were multiple. First, the strategies engaged the people we were serving productively, enabling them to earn income for themselves rather than receiving a predetermined package of food materials. Second, it allowed families to make their own individual choices about their family priorities and food (or nonfood) preferences. Finally, although not the primary focus, the schemes themselves served to restart community life. For example, in Afghanistan, the road to Iran, which is the source of vital supplies to the Western provinces, was reopened, staving off further gas shortages.

Learning Questions

1. What did you learn from the case study? What is new or innovative about the case study?
2. How did the strategy selection differ from your previous group exercise?
3. How does the case study take Sphere into account?
4. Is this strategy applicable in your country's context? If so, how? If not, why not?

Case Study—Water

Access to quality water is arguably one of the most critical challenges in postflood scenarios. Tube wells and other water infrastructure are submerged or damaged, and standing or stagnant waters put affected households at risk of water-borne and water-related illnesses. In the Koshi Response in Bihar, the displacement of families from their villages created population concentrations, stretching the few available water sources. Hand pumps were quickly dug along canals with no verification of water quality.

In response, the team adopted a two-pronged approach focusing on (1) increasing water access by providing additional water points and (2) improving quality of drinking water at the household level. The drilling of hand pumps was done through a local contractor; however, the design included establishing a ring around the base and platform to prevent standing water and run-off. Water points for bathing areas were also designed with a washing surface covered by a large tarpaulin placed on a slight slope to allow drainage into the canal.

Initial water quality tests (using simple H_2S strips) on new and existing wells found that 60 percent of tests were positive for total fecal contamination. The WASH (Water, Sanitation and Hygiene for All) team initiated distributions of bleaching powder to "shock" wells and trained community or camp leaders in the process, so it could be repeated every 15 days. In addition, the team piloted the installation of online chlorinators that drip chlorine directly into the tube well as the user pumps out water. These two options were being piloted and discussed with the people we were serving to determine effectiveness and the feasibility in terms of maintenance at the time of drafting the case study.

In the meantime, the test results reconfirmed the necessity to focus on household practices. At the household level, water quality was primarily addressed through the provision of halogen tablets, filtering cloths and covered water containers. Although camp populations were somewhat familiar with the use of halogen tablets, CRS partner MDS reinforced this knowledge with a systematic educational outreach campaign. This included demonstrations at the distribution sites as well as smaller repeat demonstrations and quick orientation sessions in the camps (generally with two or three huts gathered together) and provision of pamphlets illustrating the filtration process. Although intensive, evidence pointed to household follow-up visits being an extremely effective way to reinforce messages and ensure proper use of halogen tablets.

Learning Questions

1. What did you learn from the case study? What is new or innovative about the case study?
2. How did the strategy selection differ from your previous group exercise?
3. How does the case study take Sphere into account?
4. Is this strategy applicable in your country's context? If so, how? If not, why not?

ANNEX 6.3.1 MINIMAL TECHNICAL INFORMATION REQUIREMENTS FOR PREPARING AND REVIEWING SHELTER SECTOR PROPOSALS

- *Overall mandate*: How does the proposal relate to the overall Office of U.S. Foreign Disaster Assistance (OFDA) mandate of saving lives, relieving human suffering, and reducing the economic influence of natural and human-caused disasters?
- *Assessment data*: Do baseline data appear to be reliable benchmarks for evaluating identified issues and needs? Who did the studies? Is a damage profile presented? Are market impacts and opportunities discussed? What is the size of the total housing stock in the affected area?
- *Terminology*: Are important terms (e.g., houses, dwelling units, households, families, homeless) defined clearly, *and* used consistently in the document?
- *Process and product*: What actions are being proposed? Do they appear strongly related to the analysis and data presented? Is there evidence of a process of decision making that resulted in the identification of the proposed actions? Who participated in the process?
- *Labor component:* How was housing built in the area before it was damaged? Who built the housing? How long did it take to build the housing, on average? If self-help is proposed, how will the people we serve be assisted if they cannot perform required activities?
- *Government or authority*: To what extent is relevant governmental authority support of proposed actions reflected in the proposal? What role is identified for local governments and organizations? How do proposed actions relate to Sphere project guidelines? How are any differences between these guidelines and local regulations, practices, or expectations reconciled? What role will local authorities have in identifying the people we serve, and how will the proponent ensure the interests/needs of these people throughout the duration of the proposed activity?
- *Social issues*: How does the proposal accommodate the most vulnerable, that is, those located on hazard-prone lands, and/or the poor, squatters, young, elderly, handicapped, and displaced?
- *Supply-side issues*: Have local homebuilding industry capacity and capabilities been examined? What is the availability of local building materials? What are industry constraints? To what extent can homebuilding industry engagement in repair activities help stimulate economic recovery or growth?
- *Mitigation*: Have opportunities for mitigation and prevention of *future* disasters been identified (e.g., seismic-resistant construction)? Have they been made integral components of the analysis?
- *Links*: Have links to other sectoral activities been identified (e.g., livelihoods and environmental management)? How have these opportunities been incorporated into the proposal?
- *Sustainability*: Emergency shelter activities often provide a framework for subsequent transition

and reconstruction efforts. Does the proposal link emergency work to longer-term efforts?

- *Reporting and evaluation*: How, and how often, will results be reported? Will “people assisted” be reported, in addition to “materials distributed”?

ANNEX 6.5.1 REGISTRATION FORM

(name of partner) ________________________________ / CRS

District _________________________________ Block ___________________________ Page ______ of ______

Village name ____________________________________ Village code ___________

Person filling form: Name _________________________ Signature ________________________ Date _________________

S.N.	HH CODE	NAME HEAD OF HOUSEHOLD	NAME OF WIFE	NUMBER OF HH MEMBERS	HOUSE DESTROYED	DATE OF DISTRIBUTION

Countersigned by: Position ________________ Name ___________________ Signature _____________ Date _________

Countersigned by: Position ________________ Name ___________________ Signature _____________ Date _________

ANNEX 6.6.1 PROPOSED DISTRIBUTION FORMS AND TOOLS

Tools and Signage

1. **Registration lists** for verification of the people we serve, including name of head of household, name of his wife (when different), total number of household members present now, and whether the house was destroyed or damaged. Columns should be included for village and household codes on the left-hand side (for ease of verification at distribution), and for distribution date (to be filled in only at the time of distribution) on the right-hand side.
2. **Color-coded tokens** will be distributed to all target households, one color for the "general" package and one for plastic sheeting (tarps). Tokens should include village code, household code and name, distribution date and time.
3. **Distribution ledger**: used for ~~beneficiary~~ signature of items received at distribution. It includes the household code and name, columns for the items to be received (to be checked as received), and a place for ~~beneficiary~~ signature (with countersignature of village leader / other officials at the bottom of each page).
4. **Master verification sheet**: These are simple sheets to cross off household code numbers (001 to 100 on sheet one, 101 to 200 on sheet two, etc., as needed.) against tokens received, for verification purposes. The sheets must be village-specific, with village codes listed on top of each sheet. In case of large families (receiving two or more tokens under a single household code), the number of rations should be filled in the appropriate cell.
5. **Daily distribution report**. This will be filled by the distribution supervisor and usually includes quantity of items received from the warehouse, quantity returned to the warehouse, total households served as per token collected (and/or other registers). This allows comparison of the theoretical quantity distributed according to the number of families served and actual items distributed as per stock movements, allowing identification of possible losses or thefts or problems with the distribution process (i.e., households forgetting to collect one item or collecting two of something by mistake).
6. Compiled **weekly distribution reports** by location, allowing tracking of daily and cumulative ~~beneficiary~~ numbers.

Organization of the Distribution Site

1. **Space** is key to ensuring an orderly distribution process. Identify a large outdoor location, which can be easily demarcated and closed off on three sides with ropes or other materials.
2. Distribution will require **multiple stands, depending on the packaging of items. O**ne stand at start and finish for verification and stands per item/packages, keeping the heavier items for last. Because not all households will receive tarps, start with this stand and collect the shelter token at this stand. This will give the following organization:

3. stand 1 for verification of tokens against the registration list and collection of “general” token;
   a. stand 2 for tarp distribution and collection of the token colored for tarps;
   b. stands 3 – 5 for distribution of food, water and hygiene items;
   c. stand 6 for ~~beneficiary~~ signature on the distribution ledge.
4. Stands should ideally be at least **3–4 meters apart**, allowing a smooth flow of the people we are serving from one to the next. There should be safe space behind each stand to stock the items to be distributed.
5. **No one** should be allowed to enter the perimeter of the distribution. A large “waiting area” should be demarcated for the people waiting to be served. To the extent possible, this is where hygiene promotion should be conducted.
6. Provide large **plastic tarps** (36 × 24 ft) to ensure protection of the relief items at each stand, as well as the people waiting to be served, in case of rain.
7. Plan for **two people per stand** on average, two or three people at the exit, as well as at least one roving supervisor not assigned to any particular stand and responsible for trouble shooting and monitoring the overall flow of the distribution. The first and last stand should be staffed by trusted staff or volunteers who can read/write in English, including (but not limited to) village committee members.
8. **Large posters** should be posted at the entrance of the distribution site to inform the people of the distribution package that they are entitled to. Model colored tokens should be pasted on the poster to indicate which token corresponds to which items.
9. It may be useful to have additional **signage** with name(s) of village(s) targeted for distribution today, and name(s) of village(s) targeted on next day, with time.
10. It is proposed to have **one or two hygiene animators**, equipped with a megaphone, who can explain and demonstrate use of the water treatment materials to the people waiting to be served.
11. *Useful materials for distribution*: clipboards for supervisors or verification stands in case tables cannot be arranged, to facilitate manipulation of the lists and signature; secure boxes to keep tokens once collected; megaphone for those responsible for keeping order; and so forth.

Distribution Process and Principles

1. Outside the distribution area, one staff person organizes the people we are serving and ensures that only the people from a given village enter at one time, in order to facilitate the distribution process. At the end of the distribution, stragglers from all villages targeted for that day can be allowed to go through, with special care being given at first and last tables that their tokens are checked against the correct village lists or ledgers.
2. **Stand 1**: Token code and name are verified against the registration list at the entrance of the

distribution area; the date of distribution is recorded on the registration list; both tokens are stamped and the “general” token may be collected (alternatively, it can be collected at the exit point). Staffing: two people—one reading aloud the token information and then stamping the tokens, while the second checks the list and writes in the distribution date.

3. **Stand 2 (tarps)**. If the people have a shelter token, they show it and receive a tarp; if they do not have a token, they skip the stand and move to stand 3. Staffing: one or two people.
4. The ~~beneficiary~~ then moves from stand to stand to receive all other food and nonfood items. Staffing: one or two people per stand, depending on stack management.
5. **Last stand**: Before exiting the distribution area, a supervisor verifies with the recipient that he or she has all the items, and then the supervisor **collects the token(s)** (particular attention should be given to ensure that only people with a shelter token have tarps) and reads the household code and name aloud. Another person finds the household code on the distribution registers, ticks off the appropriate columns, and asks the recipient to **sign or make a thumb print** on the ledger. Meanwhile a third person crosses off the household code on a **master verification sheet**. (Given that we are collecting tokens, it is not essential to mark people needing shelter differently on this verification sheet.) In case of families receiving two or more rations (two or more tokens handed in), the **number of rations** should be marked on the master verification sheet.

Record Keeping

1. Before distribution starts, each “stand supervisor” verifies his or her stocks and informs the overall distribution supervisor. This information is entered on the daily distribution report (initial stock).
2. After distribution is completed, each stand supervisor counts the remaining items (if any) and provides the information to the distribution supervisor. This information is entered on the daily distribution report (final stock).
3. The tokens are counted and entered on the daily distribution report (number of general tokens, number of shelter token).
4. The staff people responsible for the registration list (stand 1) and distribution ledger (last stand) count the number of households served in each village (and how many of these received shelter materials) and provide the total to the distribution supervisor.
5. The distribution supervisor verifies that totals match and that actual quantities of items distributed correspond to the tokens received. If they do not match, losses or underdistributed numbers are recorded, possible causes are investigated, and measures taken to address the problem for next distribution.
6. At end of day, distribution data are reconciled against warehouse documents, and village-wise information is compiled.

ANNEX 6.6.2 DISTRIBUTION TEMPLATES

REGISTRATION LEDGER

(name of Partner) ______________________ / CRS

District ______________________ Block ______________________ Page ______ of ______

Village name ______________________ Village code ____________

Person filling form: Name ______________________ Signature ______________________ Date ______________

S.N.	HH CODE	NAME HEAD OF HOUSEHOLD	SON OF / DAUGHTER OF / WIFE OF	NUMBER OF HH MEMBERS	HOUSE DESTROYED	DATE OF DISTRIBUTION

Countersigned by: position ______________ Name ______________ Signature ______________ date ________

Countersigned by: position ______________ Name ______________ Signature ______________ date ________

TOKEN

CRS DISTRIBUTION TOKEN

Village Code ________________________________

Household Code ________________________________

Name ____________________ s/o, d/o, w/o ____________________

Relief package ________________________________

Distribution time & date ________________________________

Distribution location ________________________________

Issued by: ____________________ Verified by: ____________________

DISTRIBUTION SIGN OFF

(~~name~~ of Partner) ________________________________ / CRS

Page 1 of ______

Name of District ____________________ Block ____________________

Village name ____________________ Village Code ____________________

Place of Distribution ____________________ Date of Distribution ____________

Name of Distribution Supervisor ________________________________

Name of Village Representative ________________________________

	HH CODE	BENEFICIARY NAME (AS ON TOKEN)	FOOD PACKAGE	HYGIENE / WATER KIT	SHELTER ITEMS	SIGNATURE / THUMB IMPRESS OF BENEFICIARY
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Remarks if any by Distribution Supervisor:

Signatures of Distribution Supervisor ________________________________

Organization Seal:

Signature of Community Representative ________________________________

__________________ / Seva Sanda Muzaffarpur / CRS / Caritas India

Village Code ________ Date _______________ Page _____ of _______

	HH CODE	BENEFICIARY NAME (AS ON TOKEN)	FOOD PACKAGE	HYGIENE / WATER KIT	SHELTER ITEMS	SIGNATURE / THUMB IMPRESS OF BENEFICIARY
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						

Signatures of Distribution Supervisor ____

Organization Seal:

Signature of Community Representative ____

MASTER VERIFICATION SHEET

(name of Partner) ______________________________ / **CRS**

page 1 : HH CODES 001 to 100

Village name ______________________________

Village code ______________________________

Distribution site ______________________________

Distribution date ______________________________

	0	1	2	3	4	5	6	7	8	9
1	001	011	021	031	041	051	061	071	081	091
2	002	012	022	032	042	052	062	072	082	092
3	003	013	023	033	043	053	063	073	083	093
4	004	014	024	034	044	054	064	074	084	094
5	005	015	025	035	045	055	065	075	085	095
6	006	016	026	036	046	056	066	076	086	096
7	007	017	027	037	047	057	067	077	087	097
8	008	018	028	038	048	058	068	078	088	098
9	009	019	029	039	049	059	069	079	089	099
10	010	020	030	040	050	060	060	080	090	100

Household served		**A**
Household absent		
Total		

			extra rations	
Two-ration HH		x 1 =		
Three-ration HH		x 2 =		
TOTAL EXTRA RATIONS				**B**

	TOTAL RATIONS
A + B	

Prepared by: ______________________________

(name and signature)

Verified by: ______________________________

(name and signature)

(name of OP) ______________________________ **/ Seva Sanda Muzaffarpur / CRS**

page 2 : HH CODES 101 to 200

Village name ______________________________

Village code ______________________________

Distribution site ______________________________

Distribution date ______________________________

	0	1	2	3	4	5	6	7	8	9
1	101	111	121	131	141	151	161	171	181	191
2	102	112	122	132	142	152	162	172	182	192
3	103	113	123	133	143	153	163	173	183	193
4	104	114	124	134	144	154	164	174	184	194
5	105	115	125	135	145	155	165	175	185	195
6	106	116	126	136	146	156	166	176	186	196
7	107	117	127	137	147	157	167	177	187	197
8	108	118	128	138	148	158	168	178	188	198
9	109	119	129	139	149	159	169	179	189	199
10	110	120	130	140	150	160	170	180	190	200

					extra rations					
Household served		**A**	Two-ration HH	x 1 =				TOTAL RATIONS	
Household absent			Three-ration HH	x 2 =				**A + B**	
Total			**TOTAL EXTRA RATIONS**			**B**			

Prepared by: ______________________________

(name and signature)

Verified by: ______________________________

(name and signature)

(~~name~~ of OP) ______________________________ **/ Seva Sanda Muzaffarpur / CRS**

page 3 : HH CODES 201 to 300

Village name ______________________________

Village code ______________________________

Distribution site ______________________________

Distribution date ______________________________

	0	1	2	3	4	5	6	7	8	9
1	201	211	221	231	241	251	261	271	281	291
2	202	212	222	232	242	252	262	272	282	292
3	203	213	223	233	243	253	263	273	283	293
4	204	214	224	234	244	254	264	274	284	294
5	205	215	225	235	245	255	265	275	285	295
6	206	216	226	236	246	256	266	276	286	296
7	207	217	227	237	247	257	267	277	287	297
8	208	218	228	238	248	258	268	278	288	298
9	209	219	229	239	249	259	269	279	289	299
10	210	220	230	240	250	260	270	280	290	300

						extra rations			
Household served		**A**	Two-ration HH		x 1 =			TOTAL RATIONS	
Household absent			Three-ration HH		x 2 =			**A + B**	
Total			**TOTAL EXTRA RATIONS**				**B**		

Prepared by: ______________________________

(name and signature)

Verified by: ______________________________

(name and signature)

DAILY REPORT

(~~name~~ of Partner) ______________________________ / **CRS**

Name of District ______________________ Block ______________________

Village name ______________________ Village Code ______________________

Place of Distribution ______________________ Date of Distribution ______________________

Name of Distribution Supervisor ______________________

Name of Village Representative ______________________

		TARPS	BISCUITS	HALOGEN TABS	NFI KITS	FOOD KITS	
A	Quantity received at start of distribution, in boxes						
B	Quantity received in units = A x number units per box						
C	Physical inventory at end of distribution - Returned to warehouse, in units						
D	Total expanded D = B - C						
E	Distribution as per HH records = tokens collected (HH present) x HH ration						
F	Difference F = D - E (explain)						

	Planned: tokens distributed	**Actual:** tokens collected
HH receiving food or hygiene kits		
HH receiving shelter kits		

	Registration ledger	Distribution sign-off sheet
Number HH present		
Number HH receiving shelter		
Number HH absent		

I certify that all above information is correct

Signature of Distribution Supervisor ______________________ Date ______________________

Verification by Project Coordinator ______________________ Date ______________________

ANNEX 6.6.3 DISTRIBUTION PIPELINE EXAMPLE

DISTRIBUTION X PLAN

(name of Partner) ______________________________ **/ CRS**

District X Distribution plan ______________________________

updated: ____________ date ____________

DATE	BLOCK 1			BLOCK 2			BLOCK 3			TOTAL			STATUS
	# FOOD-NFI KITS	# SHELTER KITS	TOTAL TONNAGE	# FOOD-NFI KITS	# SHELTER KITS	TOTAL TONNAGE	# FOOD-NFI KITS	# SHELTER KITS	TOTAL TONNAGE	# FOOD-NFI KITS	# SHELTER KITS	TOTAL TONNAGE	

BLOCK 1 PLANNING SHEET

__________(Name of Partner)__________________ / CRS

District: Block: updated (date) 35.2

	NAME OF GP (1)	NAME OF VILLAGE (2)	VILLAGE CODE (3)	NUMBER, FLOOD AFFECTED HH (4)	GENERAL TOKENS DISTRIBUTED (5)	SHELTER TOKENS DISTRIBUTED (6)	DISTRIBUTION POINT (7)	DISTRIBUTION DATE (8)	HH TARGETED FOR DISTRIBUTION (9)	TONNAGE NEEDED (10)	OBSERVATION (# BOATS AND TRUCKS NEEDED, ETC.)
1										0	
2										0	
3										0	
4										0	
5										0	
6										0	
7										0	
8										0	
9										0	
10										0	
11										0	
12										0	
13										0	
14										0	
15										0	
16										0	
17										0	
18										0	
19										0	
20										0	
21										0	
22										0	
23										0	
24										0	
25										0	

Instructions for filling the form

Village-wise assessment / registration information

1. Fill in first the GP that was selected for first round of distribution (most affected, underserved, etc.). List all affected villages in that GP.
2. List all flood-affected villages in that GP; rank them starting by the most-flood affected, list neighboring villages (that may receive distributions jointly) together.

3. The villages will be given codes for ease of tracking on reports and tokens, this can be done at a later stage.
4. Estimate the total number of flood-affected households in each village.
   - Once you have completed a GP, skip a row for the totals of columns 4, 5 and 6 = separate "GP total" row.
   - Move to next most-affected GP, and restart from step 1. You do not need to complete the information on the whole block before starting operations in the first GP, and it may not be possible to cover the whole block, but it would be helpful to have rough numbers of flood-affected households in all GPs in that block to estimate coverage and facilite coordination.

Registration information

5. Once the actual census and token distribution is completed, indicate actual number of flood-affected households in each village, which corresponds to the number of "general" (food + hygiene/water) tokens distributed.
6. indicate the number of flood-affected household whose house was destroyed or severely damaged (not livable), which corresponds to the number of shelter tokens distributed.

Distribution planning

7. Indicate where target households from each village will receive their relief packages.
8. List proposed date of distribution
9. Estimate how many households can be served in one day
   - in case of large villages that would require two or more days of distribution, repeat the rows as many times as needed and include target number for each day of distribution
   - in case of small villages, regroup to or more neighboring villages together, as most practical for distribution logistics. Include the total for these villages in column 10, either merging the cells together or including the information on the last row only.
10. The tonnage needed for the day will be calculated automatically. You may need to verify that the formula has been maintained in case of merged cells.

BLOCK 2 PLANNING SHEET

__________(Name of Partner)__________________ / CRS

District: Block: updated (date) 35.2

	NAME OF GP (1)	NAME OF VILLAGE (2)	VILLAGE CODE (3)	NUMBER, FLOOD AFFECTED HH (4)	GENERAL TOKENS DISTRIBUTED (5)	SHELTER TOKENS DISTRIBUTED (6)	DISTRIBUTION POINT (7)	DISTRIBUTION DATE (8)	HH TARGETED FOR DISTRIBUTION (9)	TONNAGE NEEDED (10)	OBSERVATION (# BOATS AND TRUCKS NEEDED, ETC.)
1										0	
2										0	
3										0	
4										0	
5										0	
6										0	
7										0	
8										0	
9										0	
10										0	
11										0	
12										0	
13										0	
14										0	
15										0	
16										0	
17										0	
18										0	
19										0	
20										0	
21										0	
22										0	
23										0	
24										0	
25										0	

Instructions for filling the form

Village-wise assessment / registration information

1. Fill in first the GP that was selected for first round of distribution (most affected, underserved, etc.). List all affected villages in that GP.
2. List all flood-affected villages in that GP; rank them starting by the most-flood affected, list neighboring villages (that may receive distributions jointly) together.

3. The villages will be given codes for ease of tracking on reports and tokens, this can be done at a later stage.
4. Estimate the total number of flood-affected households in each village.
   - Once you have completed a GP, skip a row for the totals of columns 4, 5 and 6 = separate "GP total" row.
   - Move to next most-affected GP, and restart from step 1. You do not need to complete the information on the whole block before starting operations in the first GP, and it may not be possible to cover the whole block, but it would be helpful to have rough numbers of flood-affected households in all GPs in that block to estimate coverage and facilite coordination.

Registration information

5. Once the actual census and token distribution is completed, indicate actual number of flood-affected households in each village, which corresponds to the number of "general" (food + hygiene/water) tokens distributed.
6. indicate the number of flood-affected household whose house was destroyed or severely damaged (not livable), which corresponds to the number of shelter tokens distributed.

Distribution planning

7. Indicate where target households from each village will receive their relief packages.
8. List proposed date of distribution
9. Estimate how many households can be served in one day
   - in case of large villages that would require two or more days of distribution, repeat the rows as many times as needed and include target number for each day of distribution
   - in case of small villages, regroup to or more neighboring villages together, as most practical for distribution logistics. Include the total for these villages in column 10, either merging the cells together or including the information on the last row only.
10. The tonnage needed for the day will be calculated automatically. You may need to verify that the formula has been maintained in case of merged cells.

EMERGENCY OPERATIONS DEPARTMENT

MODULE 7:

Emergency Monitoring and Evaluation Systems

~~(2½ days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 5: Analysis and Project Design (2½ days)

Module 6: Technical Design and Distributions (2 days)

Module 8: Refresher Training: Pulling It All Together (2½ days

CATHOLIC RELIEF SERVICES

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MODULE 7: EMERGENCY MONITORING AND EVALUATION SYSTEMS (2½ DAYS)

Objective

To improve the overall effectiveness and accountability of emergency response programs

Expected Results

- Participants are able to use or apply Sphere in assessments and M&E (monitoring and evaluation) for emergency programs.
- Participants are equipped to (work with partners to) develop "good enough" monitoring systems for emergency response programs.
- Participants have the knowledge and skills required to conduct a real-time evaluation (RTE).

Brief Overview and Tips

This 15-hour module takes participants through the definition of the objective hierarchy and indicators and familiarizes participants with Catholic Relief Services tools and guidance developing and reviewing an M&E system. Tools are introduced, including quantitative and qualitative data collection, sampling and RTE.

Session 7.1	Monitoring in the Initial Days of an Emergency Response	(3 hr.)
Session 7.2	Project Frameworks	(1 ¼ hr.)
Session 7.3	Indicators	(1½ hr.)
Session 7.4	From Logframes to M&E Matrix: Indicators and Means of Verification	(1 hr.)
Session 7.5	M&E Matrix: Analysis and Use of M&E Information	(1½ hr.)
Session 7.6	Monitoring Systems	(1½ hr.)
Session 7.7	Monitoring Forms	(2 hr.)
Session 7.8	Reviewing M&E Systems: Accountability	(1½ hr.)
Session 7.9	Reviewing M&E Systems: Emergency Phases	(2 hr.)
Session 7.10	Sampling—Overview	(30 min.)
Session 7.11	Real-Time Evaluations	(2 hr.)

- A game can be used to introduce the participants to each other. Handout 7.0.1 has a list of terms and definitions. Cut them up and distribute them to participants who have to find the matching definition. Post them on the wall and refer to them, as needed, throughout the workshop.
- Prepare presentations on M&E systems used in recent emergency programs, to generate discussion in Sessions 7.2 and 7.5.
- This module assumes a basic knowledge of participatory information collection methods. If participants need training in these, see Module 3 on Needs Assessment.
- This module requires a certain intellectual level and ability to work on theory.

Further Resources

- CRS Asia M&E Guidance
- CRS ProPack I and II
- Caritas Internationalis Emergency Response Toolkit, Sections 4, 5, 6
- Real Time Evaluations of Humanitarian Action, an ALNAP Guide

SESSION 7.1: MONITORING IN THE INITIAL DAYS OF AN EMERGENCY RESPONSE (3 HOURS)

Objective~~:~~

To practice designing initial quick and light monitoring activities for the first days of an emergency response, using the CRS/Asia M&E Guidance for Monitoring in Emergencies.

Key Messages~~:~~

- Monitor an activity as soon as it occurs or intended change as soon as it may begin to happen. This will allow the team to be responsive to emerging needs or address any problems.
- Monitoring of the initial phases should be light and quick monitoring i.e., no representative random sampling and no data entry into a database. Adopt a *"good enough"* approach, selecting the simplest solution for the context and revise your approach as the situation changes.
- Build data collection into on-going field visits.
- Data collection and analysis will be quite frequent at first and then decrease with time. The frequency should decrease once the results are consistent and positive and once any initial problems have been fully resolved. The frequency should increase if monitoring data detect problems or unintended changes that need to be further investigated.
- Monitoring should also monitor critical assumptions and changes in context.
- The project team should hold regular reflection meetings/debrief meetings to reflect on the data collected so far. These sessions will require data analysis and interpretation for the team to reach conclusions based on the monitoring data.

Materials:

- Flip charts, markers
- Handout 7.1.1 Scenario + Emergency Monitoring Standard #1
- CRS Asia Emergency Assessment Guidance

Facilitation:

TIME	METHOD	SESSION
10 min.	**Instructions**	**Introduce** the emergency context. Distribute Handout 7.1.1 and read aloud.
40 min.	**Group work**	**Task**: Referring to Standard 1 of the CRS Asia Monitoring in Emergencies Guidance, develop a 5 point plan for monitoring the first days of distributions. i.e., five action points for steps that need to be taken to put in place some initial monitoring. e.g. *1. Identify staff who will collect monitoring data, and plan location and # interviews a day. Combine monitoring with training on water treatment.* *2. Develop tool, e.g. five open questions on ~~program participant~~ satisfaction with kit content; quality; usefulness; timeliness and* *3. Train staff in tools, interview skills and note taking.* *4. Schedule time for daily debriefs, focusing on verbal feedback, consolidating on flip charts and encouraging free sharing of observations, experiences and ideas.* *5. Incorporate monitoring findings in daily planning meetings and adjust response accordingly.*
20 min.	**Presentations**	**Presentations**: One group presents. Others are invited to share any aspects of their plan that differ significantly from the first group's. Note: there are no hard and fast rules. It's what is ***good enough*** for the context, resources and time availability to get at accurate information and feedback on the changes we are having in people's lives.
20 min.	**Plenary**	**Discuss**: 1. What were the common themes in all the group presentations? Were there significant differences? 2. How useful was the M&E in Emergencies guidance? 3. Is there anything you disagree with? Anything you wish to add? 4. How useful are the 4Cs for monitoring in ER? 5. How does this link with the CRS Asia Emergency Assessment Guidance? Is there room to combine the iterative assessment process with initial monitoring?
5 min.	**Instructions**	**Instructions:** Return to your groups and, referring to the CRS / Asia M&E Guidance for Monitoring in Emergencies: 1. Decide what method to use 2. Develop the questions/tool 3. Decide roughly how many people you will talk to and how you will select them.
25 min.	**Groupwork**	Prepare your answers on a flip chart.
15 min.	**Gallery walk**	**Gallery Walk:** look at each flip chart. Compare and contrast each group's work.

TIME	METHOD	SESSION
15 min.	**Plenary discussion**	The facilitator asks, what *additional* DOs and DON'Ts can you add to the Guidance? Start by reviewing existing DOs and DON'Ts. e.g. **DO** use open ended questions **DO** ask about targeting errors, community participation, gender, transparency, usefulness of assistance, what changes ~~program participants~~ would like to see, etc. **DO** select people in order to form simple comparison groups, e.g. women/ men; youth/elderly; other useful comparisons.
20 min.	**Plenary**	**Discuss**: If any of you have emergency experience, 1. [Content] did the monitoring produce any interesting findings, was it used to inform project planning decisions? 2. [Process] how different is the planning you have just done from your actual experience? What are the challenges related to monitoring in the initial phase of an emergency? 3. Given the importance of gathering some quick and informal feedback, how can those challenges be overcome?
10 min.	**Plenary**	**Sum up** with key messages. Review session objective.

SESSION 7.2: PROJECT FRAMEWORKS (1¼ HR.)

Objectives

- To introduce (or review) various logical planning matrices and understand how similar they fundamentally are (proframe, logframe).
- To discuss the logframe as the foundational building block of the M&E system.

Key Messages

- The logframe provides a tool to check the logic behind the interventions and the hierarchy of objectives, and to check the logical fit between intervention logic and M&E system at proposal development stage.
- A Results Framework provides a summary illustration of the whole project. It helps map out the various components (objectives-outputs, etc.) from the logical framework.
- Donors or agencies use different terms, but the logic is consistent across all of these models or frameworks. We need to focus on the *rationale* behind these and less on the terms.
- CRS' results framework and proframe include intermediate results (IRs), which provide early indications of change that allow you to know that you are on the correct path to achieving your objectives (or purpose).

Materials

- Stock cards with logframe and proframe cell names and definitions in large print to paste on the wall.
- Objective statements (down to illustrative activities) from Mock Appeal printed on larger cut-out cards (four copies)
- Handout 7.2.1: Fish Pond Story (from ProPack II)
- Handout 7.2.2: Logical Framework (refer to document from CI Toolkit)
- Handout 7.2.3: Reference Sheet for Working with a Proframe, ProPack pp. 194–195

Facilitation

TIME	METHOD	SESSION
25 min.	**Group work** *(four groups)* *(Prepare four envelopes with cut-outs)*	**Explain** the objectives of the session and **check** on participant familiarity with logframes or proframes. **Divide** participants in four groups and hand out one envelope per group with cards that contain: 1. Terms + definitions from CI and CRS logframes (all rows and columns) (× 2 groups) 2. Cards with objective statements from the Appeal (× 4 groups) Have two groups **reconstruct** the logic of their Logical Framework and two groups work on a CRS proframe, placing the appeal objective statements at appropriate level of Column 1.
30 min.	**Plenary debrief and discussion**	**Invite** one group to post their logframes on the wall and conduct a paired-table review (other group confirms or comments). Have one proframe group post; the other group compares or confirms. Allow time to **conduct a gallery walk** in plenary. Compare and discuss similarities and differences. Emphasis on role of IRs. Share full results framework from Mock Appeal.
20 min.	**Plenary discussion**	**Hand out** Fish Pond (Handout 7.2.1) story to illustrate and discuss IRs. Have one participant read the story. Invite participants to explain what went wrong in the story and why. Ask for comments, focusing on lack of monitoring of change (higher level) and use of monitoring only for reporting. **Elicit** other examples on roles of IRs in emergency monitoring (e.g., utilization of latrines after completion; use of halogen for water purification after nonfood item distribution, etc.) **Conclude** by distributing Handouts 7.2.2 and 7.2.3 (templates with definitions). Discuss and wrap up with Key Messages regarding terms.

SESSION 7.3: INDICATORS (1½ HR.)

Objective

- To equip staff with practical skills and knowledge to develop and/or review appropriate indicators to measure and evaluate emergency response programs

Key Messages

- Do not reinvent the wheel. Use Sphere or other industry indicators and adapt them to the local context as needed.
- When selecting indicators, use as few as possible to meet your information needs. (Focus on information that you *need,* not what you would *like* to know).
- Disaggregate your indicators to represent different groups (men, women children, other vulnerable groups).
- Make your indicators as *specific* as possible. Write definitions for terms used in the indicator. (Tip: Refer to relevant Sphere Guidance Notes, as needed).
- Indicators do not need to be quantitative to be measurable. Qualitative indicators (including subjective perceptions and judgments) are essential components of emergency monitoring and can still be measured.

Materials

- Handout 7.3.1 Mock Appeal (distributed in advance for homework reading)
- Handout 7.3.2: Mock Appeal Results Framework (also distributed in advance)
- Handout 7.3.3: OFDA (Office of U.S. Foreign Disaster Assistance) Indicators (one per participant)
- Handout 7.3.4: Quality Criteria for Emergency Indicators (modified CARE checklist)
- Sphere Handbook, p. 52
- Handout 7.3.5: M&E in Emergencies: Pakistan Responses

Facilitation

TIME	METHOD	SESSION
20 min.	**Plenary introduction or refresher** *(Write SMART on flip chart)*	**Conduct a pair buzz**: In pairs, participants should take 5 minutes to reflect on how they would explain to a partner: 1. What is an indicator? 2. What makes a good indicator? **Elicit** a few answers to Question 1 and refer to indicator definition from Sphere (p. 52). Answers to Question 2 should bring up the concept of **SMART** • **Specific:** Does it measure what it claims to measure or assess? • **Measurable:** Can it really be measured? • **Achievable:** It is feasible to collect the information? Is the target realistic? • **Relevant:** Does it help you assess the effectiveness of the program directly? • **Time-bound:** Does it specify when you expect the change or impact to take place?) In same pairs, **ask** participants to share: • What tools do you have to recommend to partners when developing indicators or that you could use yourselves when reviewing indicators? **Refer** to ProPack I, pp. 108–113 and 132–135; ProPack II, pp. 96–97
30 min.	**Group work (3 groups × 1 per sector)** *(Write instructions on flip chart)*	**Provide** group work instructions. Each group will work on only *one output and one IR under one of the SOs (strategic objectives)* (shelter, wash or livelihoods). Have groups write the revised indicators on cards to post on the wall. Distribute Handout 7.3.3. **Instructions:** You have been tasked to develop the proframe for the Mock Appeal. The indicators seem to have been copied from an earlier flood response proposal logframe. Review and adjust them to ensure they both appropriate and specific. **Tips:** 1. Use the various tools that you have (OFDA indicators, Sphere Handbook) to support this work. 2. Provide definitions, as needed. 3. Before you wrap up, verify how the various indicators fit together (logic of change and hierarchy).
30 min.	**Plenary debrief and discussion**	Have participants *post* their indicators on the large proframe drawn on the wall (Column 1 filled during Session 4) and conduct a rapid gallery walk. **Review:** What observations do they have? Are the indicators SMART? Are they specific enough (with definitions)? What are some common weaknesses? What (if any) difficulties did they face in their groups? How did they use Sphere and OFDA? **Hand out** the CARE checklist (Handout 7.3.4) as one tool that can help us review whether indicators are SMART. • Have participants use the CARE checklist as a reference and review again the collective work on the wall - how SMART are they really? What did they learn from the checklist? Any additional proposed changes? **Draw out** key participants learning from this session.
5 min.	**Plenary**	**Conclude** with a presentation of a recent emergency response program (see PowerPoint 7.3.5 about the Pakistan earthquake response), showing how Sphere standards and indicators were used and adapted to the local context. What does "Sphere compliant" mean? • It means providing local, context specific definitions to the indicators.

SESSION 7.4: FROM LOGFRAMES TO M&E MATRIX: INDICATORS AND MEANS OF VERIFICATION —DIP AND M&E PLANNING (1 HR.)

Objectives

- To clarify the difference between qualitative and quantitative methods and identify ways they can work together in a monitoring system
- To identify the types of methods needed to collection information for a project

Key Messages

- Quantitative and qualitative methods are complementary; both are needed for monitoring. Qualitative data help explain the quantitative results (i.e., answering "why" and "how" questions).
- In order to increase the reliability of qualitative data, you need to triangulate information by using different methods.
- Keep the system simple by selecting as *few* methods as possible to obtain reliable information.
- Check early and check often to identify signs of change. Monitoring data should be collected as soon as possible after implementation of each aspect of an emergency response to ensure that we are on the path to achieving intended impact and to check ~~program participant~~ response to the (technical and social) approach.
- In order to develop a useful monitoring system, we must have a clear idea of the schedule of activities and critical project milestones for achieving outputs. This requires developing a detailed implementation plan (DIP).
- Timing of monitoring activities needs to be linked to activities planning. Monitoring needs to be planned for as an activity in the DIP (as a row).

Materials

- Flip charts, note cards, markers
- Handout 7.4.1: CI Monitoring Matrix template
- ProPack II, Detailing Activities and a draft DIP, pp. 77–82

Facilitation

TIME	METHOD	SESSION
10 min.	**Plenary introduction exercise**	**Draw** large monitoring matrix on a wall with columns and rows from Handout 7.4.1. **Set the stage**: Logframes are required at proposal stage and M&E plan usually as part of DIP. Much of the same information is required but in more detail. The planning process provides an opportunity to revisit your strategies, adjust indicators and plan your monitoring activities. **Review** matrix (columns and rows) and address any questions.
20 min.	**Group work** *(same groups, working on same SOs)*	**Explain** that the participants will now work on completing the section on means of verification (MOV) in the matrix. Start by asking each group write the objective statements and indicators for their sector on their hard copies of the Monitoring matrix. They should work on their hard copy, but be prepared to post their MOV written on printed cards on the wall during debrief. **Group Work Instructions:** For each of the indicators for your sector (the indicators that you proposed in the previous session), fill in the MOV cells in the monitoring matrix • Identify the method(s) for data collection for each indicator. • Be as specific as you can about the method selected. • Reflect on the frequency and time frame for data collection. • Reflect (briefly) on who will collect this information. Write the information on cards for posting on the wall.
30 min.	**Plenary debrief**	**Ask** participants to post their MOV on the large matrix on the wall, and conduct a **gallery walk**. **Ask** for questions of clarification, comments and feedback. Do not focus too much on specific methods for specific indicators, but **bring out the Key Messages**—quantitative vs. qualitative; triangulation; more or less participatory methods; monitor and evaluate; etc. (If some of these do not come out, it's okay—participants will revisit these on Day 3) *In the debrief, the issue of **timing** should come up. When it does, draw a DIP or activities scheduling template on a flip chart and show how the timing of the M&E events needs to be linked to the timing of the activities.* • Be realistic in terms of the start-up time required in a project (including mobilization, staffing, etc.) • Place milestones or targets as they become due on the timeline (output targets at end of anticipated period for the corresponding activities). This tells us when to start and stop monitoring at activity and output levels. • Reflect on how the project delivers outputs (on a rolling basis, cluster basis, simultaneously) • Remind participants of the emergency context—can we afford to wait until Month 3 to provide people water? • Reflect when higher level changes can be expected to be evidenced, and how fast they may change. This tells us when to start IR and SO level monitoring and how often to monitor for these.

SESSION 7.5: M&E MATRIX: ANALYSIS AND USE OF M&E INFORMATION (1½ HR.)

Objective

- To reflect on the importance of advance planning on who, when and how we will *use* the M&E information when developing the M&E plan

Key Messages

- Monitoring data is collected for *use*; therefore, you need to plan for *how, when* and *who* will analyze and use the information.
- Keep it simple by adopting the *good enough* approach. Specifically, adjust your analysis methods based on context: assess staff capacities, time, resources for data entry and/or more complex analysis.
- Consider the needs of all the internal and external stakeholders—from the people we serve to managers to donors.
- Focus on use of information for planning, decision making and communicating.

Materials

- Same as previous session: Handout 7.4.1: Monitoring Matrix
- Refer to CRS Asia M&E Guidance Series:
    - Creating an M&E plan standards, pp. 21–23
    - M&E Plan review checklist, p. 101

Facilitation

TIME	METHOD	SESSION
5 min.	**Plenary** *(Write definition of analysis on flip chart)*	**Review** the remaining columns of the matrix. Check on participant understanding of *analysis*. **Refer** to the definition from Day 1 of "transforming data into information" that we can then use. Focus on *use* for project *planning*, *decision making* and *communicating*.
30 min.	**Small group work** *(same three groups as for Sessions 4–5)*	**Group Work:** Working row by row, participants need to complete the monitoring matrix for their assigned objective statements (one SO-IR-Output) and indicators. Note that they may need to review indicators before moving forward—this is okay. Use cards and lay out pieces of the matrix on the wall.
25 min.	**Gallery walk and plenary debrief**	Invite participants to **post cards** for each group on the wall matrix and conduct a gallery walk. Engage participants to **review** and **discuss** differences or key observations. Brief Q&A. **Conduct** a general debrief on process and key learning from this session. Focus on *use* of information and idea of *good enough*. **For example:** • Adopt quick methods of analysis and reporting, rather than writing of extensive reports or data entry that take time to complete. • If analysis takes too long, your data could be obsolete by the time data entry is done. Conduct daily review sessions rather than focusing on data entry. • Track progress on visible white boards or charts (for transparency and quick analysis). • Consider all the stakeholders (managers, the people we serve, etc.). • Make sure you hold regular reflection events (or meetings to review data).
30 min.	**Paired review** *(10 min.) and debrief (20 min.)*	**Wrap up** by checking the quality of the proposed matrices against the CRS South Asia standards, Creating a M&E Plan. **Ask** for feedback on new ideas or "lightbulbs" emerging from the reading. **Highlight** some of the above Key Messages. A number of Key Messages from previous sessions might come up again (e.g., balance of qualitative and quantitative).

SESSION 7.6: MONITORING SYSTEMS (1½ HR.)

Objectives

- To raise awareness that the M&E plan is only the start of M&E system development
- To learn from our experience with designing and implementing or using M&E systems

Key Messages

- We need an M&E system to keep all the different components organized and to have a clear flow of information.
- Having a system allows us to be more transparent and accountable. (Keeping all the cogs in the wheel fitting together!)
- The system is larger than the plan, includes all the steps or elements that you do to *count*, *check*, *communicate* and *change* within your response. This includes registration records, tokens, sitreps, after-action reviews, etc.

Materials

- CRS Asia M&E Guidance Series: M&E System Review tool; pp. 101 and 103
- Handout 7.6.1: Example of M&E system flowcharts (one per group)
- Handout 7.6.2: Example of M&E binder Table of Contents (one per group)

Facilitation

TIME	METHOD	SESSION
10 min.	**Pair buzz and plenary brainstorm** *(Write definition of system on flip chart)*	**Remind** participants of the definition of *system* that came up during the introduction game on Day 1. Participants should provide illustrations of what a system is. **Pair buzz:** We now have our M&E plan (or monitoring matrix). What other components may be missing to make this an M&E system? Conduct a round-robin in plenary. Write responses on a flip chart. **Request** that participants review the South Asia M&E System Review Tool, especially the Introduction and Table of Contents (pp. 101 and 103).
30 min.	**Group work** *(same sectoral groups)*	**Group Work Instructions** Moving from a plan to a system: You are tasked with developing the full system with your partner: Step 1: List all the components of the system (i.e., monitoring tools, reflection events, report forms, etc.) Step 2: Find a *visual* way to show the full system and illustrate the flow of information. **Provide** copies of M&E system flowchart and M&E binder Table of Contents (Handouts 7.6.1, 7.6.2) to use as reference. Participants should prepare flip charts illustrating their proposed M&E system and be ready to present these in plenary.
20 min.	**Gallery walk debrief**	**Invite** one participant per group to present his or her flowchart or system. Allow each group to present and discuss the thinking behind their flowchart. **Check** on similarities, differences, strengths, gaps, etc., across all groups, followed by Q&A. **Conclude** with the idea of that a system should contain elements that allow you to count, check, communicate, change (the four Cs).
30 min.	**Sharing our experience**	**Present** a recent emergency M&E framework, experience in designing and implementing the system, challenges and preliminary lessons, followed by Q&A and discussion. **Wrap-up**: Participants reflect on the practical challenges of putting a full system in place. What else did they learn from the "systems" thinking?

SESSION 7.7: MONITORING FORMS (2 HR.)

Objective

- To equip participants to design appropriate monitoring tools for emergency response programs

Key Messages

- Tools need to capture only useful information (need to know vs. nice to know) linked to the proframe and/or decision making.
- Use CRS ASIA guidance for tips on tool development and include instructions on all tools.
- Use existing tools or resources as a starting point but always adapt them to your needs (work with partners on this).

Materials

- CRS Asia M&E Guidance:
  - Quantitative Tool Development Standards, p. 33
  - Developing Qualitative Tools, p. 41
- Handout 7.7.1: PowerPoint Presentation on Tool Development
- Handout 7.7.2: Copies of sample tools (one packet per sector—Shelter, WASH, Livelihoods)

Facilitation

TIME	METHOD	SESSION
45 min.	**Plenary discussion and PowerPoint**	**Ask,** What are some practical challenges with field data collection? List all problems on a flip chart and identify those that are specifically related to data collection tools. • How do we avoid some of these problems? **Use** PowerPoint to frame the topic and provide overview of basic issues to consider when developing tools. **Refer** participants to M&E Guidance Series, p. 33 and 41, and specifically discuss standards.
45 min.	**Small group work** *(in same sector groups)* *(Prepare one set of tools per sector)*	**Introduce** the exercise by explaining that, rather than reinventing the wheel and starting from scratch, we will use existing tools to try to meet the information needs laid out in our M&E system. **Group Work Instructions** Review the monitoring tools that you have been provided. Using the questions from the "SASIA M&E System Review Tool" as reference, review the various tools you have been provided and discuss their *strengths* and *weaknesses*. Using these as a sample or template, suggest *five ways* that you would change (or adapt) them for the M&E system you've designed for the Mock Appeal. Be prepared to present in plenary.
30 min.	**Plenary Debrief or Individual reading**	Each group briefly presents the tools and their proposed next steps. • **Identify** the common points in all groups; point out differences or aspects that could complement another group's system. • **Review** the *learning* on tools and wrap up with Key Messages.

SESSION 7.8: REVIEWING M&E SYSTEMS: ACCOUNTABILITY (1½ HR.)

Objective

- To ensure that our emergency monitoring systems meet our commitments to humanitarian accountability

Key Messages

- We monitor to ensure that we are meeting our accountability principles.
- If we make assumptions, we need to monitor them to ensure that they remain true and do not adversely affect the project.
- We collect information that we need for planning, communication or reporting, and decision making.

Materials

- Sphere Handbooks, Core Standards
- CRS/SASIA M&E Guidance:
  - Gender and M&E, p. 11
  - Project Monitoring, p. 13

Facilitation

TIME	METHOD	CONTENT
10 min.	**Plenary Brainstorm**	**Ask**, What else should we be monitoring? What are the different elements of process, accountability, or context that we need to monitor? • Allow participants to list these, noting on a flip chart and referring to Sphere Core Standards, as needed. Draft ideas may include: • Appropriateness • Participation and accountability • Targeting • Vulnerability • Gender • Protection • Environmental issues • *Assumptions:* For example, government compensation, duration of stay in current locations, and contextual changes Note that these are elements included in Sphere: common standards, technical chapters, intro on protection and cross-cutting issues. Ground the thinking in Sphere!

TIME	METHOD	CONTENT
5 min.	**Introducing the review**	**Explain** the system review by asking (for example): Will the monitoring system provide information on how well we are addressing the needs of the vulnerable? If so, how? If not, how can we change it to meet this information need? Possible answer(s): • Add some focus group discussions (FGDs) with these groups; • Ensure that it's part of our planned observation of who collects water (i.e. include it in an FO checklist); • Focus indicator on the most vulnerable group only rather than all target population (assuming that if the most vulnerable e.g. get at least 15 liters of water per day, the less vulnerable will too); etc.
30 min.	**Group work** *(sectoral groups)*	**Divide** into their small groups and assign of the above "elements" to each. The group will review the monitoring system and suggest five ways that they can improve it (add or change) to ensure that we capture information about three or four priority topics (of their choosing) through the system.
30 min.	**Plenary Group presentation** *(5 min. per group)*	Groups will **present** their suggestions with Q&A from participants each time. **Review** in plenary and focus on changes, such as: • Gender or vulnerability disaggregated indicators (e.g. percent female participants; percent male participants) • Using the same methods but asking various social groups, including women (triangulating and adding informants). For example, FGDs could be conducted with a group of women, group of leaders and group of landless farmers (or day laborers). This is all about sampling for comparison groups • Adding one or two process indicators • Adding more participatory methods, feedback mechanisms, and opportunities for sharing and discussing monitoring results with the community: for example, holding reflection events in the community to discuss and sharing monitoring findings (for increased participation), or asking committees to keep certain records to (ensure the methods are participatory). • Adding certain questions about environmental effects as part of monitoring checklist (tool) **Wrap-up** with Key Message: • Be careful about adding too much nonessential, *nice to know*, information as part of the monitoring system. It should all be *need to know* for *planning*, *reporting* or *decision-making*.
15 min.	**Individual reading or plenary discussion**	**Assign** reading of CRS/SASIA M&E Guidance: • Gender and M&E, p. 11 • Project Monitoring, p. 13 **Discuss** in plenary to bring out learning, new ideas about M&E systems and project monitoring.

SESSION 7.9: REVIEWING M&E SYSTEMS: EMERGENCY PHASES

(2 HR.)

Objectives

- To prepare participants to review and adapt M&E systems to the various phases of an emergency
- To reflect upon the appropriateness and scope of a monitoring system.

Key Messages

- The scope of the system should be appropriate for the type of response being implemented. Adopt a *"good enough"* approach, selecting the simplest solution for the context and aiming to revise your approach as the situation changes.
- The monitoring system should always be as light as possible to meet project information needs.
- Develop and adjust the system based on the staff or partner resources and capacities, as well as the context and time available. Apply the concept of *Telescoping*.
- Avoid complex methods in Phase 1 and *do not* aim for statistical validity of data. This means *no* formal baselines or household surveys!!

Materials

- Colored cards for participants, markers

Facilitation

TIME	METHOD	SESSION
40 min.	**Plenary or three-person buzz groups**	**Draw** large matrix on wall with three columns labeled Phase I, Phase II and Phase III (pick one color for each phase). Place cards on side (rows) labeled: *Timing* and *Characteristics.* **Start by asking**, What is an emergency? How are projects different in an emergency (if at all)? Probe by focusing on different types of interventions in time: Food: cooked meals à dry rations à cash systemsàagricultural activities. Try to **draw out** ideas related to adopting a *phased approach* in a response. In three-person groups, **invite** participants to describe the characteristics of various phases of emergency response. They should write one idea per card (match color-coded cards with phases). **Conduct** a round-robin plenary. Working on one phase at a time, take one idea per group, and do not allow for repeat ideas, then move to next phase. Once all cards posted, ask for review comments. Follow with Q&A.
30 min.	**Small group work** *(same three-person groups as above)*	**Post cards** with labels for various components of the M&E plan or system to create rows in the matrix (i.e., logframe, indicators, methods, timing & frequency, analysis and use, scope) **Ask participants to reflect on:** How the ME system can be different in Phase 1? (i.e., which columns or rows of the matrix would be slightly different and how?). Ideas should be written on note cards (use appropriate colors).
30 min.	**Plenary**	**Debrief**: Post cards (round-robin) and discuss. Be intentional in asking participants to reflect on how this would change the type or level of indicators, the MOV, frequency, analysis and use. Elicit specific examples, as needed to clarify. Note: There are no hard and fast rules here. It's what is **good enough** for the context and resources or time availability to get at accurate information and feedback on the changes we are having in people's lives. Refer also to definition of *telescoping*.
20 min.	**Small group work**	**Assign task**: Based on your learning, work in small groups to develop tips and guidance for Phase 1 M&E that you will share with your partner. Keep it simple and self-explanatory (e.g., 10 Steps for Developing an Emergency M&E System handout or visuals). **Debrief:** Each groups presents its tips in plenary. Review, compare and wrap up.

SESSION 7.10: SAMPLING—OVERVIEW (30 MIN.)

Objective

~~•~~ To review key concepts related to sampling.

Key Messages

- In an emergency context, you should not aim for statistical validity of data. However, you should *always* document your chosen approach for data collection.
- Being intentional about who you talk to and why implies purposeful (or nonrandom) sampling. It does *not* mean *no* sampling. Be purposeful.
- For random sampling, use established equations and avoid taking a percent of the population. There is no magic 10 percent rule!

Materials

- 7.9.1 PowerPoint presentation on Sampling
- CRS Asia M&E Guidance Series: Sampling, pp. 45–62

Facilitation

TIME	METHOD	SESSION
30 min.	**Plenary**	**Present** brief overview of sampling, using PowerPoint and Q&A. Ask participants to share their experiences of random or nonrandom sampling. **Refer** participants to CRS South Asia M&E Guidance Series: Random Sampling (p. 45); and Non-Random Sampling (p. 53). Focus on standards and point to technical guidance.

SESSION 7.11: REAL-TIME EVALUATIONS (2 HR.)

Objectives

- To familiarize participants with evaluations conducted in real time
- To practice developing sample questions (that are part of tools for RTE)

Key Messages

- Do not repeat information gathered through the monitoring system. An RTE should look at higher-level questions on process (not just direct impact) and should yield actionable results (in written form).
- RTEs should be useful for field operations and managers and not excessively burdensome on ongoing operations.
- It is important to build in learning and after-action reviews in early phases of emergency operations to reduce any liabilities. An RTEs is one example, which is perhaps more complex since it requires external evaluators.

Materials

- Prepared flip charts for brief presentation
- Handout 7.11.1: Top 10 Reasons to Conduct an RTE
- Handout 7.11.2: Sample RTE Questions

Facilitation

TIME	METHOD	CONTENT
20 min.	**Plenary presentation** *(Prepare flip charts ahead of time)*	**Start by writing words** on flip chart (one at a time) and ask, what is *evaluation*? What is *real time*? Now put them together to arrive at a definition of real-time evaluation (RTE). **Present** the following and elicit comments: **WHY?** Purpose: to provide feedback in a participatory way to those executing the response as it is happening. Provide Handout 7.11.1. **WHEN?** Most effective in the early stages (to influence ongoing response) **HOW?** Participatory and interactive (FGD, open-ended interview, observation) **WHO?** • External, internal, mixed (evaluators) • Staff at all levels, the people we are serving, other (key informants) **WHAT?** Field work, consultations with external stakeholders, AAR with staff. Possible topics: Adherence to Sphere (including Code of Conduct), DAC evaluation criteria, other
30 min.	**Small group work** *(three groups)*	**Assign** Step 1 of the group work. (20 min.) **Step 1. Instructions** Given the scale of response and potential liabilities, the executive director of Caritas Bangladesh has decided to conduct an RTE. He has asked technical support from you in developing the terms of reference (TORs) for this RTE. Determine the purpose (why) and method (how); who should be involved (makes assumptions, if needed); timing and schedule of activities; and *what* content or topics should be covered. Write your responses on flip charts and post them on the wall. **Debrief**: Each group presents briefly and participants comment; and facilitators draws comparison. (10 min.)
30 min.	**Small group work** *(three groups, same as above)*	**Reorganize** topics proposed in Step 1, keeping six topics (two per group). Provide following instructions: **Step 2. Instructions** You are the team leader for conducting the RTE. Based on the TORs, you now need to develop the interview guides. For the topics assigned (two per group) Define who are the key informants. Draft five key questions that you need to ask to obtain information on that topic. Write your responses on flip charts and post them on the wall.

TIME	METHOD	CONTENT
20 min.	**Plenary debrief**	**Post** all flip charts on large wall and ask each group to present. Take only questions for clarification, leaving comments until all groups have presented. **Ask** for observations from participants and be prepared to **facilitate** the discussion focusing on the following key points: Phrasing of questions: closed vs. open-ended questions; leading questions; quantitative questions for qualitative methods; gender inappropriate questions, etc. à Refer to tips on tool development from Day 3. Check whether any information that is gathered already exists through the Monitoring system to avoid duplication (e.g., no quantitative info is required). Note that because groups work in isolation, some questions may duplicate each other and could be reorganized or simplified. Finally, once all questions of relevance are raised, move to Step 3.
15 min.	**Individual reflection and plenary debrief**	**Present** the “Decision Tree” in Handout 7.11.2 (last page). **Step 3—Instructions** Checking your work: Using the yes/no reflection questions, each person should review their work and pick out questions that could be eliminated (following the logic of the tree). Use red markers and eliminate at least one question. Draw red dots next to the eliminated questions. **Conduct** a plenary review: work flip chart by flip chart, discuss the rationale of each group. Q&A. **Check:** Was this step useful?
5 min.	**Plenary**	**Wrap-up:** Check on the usefulness of RTEs—how do they feel about them? Refer back to some key messages on the purpose of RTEs.

ANNEXES MODULE 7

ANNEX 7.0.1 GLOSSARY OF TERMS

GLOSSARY OF TERMS

Analysis	The process of turning data (either qualitative or quantitative) into information
Data	Raw, unanalyzed material (facts, figures, opinions and perceptions), gathered by an information system (ProPack II).
Evaluation	Periodic, systematic assessment of a project's relevance, efficiency, effectiveness, impact and sustainability on a defined population
Monitoring	Continuous process of collecting, analyzing and documenting information in order to report on progress toward achieving project objectives. It provides early indications of change to ensure project success (CI Toolkit)
Reflection events	Opportunities to analyze and interpret data with a variety of stakeholders and to use these data to inform the project decision-making process
Sampling	Selecting a smaller part to reliably represent a larger part or a whole
System	Organized, interdependent activities or components and clear procedures that contribute to a defined purpose (CI Toolkit)
Telescoping	Adjusting the breadth or depth to which you apply concepts and materials to suit the context or particular needs at hand in a given situation in order to get the best result (ProPack II)
Triangulation	Using a range of methods, types of information, diversity of team members and sector perspectives to cross-check collected information, thereby increasing its quality and validity

ANNEX 7.1.1 FISH POND IMPACT MONITORING STORY

From Theory to Practice: Where Are the Fish??

One UN project consisted of digging fish ponds for food insecure farmers. There was an Output statement, but it was to dig "x" number of fish ponds rather than to provide fish as protein or as a resource to trade. This turned out to be critical, because the target number of fish ponds was achieved, but none were ever stocked with fish! The monitoring reports gave no indication that nothing had been achieved in terms of fish resources or food security.

(Source: ALNAP, 2003.)

ANNEX 7.1.2 LOGICAL FRAMEWORK MATRIX

Description	Measurable indicators: How will you measure the change? Indicators can be quantitative *and* qualitative. Measuring people's attitudes and perceptions are often highly valid ways of monitoring impact.	Means of verification (MOV): Where will you get the information for the indicators? Ensure that the information can be realistically obtained, given the time available (i.e., do not include sources that will probably be inaccessible or too time-consuming to gather).	Important assumptions: What may prevent the program from achieving its objectives—often outside the agency's control?
GOAL: A wider problem the project will help to resolve *For example, "to improve the health of the affected population" (usually only achievable through multiple programs or entire humanitarian response; hence one project is a contribution to this goal. Similarly the purpose below contributes to the goal of protecting health but is not the only health intervention required to achieve the goal).*	Quantitative ways of measuring or qualitative ways of judging timed achievement of goal. *For example, crude and under-five mortality rates to measure health status—if data available and reliable*	Cost-effective methods and sources to quantity or assess indicators. *For example, data from health clinics, death records and qualitative sources such as community perceptions.*	(Goal to supergoal) External factors necessary to sustain objectives in the long run. *For example, security will remain stable; government allows sustained presence of refugees.*
PURPOSE: The immediate impact on the project area or target group, that is, the change or benefit to be achieved by the project *More specific to the project and often referred to as an objective. For example, "to reduce the incidence of water-borne diseases in the community through access to and use of water and sanitation facilities to Sphere standards."*	Quantitative ways of measuring or qualitative ways of judging claimed achievement of purpose. *For example, visual observation shows that people are using latrines/washing hands/only drinking the potable water provided and not from the river.*	Cost-effective methods and sources to quantity or assess indicators. *For example, observation, project monitoring records, community feedback.*	(Purpose to Goal) External conditions necessary if achieved project purpose is to contribute to reaching project goal *For example, poor sanitation is not the primary cause of increased mortality and morbidity, and hence the project will not reach the goal even if it achieves its purpose.*
OUTPUTS: These are the specifically deliverable results expected from the project to attain the purpose. *Outputs are often confused with objectives or purpose. Outputs are generally products and services. They should lead to the desired objective but do not in themselves denote any change in behavior or health status. For example, an output may be "the provision of potable water for 20,000 people to Sphere standards." This is not the purpose because the installation of a water supply does not in itself indicate a reduction in water-borne diseases or improvement in health. People may not drink the water exclusively (they may prefer the taste of the river water) and so on. Outputs are therefore results and products that should lead to the change desired but are not the purpose or the end in itself.*	Quantitative ways of measuring or qualitative ways of judging timed production of outputs. *For example, 80 water points installed delivering 15 liters of water per person per day, within 500 meters of their shelter and with a maximum of 250 people per water point.*	Cost-effective methods and sources to quantity or assess indicators. *For example, observation, water supply monitoring records.*	(Outputs to Purpose) Factors out of project control that, if present, could restrict progress from outputs to achieving project purpose. *For example: Assumes groundwater is adequate for the demand and supply in the dry season.*

ACTIVITIES: These are the tasks to be done to produce the outputs. *For example, the various ongoing activities necessary to achieve the outputs (such as training water point attendants, workshops on hygiene awareness and community mobilization activities).*	**SUPPLIES: This is a summary of the project budget (subbudgets and total).** *Give the main headings of the attached budget.*	Financial outturn report as agreed in grant agreement. *Refers to financial reports.*	(Activity to Output) Factors out of project control that, if present, could restrict progress from activities to achieving outputs. *For example, unexpected problems in obtaining cement, or teachers for the project, etc.*

Note: US-based agencies (such as CRS) add an additional level in the logical framework to designate the observable behavior "change" resulting from the outputs known as intermediate results (IRs). These enable you to know that you are on the way to achieving your purpose.

ANNEX 7.1.3 PROFRAME TEMPLATE

REFERENCE SHEET FOR WORKING WITH A PROFRAME

OBJECTIVES STATEMENTS	PERFORMANCE INDICATOR STATEMENTS	MEASUREMENT METHODS / DATA SOURCES	CRITICAL ASSUMPTIONS
***Goal*:** This describes the longer-term, wider development change in people's lives or livelihoods to which the project will contribute—perhaps only in a given region, or perhaps in the nation as a whole. Think of the goal as a larger, longer-term hope or aspiration. ***How to write*: Write as a full sentence, as if already achieved. Put the general intended beneficiary population as the subject of the sentence.**	This is the indicator you should least worry about because you cannot be certain of the effect of your intervention at this very high level. Data for indicators at this level are not normally collected by the project.	Data are drawn from appropriate, already existing sources such as Amnesty International, FAO, Freedom House, IFPRI, Transparency International, World Bank, U.N., national government statistics, etc.	It is not necessary to complete this box.
Strategic Objectives (SOs): SOs describe the noticeable or significant benefits that are actually achieved and enjoyed by targeted groups by the end of project (EOP). These benefits are achieved thanks to the changes that have taken place at intermediate result (IR) level, as a consequence, in turn, of the outputs from well-done activities.) Each SO expresses an aim that is realistic, specific to the project and measurable. SOs are really the central purpose of the project—that is, why it was designed and implemented in the first place! ***How to write*: Write it in a full sentence, as if already achieved. Put the targeted primary beneficiary group(s) as the subject of the sentence.**	SO indicators reflect the benefit(s) expected to occur for beneficiary subgroups by EOP as a result of behavioral change(s) (achieved at IR level prompted by successful delivery and receipt of the project's outputs).	SO indicators are generally monitored and/or evaluated via field visits, and mid-term and final evaluations. To measure these benefits against the targets set, EOP results are always compared with the corresponding baseline findings (whether from primary measurement methods or other data Sources) in the final project evaluation.	**SOs-to-Goal** Assumptions that will affect achievement of the goal concern: (a) the longer-run sustainability of the project; (b) the contributions of national governments and/or other organizations that may be critical to achievement of the goal.

OBJECTIVES STATEMENTS	PERFORMANCE INDICATOR STATEMENTS	MEASUREMENT METHODS / DATA SOURCES	CRITICAL ASSUMPTIONS
Intermediate Results (IRs): These state the expected change(s) in identifiable behaviors by participants in response to the successful delivery and reception of outputs. IR level responses may show themselves by: • changes in the rate project participants adopt new behaviors or skills promoted by the project; • expansion of project reach or coverage; • new ways of organizing or managing systems; • alterations to policy; or • anything else that shows project outputs being used—and correctly or perhaps also innovatively so—by the targeted groups. These responses are called "intermediate" because progress at this level is a necessary step toward achieving the SOs. ***<u>How to write:</u> Write it in a full sentence, as if already achieved. Put the targeted primary beneficiary group(s) whose behavior is expected to change as the subject of the sentence.***	IR indicators focus on demonstrable evidence of a behavioral change, such as adoption or uptake, coverage or reach of outputs. If the achievement of IRs is less than expected, project managers are accountable for understanding the reasons, and making any necessary changes to project implementation.	IR indicators are generally monitored and measured via regular, ongoing data collection, including evaluations (baseline + mid-term and final). IR indicators normally can only be collected by the project itself—because they are specific to behavioral changes in response to interventions in the specific project and its action area. Secondary sources rarely exist at this level. Start with "light" monitoring. Continue with this light monitoring or, depending on your findings, more targeted monitoring or even special studies. At midterm, do a formal evaluation of IRs to that point, and promptly make any course corrections indicated by the evaluation (which will include interpretation of any qualitative and quantitative data).	**IRs-to-SOs** Assumptions at this level are those that emerged from the initial diagnostic work that resulted in the chosen design. If the IRs do indeed show uptake or adoption of the outputs, what assumptions still underpin achievement of the SOs?

OBJECTIVES STATEMENTS	PERFORMANCE INDICATOR STATEMENTS	MEASUREMENT METHODS / DATA SOURCES	CRITICAL ASSUMPTIONS
Outputs: These are the goods, services, knowledge, skills, attitudes, enabling environment that are: • delivered to… • demonstrably and effectively received by… …the targeted primary beneficiary groups (as a result of the activities undertaken). There may be more than one output for each IR. ***How to write*: Write it in a full sentence, as if already achieved. Put the targeted primary beneficiary group(s) receiving the Outputs as the subject of the sentence.**	Output indicators remind project management what and when the project is contracted to deliver. Output indicators allow project management to track what is to be delivered, when, and, most importantly, to what effect. Project management is directly accountable for delivering the outputs to those targeted.	They are generally measured in terms of immediate effects of goods and services delivered, such as pre- and post-training scores on tests (written or verbal) or practical assessments; for organizational development, creation of certain structures, documents, systems; kilometers of roads or number of schools rehabilitated; and so on. Sources for monitoring and evaluating output indicators typically include programmatic, administrative and management record-keeping systems.	**Outputs-to-IRs** Assumptions at this level are those affecting uptake or adoption of the Outputs that are outside the control of project management.
Activities: These describe the functions to be undertaken and managed in order to deliver the project's outputs to the targeted the people we serve and participants. There may be more than one activity for each output. To avoid overcomplicating the proframes of large projects, only major categories of activities need to be indicated. A complete activity schedule or detailed implementation plan should be provided elsewhere in the project document. ***How to write*: Put the specific CRS or partner staff (or other actors) responsible for doing the activity as the subject of the infinitive—e.g., CRS Health staff to do "X."**	Activity indicators are the easiest ones to formulate and collect because they focus on implementation progress as reflected in project and partner staff's work-plans, project events, and corresponding budget expenditures. They answer questions like: Was the activity completed with acceptable quality? Was it completed as planned regarding numbers and types of items purchased and distributed? Were the meetings held? Were the numbers and gender of people in the target groups trained or otherwise involved?	Concentrate on the most important activities for project management purposes, rather than wasting time and resources collecting unnecessary detail. Activity indicators are typically measured through administrative, management, trainer, and financial tracking and record-keeping systems, supplemented with written summaries and reports by trainees, partners, and other participant groups about the problems and successes and overall quality of the activities. Activities are generally monitored and evaluated via progress reports and disbursement data.	**Activities-to-Outputs** The assumptions concern conditions outside the direct control of project management, but that must nevertheless be met for the outputs to be delivered. The project itself should not be spending money to achieve any of these external conditions. If any project funds are allocated to addressing them, then they should be included as activities.

ANNEX 7.2.1 MOCK EMERGENCY APPEAL

APPEAL FOR EMERGENCY RELIEF OF THE 2009 CYCLONE-AFFECTED FAMILIES IN BANGLADESH

I. Basic CI Emergency Appeal Data Sheet

1. **Name and Address of Applicant:**
   Caritas Bangladesh
   Contact person: Executive Director

2. **Name of Project:** Emergency Relief for Coastal Communities in Flood-Affected Bangladesh
3. **Name of Implementing Partners:** Caritas Bangladesh through its Chittagong Regional Office.
4. **Duration of the Project:** three months
5. **Project Budget in US Dollar:** $750,000

Project Summary

The depression over the Bay of Bengal brought high winds and continued rains over five days, resulting in devastating effects in the southeastern regions of Bangladesh. Caritas Bangladesh (CB) immediately mobilized its regional team in Chittagong as well as experienced members of the Disaster Management team and dispatched them to the worst affected districts. Through its own contingency resources, CB has begun distributing food rations for an estimated 12,000 families, together with plastic sheeting, water containers and water purification tablets. These immediate activities are intended to fill gaps before government and other NGO mechanisms are established and fully functional.

Building on its emergency experience, CB intends to move quickly from traditional relief mechanisms, such as food distributions, to supporting economic recovery, thereby enabling families to engage actively in the recovery process. In addition, shelter and water and sanitation needs have emerged as priority needs that are not adequately being addressed by other humanitarian actors. Based on these findings, Caritas Bangladesh is presenting this Emergency Appeal with a focus on three main components for the first phase of response: **food security, temporary shelter** and **water-sanitation**.

II. Project Rationale

The tidal surges, high winds and continuous rains brought by tropical storm Mani have resulted in significant damage across Chittagong. The flash floods in the hills have caused mud slides across the province, including Chittagong city where residents have taken refuge in local mosques. The government death toll is currently estimated at 154, including at least 63 children. Extensive damage to access roads, bridges and other communication infrastructure have impaired rescue and relief efforts especially in the area of the southern coast. The government has asked the local authorities to evacuate 8,000 people from Lebubagan, the worst hit area, as conditions continue to deteriorate.

Needs Assessment Findings

Although the full extent of damage is not yet known, Caritas Bangladesh has deployed its regional team, supported by trained members of the Disaster Management Unit, to conduct rapid multisectoral needs assessment in two affected districts (Chittagong and Cox's Bazaar). Caritas has consulted key stakeholders, including local Government representatives. As part of the assessment process, separate discussions have been held with women in sites of displacement. Key findings are listed below:

- *Limited food stocks:* The assessment found that most families have food for approximately two days and have received very limited food assistance. Respondents indicate they have started cutting back and prioritizing their children, or are going without food. Government and WFP are planning to mobilize resources to the affected region but anticipate a 5–10 day lag time until stocks reach the area. Access to markets remains limited as a result of the extensive damage to local infrastructure, though this is expected to ease within a week or two.
- *Extensive damage to shelter, especially among the most vulnerable:* Thousands of homes have been totally destroyed by winds and mud slides. Many families are staying in the cyclone shelters and other public places where conditions are extremely crowded because they have nowhere else to go. Other families are sleeping in public market places, sharing the space with animals, in unhygienic conditions.
- *Limited access to clean water:* The water situation varies greatly across the area, depending on how chronic of a problem water access was before the cyclone. Many tube wells were flooded by the tidal surge and many pumps have been damaged. Women and children are walking long distances to collect water from the few sources that are still functional, in whatever containers they have managed to salvage. There are long queues at hand pumps and women report rationing water for essential consumption needs only. The quality of available water is questionable. Groundwater is typically saline and some affected areas are known to have arsenic problems.
- *Degraded sanitary conditions:* Given the lack of water, hygiene conditions in temporary displacement sites are rapidly deteriorating creating a public health concern. Most families along the coastal areas had dry pit latrines. In many cases, these were not sufficiently raised, resulting in damage and contamination to standing waters. High winds destroyed the bamboo walls around the latrines and, in areas hit by the tidal surge, the pits were flooded. Families report that men are now using the open areas for defecation, but women are severely restricted during day time and face significant challenges (including degraded health and security risks).
- *Loss of livelihoods:* The full livelihood impact of the cyclone is not yet known. Families in the region affected by the cyclone engaged in a wide variety of livelihood options, all of which have been severely damaged. Chittagong city is the second largest city in Bangladesh and had vibrant port commerce. With extensive damage to port infrastructure, day labor opportunities will be severely affected. Most of this year's standing crops have been

destroyed, many fields flooded in saline water, and many coconut trees uprooted. Fishermen families living along the coast lost their boats and nets in the storm.

Analysis

The emergency assessment highlighted urgent needs for food, nonfood items, clean water, temporary shelter and livelihood recovery. CB has already initiated food and nonfood distribution (including plastic sheeting and essential water items); however this immediate response will not meet but the most urgent needs. Immediate gaps remain in terms of access to clean water, shelter and food security:

Water, sanitation, hygiene (WASH): To date, no other actor has planned to address water and sanitation needs past immediate NFI distributions. Initial feedback from field staff suggests that water purification sachets are not systematically used by the families and alternatives need to be explored to address immediate water quality issues. Furthermore, extensive education is required for any WASH (Water, Sanitation and Hygiene for All) activity to address existing behavioral and cultural barriers.

Temporary shelter: Crowded displacement sites are creating a public health concern, in addition to privacy and security concerns for women. Outdoor conditions are difficult with wet land, heavy winds, and the coming winter months. Although families would prefer to return to their village, the may not be able to reconstruct their homes until the dry season starts, as mud for walling and bamboo for the structure are not currently available.

Food security: The gap analysis coupled with CB's vast expertise in emergency response indicate that food security is best addressed through economic recovery initiatives, in particular, through interventions that enable household access to cash, maximize their participation and choice, and bolster the local market.

III. Project Methods

Goal: Families affected by tropical storm Mani recover from the devastating effects of the storm.

Purpose 1: Water and Sanitation

Caritas will work to address the hardware and related software aspects to meeting the water and sanitation needs of affected populations in their village of origin. Caritas will adopt a participatory approach, mobilizing communities in the design and planning of WASH activities. CB will focus on improving access to safe water points by cleaning and repairing damaged tube wells (including platforms to prevent recontamination) and/or by installing new water points, if required. Water sources will be tested for fecal coliforms and arsenic and results shared publicly. Caritas will also work with households surrounding a given water source to involve them in monitoring both the quantity and quality of water available, as well as equity of access to the water point.

Latrine designs and approach have not been finalized. Nonetheless, given the urgency of addressing sanitation needs, CB anticipates providing temporary emergency structures for a cluster of households (or one extended family). Experience shows that establishing an engaged social process is foundational to ensuring appropriateness, utilization and maintenance of structures. CB will require labor contributions from the affected families to carry out work ranging from cleanup of sites, digging pits, and erecting the structures, to maintenance activities. Establishing clear preconditions, through signed community agreements that establish responsibility for both CB and the community on construction and maintenance of both water and sanitation, has proven successful in initial WASH activities in the past

Hygiene promotion activities will be designed to support the sanitation and water components rather than as stand-alone education activities. The primary aim of the hygiene promotion activities is to raise awareness of issues of contamination under current conditions. It is expected that this approach will have positive effects on attitudes and behaviors toward sanitation and water treatment in the long-term. CB is already starting deployment of hygiene teams to support proper use of water treatment sachets distributed as part of the relief phase.

Key Indicators
- Percent of target households that have sufficient water to meet their household needs
- Percent of households that access water within 500 meters from their shelter
- Number of tube wells repaired
- Number of ponds cleaned
- Number of new sources established

Purpose 2: Food Security
The assessment indicated that families will still face huge difficulties meeting their essential food needs after the first 10-day ration is exhausted. CB proposes to address food security through economic recovery activities including:

1) Immediate CFW (cash-for work) activities: Families are already engaged in strenuous work, clearing trees from the roads and debris from their houses. Families will be given 1,500 taka each to continue with this work as soon as the CB food distributions end. The earnings will ensure food requirements of a family (of five members) for at least two weeks. Additional CFW activities will be identified and prioritized by a committee comprised of community members. Projects could include pond cleaning, clearance activities, embankments repairs, canal lining and road rehabilitation. Experience has shown that not only does CFW enable affected households to access cash, but it also gives them the ability to engage in the relief process in a constructive and dignified manner while also quickly restoring vital community infrastructure.

2) Vouchers for productive assets: Caritas will implement a voucher scheme for family productive asset replacement. The most vulnerable members of the community will be selected by the Project Implementing Committee (PIC) and allowed to spend up to 8,000 Taka per family to purchase income generating items or equipment, to replace assets lost during the storm. This approach supports the

local economy as items are purchased in local markets, while giving choice to the people we are serving who are able to select the specific livelihood assets that are best suited for their household situation. Caritas used a comparable approach in its 2006 cyclone response in Khulna and Barisal, with good results. The actual modalities of implementation will be finalized during the startup phase, based on market conditions. Experience has shown that use of vouchers is efficient and effective in ensuring beneficiary satisfaction and quality control over purchased items.

Key Indicators

- Percent target households earning income through CFW
- Number of people employed through CFW activities
- Number of rehabilitation schemes completed

Purpose 3: Shelter and Settlement

CB will work with households to provide essential materials and technical assistance to support construction of transitional shelters. Further assessment on locally available materials, skills and construction practices will inform possible durable, practical and socially acceptable shelter options that offer protection from rains and poor weather over the coming winter months. It is expected that families will contribute unskilled labor and be provided some cash assistance to hire skilled carpenters or masons. Payments will be made in two installments; the first after site clearance and preparation, and the second upon completion and technical verification of the structure. Amounts are based on the prevailing rates for daily labor, both skilled and unskilled.

Key Indicators

- Percent of total affected population receiving Transitional shelter assistance
- percent of target households living in complete shelters
- percent of shelters completed within two weeks of material delivery
- Number of households receiving shelter

Assumptions

1. Markets are functioning
2. There are adequate food and livelihood assets available in the market
3. Permissions are obtained from local government in a timely way.
4. Target areas allocated by the government enable Caritas to have integrated programs / response.
5. Further monsoon rains do not hamper planned activities in target areas.

ANNEX 7.2.2 MOCK APPEAL RESULTS FRAMEWORK

Goal: Flood-affected families rebuild their lives and communities.

SO1: Affected households meet their water and sanitation needs.

Sphere Water Supply Standard 2 + Hygiene Promotion Standard 1+ Solid Waste Standard 1

IR 1.1: Households have equitable access to appropriate latrines.

Output 1.1.1 Latrines are rehabilitated or established.

IR 1.2: Households have equitable access to a sufficient supply of safe water.

Output 1.2.1 Water sources are rehabilitated or established.

IR 1.3: Households are practicing improved water and sanitation practices.

Output 1.3.1 HH participate in hygiene awareness sessions.

Output 1.3.2 Households receive appropriate water storage containers.

SO2: Affected households meet their immediate food needs.

Sphere Food Security Standard 1

IR 2.1: Households participate in timely CFW opportunities.

Output 2.1.1 Community rehabilitation cash for work schemes are identified.

IR 2.2: Households redeem vouchers for livelihood assets.

Output 2.2.2 Households receive vouchers for livelihoods assets.

SO3: Target vulnerable households live in safe and appropriate shelter.

Sphere Shelter & Settlement Stds 1, 3, 4, 5

IR 3.1: Households complete their shelters in a timely manner.

Output 3.1.1 Local skilled labor are trained on shelter design and safe construction techniques.

Output 3.1.2 Households receive complete shelter kits.

Output 3.1.3 Households receive CFW payments.

Cross-cutting issues:
1. Response is gender appropriate.
2. Vulnerable groups are included in response.
3. There is community participation.

Critical Assumptions:
1. Markets are functioning.
2. There are adequate food and livelihood assets available in the market.
3. Permissions are obtained from local government in a timely way.
4. Target areas allocated by the government enable Caritas to have integrated programs or response.
5. Further monsoon rains do not hamper planned activities in target areas.

ANNEX 7.2.3 OFDA INDICATORS EXTRACT FROM 2008

EXTRACT FROM OFDA GUIDELINES: SECTOR, SUBSECTOR AND INDICATOR TABLE

SECTOR	SUBSECTOR	INDICATORS
Agriculture and Food Security	**Fisheries**	• Number of people trained in fisheries • Number of people benefiting from fisheries activities • Kilograms of fish captured/fisher/month (capture fisheries) or kilograms of fish harvested per fish farmer per six-month period (aquaculture)
	Livestock	• Number of animals benefiting from or affected by livestock activities • Number of people benefiting from livestock activities
	Pests and Pesticides	• Number of people trained in pest and pesticide management • Number of the people we serve practicing appropriate crop protection procedures • Number (estimated) of hectares protected from pests/diseases
	Seed Systems and Agricultural Supplies	• (Projected) increase in number of months of food self-sufficiency due to distributed seed systems/agricultural input for beneficiary families • Number of people benefiting from seed systems/agricultural input activities
Economic Recovery and Market Systems (ERMS)	**Economic Asset Development**	• Number of people assisted through economic asset development activities • Number and percent of people utilizing economic assets created to support their livelihood pattern
	Economic Asset Restoration	• Number of people assisted through economic asset restoration activities • Total USD amount channeled into the local economy (through cash grants, vouchers, livelihoods fairs, etc.)
	Market Infrastructure Rehabilitation	• Amount of market infrastructure rehabilitated (miles of road, number of bridges, etc.) • Number of cash grants to small microenterprises (SMEs) • Total USD amount of cash grants to SMEs
	Microcredit	• Number of individuals or SMEs receiving loans • Number and percent of microcredit loan installments repaid according to schedule
	Microfinance Institutions (MFIs)	• Number of cash grants to microfinance institutions (MFIs) • Total USD amount of cash grants to MFIs
	Temporary Employment	• Number of people employed through cash-for-work (CFW) activities • Average USD amount per person earned through the CFW activities • Number and percent of women employed through CFW activities

Water, Sanitation, and Hygiene (WASH)	**Environmental Health**	• Number of community cleanup/debris removal activities conducted • Number of vector-borne disease environmental control activities implemented • Number of bathing facilities completed
	Hygiene Promotion and Behaviors	• Percent of target population demonstrating good hand-washing practices • Percent of target population demonstrating correct water use and storage • Number and percent of clean water points functioning three months after completion
	Sanitation	• Number and percent of household latrines completed that are clean and in use in compliance with Sphere standards • Number and percent of household hand-washing facilities completed and in use • Number and percent of households disposing of solid waste appropriately
	Water Supply	• Number and percent of household water supplies with zero coliform bacteria per 100 ml • Average water use of target population in liters per person per day prior to and after interventions • Number and percent of water points with measurable chlorine residual exceeding 0.2 mg/l
Shelter and Settlements (S&S)	**Camp Design and Management**	• Number of households receiving shelter in camps, pursuant to Sphere standards and Field Operations Guide (FOG) guidelines. • Percent of total affected population receiving shelter assistance in camps • Total USD amount and percent of approved project budget for camps spent in the affected local economy
	Emergency or Transitional Shelter	• Number of households receiving emergency/transitional shelter, pursuant to Sphere standards and FOG guidelines • Percent of total affected population receiving emergency/transitional shelter assistance • Total USD amount and percent of approved project budget for emergency/transitional shelter spent in the affected local economy
	Shelter Hazard Mitigation	• Number of shelters incorporating hazard mitigation measures • Number of settlements adopting hazard mitigation measures • Number and percent of people retaining shelter hazard mitigation knowledge two months after training

ANNEX 7.2.4 QUALITY CRITERIA FOR INDICATORS MODIFIED FROM CARE

QUALITY CRITERIA FOR EMERGENCY INDICATORS	
Relevant	The indicators should be linked directly to the program objectives and to the appropriate levels in the hierarchy.
Technically feasible	The indicators should be capable of being assessed (or measured if they are quantitative).
Reliable	The indicators should be verifiable and (relatively) objective. That means conclusions based on them should be the same if they are assessed by different people at different times and under different circumstances.
Usable	People in the emergency response program should be able to understand and use the information provided by the indicators to make decisions or improve their work and the performance of the response.
Easily communicated	Using indicators that are based on common standards such as Sphere and/or those used host government makes monitoring information easier to understand by peer agencies, which is particularly useful for coordinating agencies.
Participatory	The steps for working with the indicator should be capable of being carried out with the target community and other stakeholders in a participatory manner during data collection, analysis and use.
Comprehensible	The indicators should be worded simply and clearly so that people involved in the project will be able to understand them.
Valid	The indicators should actually measure what they are supposed to measure, e.g., measuring effects due to project interventions rather than outside influences.
Sensitive	They should be capable of demonstrating changes in the situation being observed, e.g., measuring the gross national product of Uganda does not tell us much about the individual households in one district.
Cost-effective	The results should be worth the time and money it costs to collect, analyze and apply them.
Timely	It should be possible to collect and analyze the data reasonably quickly, i.e., in time to be useful for any decisions that have to be made.
Ethical	The collection and use of the indicators should be acceptable to the communities (target populations) providing the information.

When making a decision about which indicators are appropriate, it is important to double-check that the information that you are gathering is going to give a realistic appraisal of what is actually happening.

ANNEX 7.3.1 MONITORING MATRIX CI EMERGENCY TOOLKIT

MATRIX OF A MONITORING SYSTEM								
Logframe Element	**Indicator** (How do you know plans are achieved?)	**Means of Verification** (How to measure the indicator)			**Means of Analysis**		**Use of Information**	
		Data Source	**Frequency of Collection**	**Responsibility for Collection – Who?**	**Data-base?**	**Summarizing narrative sources/ results of meetings, focus group discussions etc.?**	**Method of Communication (report, meeting, etc.)**	**By Whom**
GOAL								
Assumptions and Risks								
PURPOSE								
Assumptions and Risks								
OUTPUT								
Assumptions and Risks								
ACTIVITIES								
Assumptions and Risks								
CROSS-CUTTING ELEMENTS								

ANNEX 7.5.1 M&E SYSTEM FLOW CHART

CSSC LIAONING HIV AND AIDS OUTREACH PROGRAM

Flow of Data Gathering – 4 April 07

Client Registration Form (Form 1A)
CD4 Count (Form 1A)
Case Notes (Form 1B, updated regularly with services received)

Social Support Services

Daily
- Counseling Report Format (Form 3A)
- Small Group Counseling Report (Form 4)
- Support Group Meeting Report (Form 5)
- Home / Hospital Visit Support Daily (Form 6A)
- Educational Scholarship Tracking Form (Form 9)
- Meeting Report Format (Form 11)

Monthly Tally Sheets
- Case Summary Sheet PHAs and Non PHAs (Form 2A & 2B)
- Monthly Client Counseling Report (Form 3B)
- Monthly Outreach Visits and Support Report (Form 6B)
- Staff Monitoring Work Form (Form 12)

Health Services

Daily
- Medical Fund Register – Rural Areas – Daily (Form 7A)
- Medical Fund Register – Shenyang – Daily (Form 7B)
- Health Education Training Report (Form 8)

Monthly Tally Sheets
- Medical Fund Report – Monthly (Form 7C)

Prevention Education

Daily
- Prevention Education Training / Event Report (Form 10A)
- Prevention Education: Pre-, Post-Test and Analysis Tool (Form 10B)

Monthly Tally Sheets
- None required. Just add up information in Prevention Education Training / Event Reports.

MONTHLY INDICATOR REPORT

QUARTERLY PERFORMANCE INDICATOR TRACKING TABLE

Quality of Life Surveys with Clients done on a semiannual basis – surveys documented and analyzed

Focus Groups with Clients done on a quarterly basis—documented by written reports

Meetings with Key Stakeholders done on a quarterly basis—documented by meeting reports

QUARTERLY NARRATIVE REPORT
Analyze information in Quarterly Performance Indicator Tracking Table and summarize findings from Quality of Life Surveys, Focus Groups and Meetings with Key Stakeholders.

ANNEX 7.5.2 M&E BINDER TOC

HOC MON CONTINUUM OF CARE HIV AND AIDS PROJECT

Monitoring and Evaluation System Operations Manual

Table of Contents

COMPONENT	DOCUMENT IN THE M&E OPERATING MANUAL	STATUS/ COMMENTS
1. ToC and Purpose Statement	Table of Contents	Jan. 24, 2007
	Purpose Statement	Jan. 16, 2007
2. Review Indicators and Information Needs of Users	Results Framework (revised)	Jan. 19, 2007
	Proframe (revised)	Jan. 19, 2007
	Stakeholder Information Needs	Jan. 17, 2007
	Two E-mails from Caritas Norway on their interests	Jan. 18, 2007
	Other Information Needs (Critical Assumptions and Risk Analysis)	To do
3. Plan for Information Gathering, Organization and Analysis	**DATA COLLECTION AND REPORTING FORMS SO 1**	
	1. Hoc Mon Health Center (PAC) Monthly Report Form	Jan. 18, 2007
	2. Referrals from OPC Tally form Instructions for Hoc Mon Monthly Report Form and Referral Tally form	Jan. 18, 2007 Jan. 18, 2007
	3. CRS Monthly Report to FHI (same form as HM Health Center Monthly Report)	Jan. 18, 2007
	4. FHI Quarterly Report Form Instructions for Quarterly Report Form	To revise To do
	5. Hoc Mon Training and Workshop Form Instruction for Training and Workshop Form	To do To do
	6. Critical Assumptions and Risk Analysis Information Form Instructions for Critical Assumptions Form.	To do To do
	Monitoring Responsibilities Worksheet for SO 1	To do
	DATA COLLECTION AND REPORTING FORMS SO 2	
	1. New Day Community Center Monthly Report Instruction for NDCC Monthly report	Jan. 19, 2007 To do
	2. Training/education Activity Report Instructions for Training/education Activity Report	Jan. 18, 2007 To do
	3. Meeting Report Format Instructions for Meeting Report	Jan. 18, 2007 To do
	4. Client Registration Form Instructions for Client Registration Form	To do To do
	5. Referral to OPC Form Instructions for Referral to OPC Form	To do To do
	6. Counseling Case Management Forms Instructions for Counseling Case Management Form	To do To do
	Monitoring Responsibilities Worksheet for SO 2	To do
	Critical Assumptions and Risk Analysis worksheet	To do

COMPONENT	DOCUMENT IN THE M&E OPERATING MANUAL	STATUS/ COMMENTS
4. Plan for Critical Reflection and Evaluations	Critical reflection events (example from Aceh)	To do
	Planned Evaluations (example from Aceh)	To do
5. Plan for Quality Communication and Reporting	M&E Calendar (example from Aceh)	To do
	Reporting and Communication Schedule (does not include SO 2)	To revise
6. Plan for Capacities	Staff capacity assessment and training (example from Aceh)	To do
Hoc Mon Forms	Various Inpatient Forms	Copies in binder
HIV OPC used by FHI/PAC	Various forms for patient file	Copies in folder
CRS/HCMC	Early Hoc Mon forms	Copies in binder
Reference Document	President's Emergency Plan for AIDS Relief: Indicators, Reporting Requirements and Guidelines	Copy in binder
Reference Document	FHI – Indicator report	Copy in binder

ANNEX 7.10.1 TEN REASONS TO CONDUCT AN RTE

TOOL 4: TOP TEN REASONS FOR DOING AN RTE

With acknowledgments Claude Hilfiger and Andreas Schuetz of OCHA who suggested that a top-ten list could be a useful tool.

The following are the top ten reasons for doing an RTE.

NUMBER	REASON
1	Reduce the risks that early operational choices bring about critical problems in the longer term.
2	Reduce the organizational risk inherent in any large scale operation.
3	Bring in an external perspective at a key point in the response.
4	Provide managers both in-country and at headquarters with a solid basis of information when they are faced with difficult decisions.
5	Answer specific research questions, such as what approaches have worked in the past for any particular problem that is being faced or what approaches are working well in other areas.
6	Facilitate improved communication and understanding between HQ and the field by providing the agency with a rich communication channel between them.
7	Enable programming to be influenced as it happens and permit agencies to make key changes at an intermediate point in programming based on learning from the program.
8	Provide some analytical insight into the issues that the operational teams face, generating insights that the teams do not have the time to develop because they are too busy dealing with the day to day problems of the response. This may include conduction an after action review for the country team.
9	Provide HQ with a quick overview of the whole program that is far richer than that presented in progress reports as RTEs will normally include the perspectives of disaster-affected populations, partners, and the independent evaluation team.
10	Offer deeper consultation with the disaster-affected populations than is possible for the operational team will.

ANNEX 7.10.2 SAMPLE RTE QUESTIONS

REAL-TIME EVALUATION

Sample Evaluation Questions

Appropriateness and Relevance

- Has the assistance provided by the agency meet the needs of the population?
- Which parts of the assistance have been the most appropriate and why? Least appropriate and why?
- To what extent have disaster-affected populations been involved in the design or implementation of the assistance program?
- In what way are beneficiary needs now changing? This raised the vital question in the RTE context of whether programs reflect previous needs or current ones.
- Have protection concerns been adequately considered in the design of assistance?
- What, if any, changes do we need to make to our program to make it more appropriate and relevant?

Effectiveness

- Are the agency's interventions broadly on course to achieve their purpose?
- Which activities are the most effective or least effective and why?
- What are the biggest obstacles to the achievement of the purpose of the intervention?
- What, if any, changes could we make to our program to make it more effective?

Sustainability

- What types of longer term development issues are most affected by the response and how?
- How has the response affected longer term coping mechanisms?
- Are all the key disaster hazards for this area being considered in this response?
- What environmental impact has the response had?
- What, if any, longer terms impacts is our present program likely to have?
- What, if any, changes could be made the program of short-term assistance a better fit with longer-term needs?

Coverage

- Which group has benefited most from our assistance, how and why?
- How has our assistance been allocated geographically?
- Has the emergency responses affected men and women, poor and nonpoor differently?

- Has our program considered the differing needs of men and women, children, adults, the elderly, the able and the disabled, and the comfortable and the very poor?
- What, if any, changes could we make to our program to improve the coverage of our assistance?

Coordination

- To what extent has our response been coordinated with the efforts of the broader humanitarian community?
- To what extent has our response been coordinated with the efforts of the government?
- What internal coordination problems have we faced and how have they been addressed?
- What have the biggest successes in coordination been? Biggest gaps?
- What, if any, changes could we make to improve coordination of the overall response?

Lessons

- What examples of innovative good practice can be seen in our response?
- What general lessons can we draw from this response for our preparation for future response?

Other Sample Questions to Wrap Up an Interview:

- When you look back on the response, what it the biggest lesson that you have learned, or had reinforced, by this experience?
- What have you personally learned from this experience?
- What was the thing that most surprised you in this operation?
- If you were back at the start of the operation with the knowledge you have now, what would you do differently?
- Is there any question that you were expecting which I have not asked?

Sample Focus-Group Discussion Guide

1. Topic: Coverage?

Q1: Round robin: No matter what happens, some people benefit more than others. If it rains, farmers might be happy, but the woman who has just done her washing may be annoyed. If the sun shines, the man who is doing casual work will be happy, but the woman who is drying fish to take to market will be even happier. So the question is: Which group do you think benefited most from the aid?

More specific probing questions:

1. How do you think that they benefited more than others?
2. Was it fair that they benefited more than other people? What are their relative positions like now when compared with before?

3. Who benefited most: men or women? Why do you say that? What are their relative positions like now when compared with before?
4. Who benefited most: rich or poor? Why do you say that? Can you give an example?
5. How much redistribution of aid was there within the community? What motivated this?

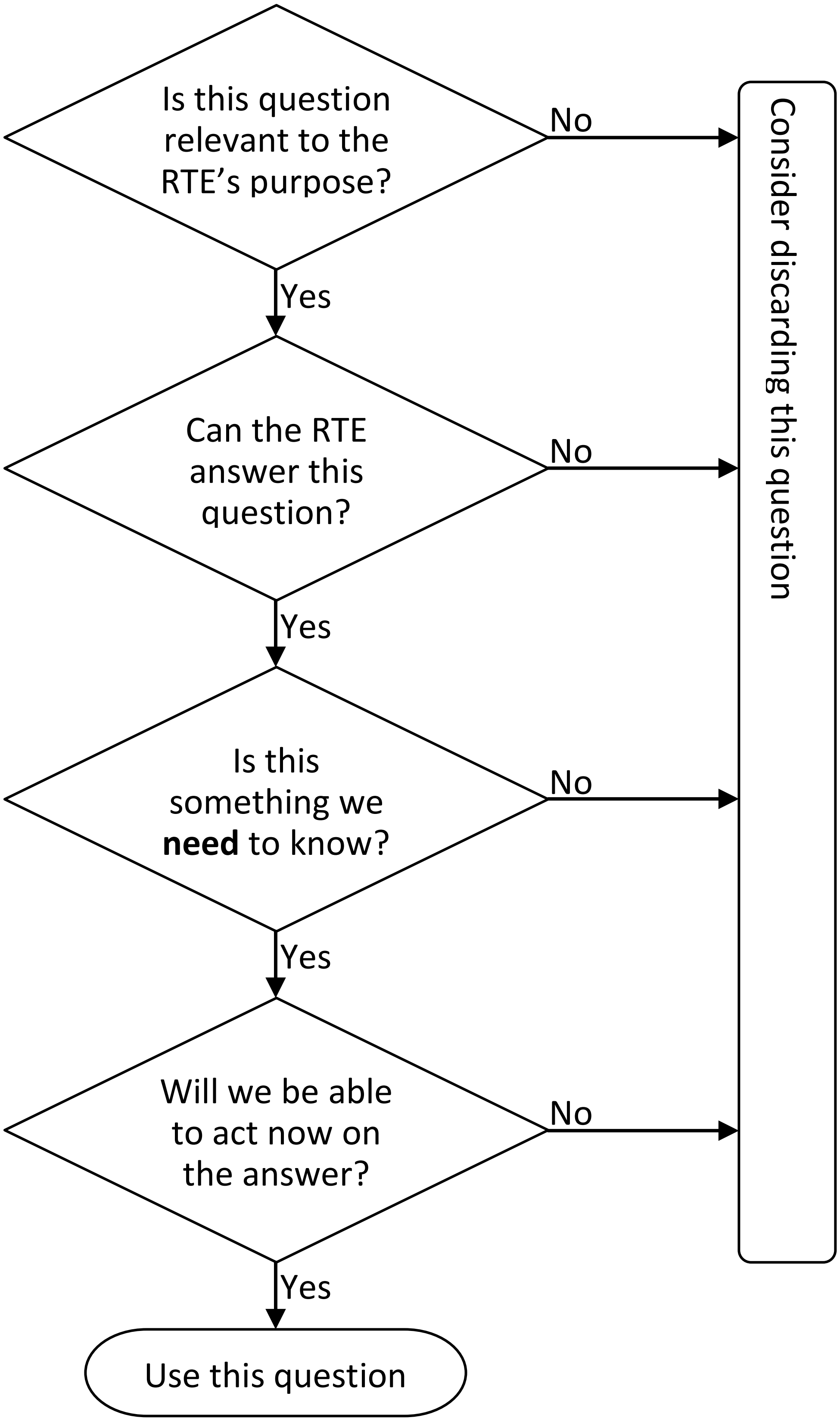
Closing round robin: How do you think that support could have been distributed more fairly?

Sample Recommendation

The agency should, within two months, improve communication with the affected population on what its plans are, and on how funds are being used. This could be achieved by the following:

- Providing a report on progress and plans to the community every month.
- Putting signboard at all project sites with the details of the intervention, the donor, including a description, the expected completing data, and an outline budget.
- Posting simplified accounts at each project site every month, showing the expenditure that month against the budget on labor, materials, and other costs.
- Setting up a complaints mechanism so that community members can raise questions about the problems that they have with the implementation of specific project elements.

REVIEWING QUESTIONS



ANNEX 2.1 ASSESSMENT EXERCISE

August 16, 2009, 16:30

A major depression over the Bay of Bengal has brought high winds and continued rains for days over the past 48 hours. The Caritas Bangladesh (CB) director was just on the phone with the Dhaka emergency unit, indicating that two districts have been already been put on alert, with people in severely affected areas having been asked to evacuate. People in the coastal areas are said to have moved to cyclone shelters. However, information is patchy, and roads are currently impassable. Rains are expected to continue for at least three more days. Landslides in the Chittagong city outskirts have reportedly already caused casualties.

You are the coordinator of the Caritas Dhaka Emergency Unit. Dr. Alo, the Executive Director, will expect you to send a Situation Report to CI within 24 hours.

Group Instructions

Working in a group as the emergency unit, please prepare the plan for your first assessment, indicating the following:

1. WHY you will conduct an assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

August 17, 2009, 16:00

This is emerging as a high-profile emergency and has made front page news on the BBC. In Chittagong, the death toll from landslides is currently estimated at 154, including a high number of children. As rains continue, the death toll is expected to rise and cause major damage to infrastructure and crops. People living in *kacha* or semi-*pucca* shelters have taken shelter in schools and cyclone shelters. Fallen trees and electric pylons are blocking roads, making it difficult to reach Cox's Bazaar. Telecommunication infrastructure is badly damaged, and communication with field staff is difficult.

From preliminary information and discussions with the executives, it is clear that CB will need to respond. The regional team, based in Chittagong, has not participated in your Emergency Preparedness Trainings and, therefore, has very little experience in emergency assessments. As the coordinator for the unit, you have been asked to deploy to lead the assessment team. You are scheduled to leave this evening, but you need to send your preliminary assessment plan, so that field work can start first thing tomorrow.

Group Instructions

Working in a group, please prepare the plan for your assessment, indicating the following:

1. WHY you will conduct an assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

August 20, 2009, 9:00

Caritas Bangladesh immediately mobilized its regional team in Chittagong as well as experienced members of the Disaster Management team and dispatched them to the worst affected districts. Through its own contingency resources, CB has begun distributing food rations for an estimated 12,000 families, together with plastic sheeting, water containers and water purification tablets.

Based on preliminary discussions with government officials and community leaders, as well as your field observations, it is apparent that food, shelter and wash needs in the present camps will be met. Families have started to trickle back to their villages, but a majority of *kacha* and *semi-pucca* shelters are either blown away or damaged, making shelter assistance a clear priority. Crops have suffered extensive damage, and, therefore, you plan to expect to start cash-for-work activities.

Your initial relief was planned only for 10 days. You now need more detailed information to write the Emergency Appeal for CI, indicating your plans over the next three months.

Group Instructions

Working in a group, please prepare the plan for your next assessment, indicating the following:

1. WHY you will conduct another assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

10 STEPS FOR DEVELOPING AN EMERGENCY M&E SYSTEM

1. Review and check the project objectives and/or logic of change.
2. Select and refine your indicators.
3. Identify methods for data collection.
4. Develop an activities schedule.
5. Determine the frequency of data collection.
6. Plan for analysis and use of information.
7. Define who does what (users, data collectors, etc.).
8. Develop monitoring tools.
9. Hire and train partner staff on tools and data collection
10. Review your system to ensure:
    a. Appropriate scale and scope of system.
    b. That it captures information to meet accountability commitments.

Tips on M&E System and Tools

- Decide on scale and scope and ensure it fits with the system.
- M&E plan is not enough; you need to develop full system and tools.
- Pretesting on forms is critical.
- Stress the need for training.
- Include clear instructions on use.
- Determine who will use it (now!).
- Include accountability (e.g., participation, appropriateness, gender, targeting, protection).

Recommendations

- More frequent focus group discussions (FGDs).
- Include issues in to FGD topics.
- Incorporate targeting focus into tokens or tools (to capture info).
- Ensure that reports have space to capture unanticipated changes.
- Include disaster risk reduction (DRR) considerations on technical supervisory forms (e.g., for shelter).
- Change language of indicator to look at overage (at SO level).

- Use purposeful sampling to understand perspective of most vulnerable.
- Set up MOU with community for transparent criteria and process.
- Use daily debriefs and observations to capture unanticipated info
- Involve community in some of M&E (e.g., observation, quality control).
- Specify indicator to focus on appropriateness or gender considerations.
- Build in critical reflection events with the community.
- Include systematic feedback mechanisms (especially on who receives what).

EMERGENCY
OPERATIONS
DEPARTMENT

MODULE 8:

Refresher Training: Pulling It All Together

~~(2½ days)~~

Part of the EPRT Modules series developed by and for the CRS Emergency Operations Department.

Other Modules in the series:

Module 1: Introduction to Sphere (1 day)

Module 2: Participation and Accountability in Emergencies (½ day)

Module 3: Emergency Needs Assessments (2½–3 days)

Module 4: Emergency Needs Assessment Simulation (1½ days)

Module 5: Analysis and Project Design (2½ days)

Module 6: Technical Design and Distributions (2 days)

Module 7: Emergency Monitoring and Evaluation Systems

CRS
CATHOLIC RELIEF SERVICES

TABLE OF CONTENTS

MODULE 8: REFRESHER TRAINING: PULLING IT ALL TOGETHER (2½ DAYS)

Objective

- To put assessment, analysis and strategy design skills into practice in a simulated emergency

Expected Results

- Course participants will be able to use or apply Sphere in emergency assessments, analysis and project design.
- Course participants will be able to develop an emergency proposal to respond to a simulated emergency.

Brief Overview and Tips

This 14-hour module uses takes the participants through the key steps in an emergency process, from assessment and analysis to strategy design, defining the results framework and designing the monitoring and evaluation (M&E) plan. It is all based on a case study that can be adapted to suit different contexts.

Session 8.1	Assessments Revisited	(1½ hr.)
Session 8.2	Sphere Revisited	(1½ hr.)
Session 8.3	Project Design: Analysis and Strategy Selection	(5 hr.)
Session 8.4	Project Design: Strategy Review	(2 hr.)
Session 8.5	M&E Review	(3½ hr.)

- Depending on the level of the group, more time may be needed for some or all of the sessions.
- Case studies can be adapted according to the local context.
- Most sessions start with refreshing participants' knowledge from previous sessions. This can be made as fun as possible, for example, organizing ball games, when-the-music-stops, or lucky dip quizzes.
- A competition can be organized at the end, so that participants review and vote on the best emergency proposal, and a prize is awarded to the winner.

Further Resources

- CRS Asia M&E Guidance
- CRS ASIA Emergency Assessment Guidance
- ProPack I and II
- Caritas Internationalis Emergency Response Toolkit, Sections 4, 5, 6
- Good Enough Guide
- Sphere Handbooks

SESSION 8.1: ASSESSMENTS REVISITED (1½ HR.)

Objective

- ~~•~~To identify information needs required to make key decisions at different stages in an emergency response

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 monitoring 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 or statistics. Use secondary sources and focus your primary data collection on people and coping strategies.

Materials

- Handout 8.1.1: Case Study
- Emergency Assessment Guidance
- Sphere Common Standard 2 on Initial Assessment

Facilitation

TIME	METHOD	SESSION
2 hr.	**Group work**	**Distribute** copies of CRS Asia Emergency Assessment Guidance. Form groups. **Distribute** Case Study, Part 1. Participants answer the questions in the case study, and write ideas on cards. (25 min.) **Distribute** Case Study, Part 2. As above, with different colored cards. (25 min.) Case Study Part 3, as above. (25 min.) Stick matrix on the wall and share ideas, placing the cards on the matrix as appropriate, and discussing to agree on the correct place for each card. (30 min.) **Conclude** with Key Messages. (15 min.)

SESSION 8.2: SPHERE REVISITED (1½ HR.)

Objectives

- To refresh participants' knowledge of Sphere
- To discuss and recognize the challenges of using Sphere

Key Messages

- We often *only* refer to quantitative elements of Sphere and overlook principles, Core Standards or even technical guidance.
- Indicators are *not* standards!
- We need to use Sphere but adapt locally and be prepared to justify our choices to donors.

Materials

- Handout 8.2.1: Sphere Quiz (same as in Module 1, further resources available at online at www.sphereproject.org)

Facilitation

TIME	METHOD	SESSION
1.5 hr.	**Plenary quiz**	Form pairs or small groups and distribute the Sphere Quiz. Allow time to complete it, then share answers group by group. (50 min.) Based on participants' experience (or using the case study above), what are some of the challenges in using Sphere effectively? Explore steps in the project cycle and practical experience. (20 min.)
	Plenary discussion	**Conclude** with key messages. (10 min.)

SESSION 8.3: PROJECT DESIGN: ANALYSIS AND STRATEGY SELECTION (5 HR.)

Objective

- To be able to use analysis tools to develop a project strategy and results framework

Key Messages

- Tools for analysis include problem tree, conceptual frameworks, integral human development (IHD), Do No Harm framework, gender analysis, gap analysis, capacity analysis and more.
- The process is more important than the tool—that is, be clear about why you are using the tool, and use it to ask questions and reach a better understanding of a given situation.
- There are many possible ways to address a single problem. There is no right way to involve women, or to make a program participatory, or to meet technical standards. It is important to be flexible and creative, to refer back to the results of the needs assessment, and to analyze and compare the advantages and disadvantages of the available options.
- A results framework gives a snapshot of the top three levels of a project's objectives hierarchy: goal, strategic objective(s) and intermediate results. There is a means-to-end relationship among the intermediate results, strategic objective(s) and goal.
- Intermediate results state the expected change(s) in identifiable behaviors by program participants in response to the successful delivery and reception of program outputs. These results are called "intermediate" because progress at this level is a necessary step toward achieving the strategic objective(s).

Materials

- Handout 8.3.1: Case Study
- Handout 8.3.2: Emergency Proposal Template
- Handout 8.3.3: Example of a Food Security Response Matrix
- ProPack I, sections on developing a Results Framework, pp. 98–101, 105–106

Facilitation

TIME	METHOD	SESSION
2 hr.	**Plenary Q&A**	Participants conduct a review of the tools and steps of analysis that they learned in Module 4. (30 min.)
	Group work	In groups, participants use tools to analyze the assessment findings presented in Handout 8.3.1. (60 min.)
	Plenary discussion	Groups present their analyses. Ask questions to understand how tools were used and how conclusions were reached. (30 min.)
1½ hr.	**Plenary Q&A**	Participants refresh their knowledge of the tools for strategy selection, including theory of change, technical standards, gender table (ProPack I p. 190), Sphere Core Standard 1 on People-Centered Humanitarian Response, and the 10 principles of the Code of Conduct. (30 min.)
	Group work	In the same groups, participants develop strategies to respond to the emergency (Handout 8.3.1). (60 min.) Remind them of tools such as the ranking matrix: (columns can be used for selected criteria). • Cost • Gender • Sustainability • Speed, etc. • Rank on scale of 1–5, with 1 = poor and 5 = good
1¼ hr.	**Plenary Q&A**	Refresh the participants' memory of what a results framework is, and the logical hierarchy between different levels of objective. (20 min.)
	Group work	In their groups, the participants develop a results framework for their emergency response. (55 min.)
15 min.	**Plenary discussion**	Share feedback on how the exercise went.

SESSION 8.4: PROJECT DESIGN: STRATEGY REVIEW (2 HR.)

Objectives

- To review strategies based on quality criteria (both technical approach and sound design quality)
- To discuss innovative strategies and cross-cutting issues (participation, protection, risk reduction)

Key Messages

- We do not work in isolation and cannot meet all the needs. Prioritization is required.
- Strategy design needs to be participatory and contextualized; there is no one-size-fits-all solution.
- We need to maintain a balance between social processes and service delivery (including hardware, distributions, etc.).
- In any given sector (especially food security), there are multiple strategies that can be adopted.

Materials

- ProPack I, Strategy Review, pp. 90–94
- Sphere Handbooks for Core and technical standards

Facilitation

TIME	METHOD	SESSION
60 min.	**Group work**	Distribute review checklists from ProPack I, pp. 93–94, and ask participants to use relevant sections of Sphere Handbook, both Core and technical standards. Ask groups to pair together and conduct peer reviews of one another's strategies. (30 min. each)
45 min.	**Plenary discussion**	Come together to discuss, what did we learn from this exercise? Are there any examples of innovative strategies? How have cross-cutting issues (participation, protection, risk reduction) been addressed? Are strategies compliant with Sphere technical standards?
15 min.	**Plenary discussion**	Conclude with key messages.

SESSION 8.5: M&E REVIEW (3½ HR.)

Objective~~s~~

To practice the steps of M&E planning

Key Messages

Defining Indicators

- When selecting indicators, use as few as possible to meet your information needs. Do not reinvent the wheel: Use Sphere or other industry indicators and adapt them to the local context as needed.
- Make your indicators as *specific* as possible. Write definitions for terms used in the indicator. Disaggregate your indicators to represent different groups (men, women, children and other vulnerable groups).
- Indicators do not need to be quantitative to be measurable. Qualitative indicators (including subjective perceptions and judgments) are essential components of emergency monitoring, for example helping to explain the “why” and “how” questions related to quantitative results.

Means of Verification

- Keep the system simple by selecting as *few* methods as possible to obtain reliable information.

DIP and M&E Planning

- Check early and check often to identify signs of change. Monitoring data should be collected as soon as possible after implementation of each aspect of an emergency response to ensure that we are on the path to achieving intended impact and to check beneficiary response to the (technical and social) approach.
- In order to develop a useful monitoring system, we must have a clear idea of the schedule of activities and critical project milestones for achieving outputs. This requires developing a detailed implementation plan (DIP).
- Timing of monitoring activities needs to be linked to activities planning. Monitoring needs to be planned for as an activity in the DIP (as a row).

Analysis and Use of Monitoring Information

- Monitoring data is collected for use; therefore, you need to plan for *how*, *when* and *who* will analyze and use the information.
- Keep it simple by adopting the *good enough* approach. Adjust your analysis methods based on context: Assess staff capacities, time, resources for data entry and/or more complex analysis.

Monitoring Systems

- The M&E system keeps all the different components organized and plans a clear flow of information.

- The system includes all the steps or elements that you do to *count*, *check*, *communicate* and *change* within your response. This includes registration records, tokens, sitreps, after-action reviews, and so forth.

Materials

- CRS Asia M&E Guidance
- CRS ProPack I and II

Facilitation

TIME	METHOD	SESSION
30 min.	**Plenary**	Review the steps of M&E planning.
45 min.	**Group work**	In groups, identify indicators for the results framework.
30 min.	**Plenary discussion**	Each group presents, and others use indictor review tools to review and suggest improvements.
45 min.	**Group work**	Each group designs their M&E plan.
30 min.	**Plenary**	One group shares their plan, and others comment and make suggestions.
30 min.	**Group work**	In groups, develop a flowchart showing the M&E system for this emergency program.
15 min.	**Plenary**	One group shares their plan, and others comment and make suggestions.
15 min.	**Plenary**	Share feedback, learnings and key messages from this exercise.

ANNEXES MODULE 8

ANNEX 8.1.1 CASE STUDY ASSESSMENT

August 16, 2009, 16:30
A series of landslides triggered by torrential rains swept through areas of Rowanchari, Ruma, Thanchi and Alikadam Upazilas of Bandarban District, and Bilaichari Upzila of Rangamati districts were severely hit by rains caused flesh floods and landslides in last 48 hours. The Caritas Bangladesh (CB) director was just on the phone with the Dhaka emergency unit, indicating that two districts have been severely affected and have reportedly already caused casualties. But information is patchy and roads are currently impassable. Rains are expected to continue for at least three more days.

You are the coordinator of the Caritas Dhaka Emergency Unit. The Executive Director will expect you to send a Situation Report to CI within 24 hours.

Group Instructions
Working in a group as the emergency unit, please prepare the plan for your first assessment, indicating the following:

1. WHY you will conduct an assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

August 17, 2009, 16:00
This is emerging as a high-profile emergency and has made front page news on the BBC. The death toll from landslides is currently estimated at 154, including a high number of children. As rains continue, the death toll is expected to rise and cause major damage to infrastructure and crops. People living in *kacha* or semi-*pucca* shelters have taken shelter in schools and cyclone shelters. Fallen trees and electric pylons are blocking roads, making it difficult to reach the affected districts. Telecommunication infrastructure is badly damaged, and communication with field staff is difficult.

From preliminary information and discussions with the executives, it is clear that CB will need to respond. The regional team, based in Chittagong, has not participated in your Emergency Preparedness Trainings and, therefore, has very little experience in emergency assessments. As the coordinator for the unit, you have been asked to deploy to lead the assessment team. You are scheduled to leave this evening, but you need to send your preliminary assessment plan, so that field work can start first thing tomorrow.

Group Instructions

Working in a group, please prepare the plan for your assessment, indicating the following:

1. WHY you will conduct an assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

August 20, 2009, 9:00

Caritas Bangladesh immediately mobilized its regional team in Chittagong as well as experienced members of the Disaster Management team and dispatched them to the worst affected districts. Through its own contingency resources, CB has begun distributing food rations for an estimated 12,000 families, together with plastic sheeting, water containers and water purification tablets.

Based on preliminary discussions with government officials and community leaders, as well as your field observations, it is apparent that food, shelter and wash needs in the present camps will be met. Families have started to trickle back to their villages but a majority of *kacha* and *semi-pucca* shelters are either blown away or damaged, making shelter assistance a clear priority. Crops have suffered extensive damage and, therefore, you plan to expect to start cash-for-work activities.

Your initial relief was planned only for 10 days. You now need more detailed information to write the Emergency Appeal for CI, indicating your plans over the next three months.

Group Instructions

Working in a group, please prepare the plan for your next assessment, indicating the following:

1. WHY you will conduct another assessment (objective)
2. WHAT information you will collect
3. HOW you plan to collect this information
4. WHOM you need to talk to and WHO will conduct the assessment

Write each piece of information on one stock card. You have 10 minutes to work on this in your group.

ANNEX 8.2.1 FIND THE ANSWER! SPHERE TEAM COMPETITION

Rules

- Work in teams of two.
- Each team must answer all 10 questions below using The Sphere Handbook.
- Teams will have 15 minutes to answer the questions.
- For each answer, teams must indicate the page number(s) on which they located the answer.
- Each team will self-record their points.
- Correct answers are worth 1 point; incorrect answers and questions not answered are worth 0.
- Judges have the final say on whether an answer is correct or not. If a team argues with the judges' decision, they lose 3 points.

Quiz Questions

1. How many Core standards does the Sphere Handbook contain?
2. How many minimum standards are quantitative?
3. What is the definition of an indicator according to Sphere?
4. Sphere presents minimum standards for how many sectors?
5. Is the figure of 15 liters of water per person per day found as standard, indicator or a guidance note?
6. Identify two cross-cutting issues that are covered in the relevant sections of each chapter.
7. Which standard presents indicators on the minimum space required per person for shelter to be considered dignified and appropriate?
8. According to Sphere, what type and size water collection vessel should be included in an NFI kit?
9. On which page can you find information that can help you in determining what are appropriate food packages?
10. How many legal instruments inform the Humanitarian Charter and Sphere?

Answers

1. How many Core standards does the Sphere Handbook contain?
   p. 23: six standards.
2. How many minimum standards are quantitative?
   None.
3. What is the definition of an indicator according to Sphere?
   "Signals" that show whether a standard has been attained. Qualitative or quantitative.
4. At the start of each technical chapter. (e.g., pp. 50, 80 140, etc.). See also pp. 7 and 8.
   Sphere presents minimum standards for how many sectors?
   pp. 2: water supply, sanitation and hygiene promotion; food security and nutrition; shelter, settlement and nonfood items; and health action.
5. Is the figure of 15 liters per person per day found as an indicator or a guidance note?
   p. 97: an indicator; p. 98: a guidance note.
6. Identify four cross-cutting issues that are covered in the relevant sections of each chapter.
   p. 14.
7. Which standard presents indicators on the minimum space required per person for shelter to be considered dignified and appropriate?
   p. 258: Shelter and Settlement Standard 3: Covered Living Space.
8. According to Sphere, what type and size water collection vessel should be included in an NFI kit?
   p. 95: 10- to 20-liter water collection vessel with lid or cap.
9. On which page can you find information that can help you in determining what are appropriate food packages?
   p. 179: Food security – food transfer.
10. How many legal instruments and key documents inform the Humanitarian Charter and Sphere?
    Many, see p. 356.

ANNEX 8.3.1 CASE STUDY

Instructions: Please read this case study carefully. Using the relevant tools for analysis (including IHD Framework), analyze the assessment findings presented in the case study. Following your analysis, you will develop a short emergency response proposal with a results framework. Proposals will be presented in plenary.

Each table group will draft a short proposal. Two groups will be applying for OFDA funds and two will preparing to submit to CI. Each group should prepare a plan based on the following:

Groups 1 and 2 prepare a concept note for OFDA with a maximum budget of $500,000 for a nine-month project

Groups 3 and 4 prepare a CI proposal for a maximum budget of $2.5 million for a 18-month period

Please use the "CRS ASIA TEMPLATE" and include the following:

1. Five bullet points summarizing the issues you will address in your project, including core issues and any cross-cutting considerations.
2. An identification of the *target* population and justification regarding their vulnerability
3. Identification of the local assets and strengths that the project will build on
4. Five main interventions you will engage to respond to the priority needs.
5. A results framework for your response.
6. A global, roll up budget (very general)

On Tuesday p.m., Groups 1 and 2 will present to Groups 3 and 4 who will act as the **reviewers** and will submit anonymous votes for the best proposal based on the criteria on the flip chart (10 point system). Then the reverse will take place. After all groups have presented and all voting has taken place, the winners will be announced. Winners receive a prize.

Each group will have **no more than 10 minutes** to present their concept note with time for **two** questions for clarification from the donor side.

Some issues to consider in designing your response might include:

1. How you can build on local capacities and resources?
2. What are the potential cross-cutting issues (e.g., increased environmental degradation, migration, protection issues, etc.)?
3. What is the Caritas Bangladesh experience and capacity?

Based on your analysis of the case study and information presented please plan your intervention to include:

i. Response to the priority needs by addressing the core problem you have identified
ii. Activities that will enhance community resilience to disaster
iii. Protection measures that will strengthen community coping mechanisms and minimize negative coping strategies

CASE STUDY

The Chittagong Hill Tracts (CHTs) are situated in the southeast part of Bangladesh bordering with India and Myanmar and at the backdrop of the Bay of Bengal. As a part of the Himalayan Ranges, the region comprises numerous hills, forests and river valleys in complete contrast to the rest of the country. The CHTs cover about 10 percent of the 144,000 sq km land area of Bangladesh.

The CHTs have been administered under three administrative hill districts: Rangamati, Bandarban and Khagrachari since early 1980s. The CHTs is inhabited by over a dozen of ethnic groups or communities. Chakma, Marma and Tripura numerically are the dominant groups, living mainly in the valley and adjacent areas and practicing both plough and *jhum (*slash and burn cultivation).

On June 27, a series of landslides triggered by torrential rains swept through areas of Rowanchari, Ruma, Thanchi and Alikadam Upazilas of Bandarban District and Bilaichari Upzila of Rangamati districts were severely hit by rains caused flesh floods and landslides and affected about 350,000 families in all over these five subdistricts Initial reports suggest that large numbers of people were buried under mud and debris, while others were swept away by the powerful current. A joint UNICEF-WFP assessment reports 8- to 9-foot high mud in some of the worst-affected areas. Government of Bangladesh figures indicate that 220 people are confirmed dead so far, and WHO reports a further 60 injuries. The figures are expected to rise as search and rescue teams continue their work. The road network was temporarily interrupted, but access to the camps has now been restored. The devastating landslides and flashfloods caused total crop loss and houses, roads and bridges damaged, water points destroyed, schools and the clinic to collapse.

Caritas has been working to provide affected families with food and nonfood assistance. Some families have taken refuge in the local schools and embankments, having very limited or no access to water and sanitation. Women are scared of leaving their daughters behind in camps to fetch water, as this is an unknown area and prone to trafficking. Many families have children who are unable to go to the school, as they lost books and school dress, and they are living in the camps. They are expected to stay in the makeshift camps for at least three months and will need medium- to long-term assistance to resettle in their villages.

The total population of Chittagong Hill Tracts is about 1 million, though many say that this is low since there has been large scale of migration both across the border as well as in the country in the port (at Chittagong) and in the garment or steel industries in the country.

The areas have had flooding in the past, but at that time the vegetation helped to reduce the force of the water. Now, since the forest has been depleted, water runs at such a force that people are terrified for their lives. Last year, 12 people were killed in the flooding. The year before it was even worse: 27 people were killed. Crop losses have increased to a degree that elders say they have never seen before.

In addition, the area was severely affected by rat flood in 2007. In September 2007, hundreds of thousands of rats descended on to the *jhum* fields at night and ate all crops. This further aggravated the already existing food crisis. As a result, children were withdrawn from the schools, and women migrated outside to get some employment opportunities such as domestic help. About 140,000 families were affected by the rat flood. The government did not want to call it a natural disaster, and NGO intervention was restricted in the area.

The land holding varies from 2 *handis to* 50 *handis (*approximately 0.5–10 acres). The average family size is five. Due to population increase, pressure on land and forest has dramatically increased over the past decade. Local ethnic communities divide land as their families grow and have reportedly been selling land for cash. Earlier, in *jhum* practice, land will be fallowed for a year or so once cultivated but now, every year *jhum* is followed.

A number of traders from outside are coming into the Province of Chittagong for the bamboo and timber industry, and most of the local ethnic communities are engaged in cutting bamboo and timber for sale to the local traders, which is causing devastation to the forest resources.

The area is restricted by army due to border sensitivity with India and Myanmar. Local communities cannot work freely in their own agricultural land as their movements are always monitored by the army posted alongside their land. If they have to watch their land and crop by night, they have to inform the army guards and ask for permission to construct a temporary shelter to use at night.

The basic facilities across the damaged villages are very poor. Roads are mostly hilly, which makes travel and transport difficult. Water sources are mostly from river streams and/or wells and tube wells. Women and young girls have to walk far into the hills to fetch drinking water. There are almost no sanitation facilities except in a very few families who have hanging latrines. Open defecation is widely prevalent. The area is highly prone to malaria, and every year, children die of malaria, with 10 child deaths reported last year.

Though these areas are fertile, people are poor because they own very small plots of land. Over the past 10 years, rainfall that was once very predictable has become sporadic. Rains now come earlier and sometimes stop before the crops have matured. Landslides and the loss due to landslides have become more severe than before, because of forest and land degradation and the construction going on across the hills in the name of development.

Selling of land to the outsiders has been observed as a trend in the area by the families who are in need of cash. There have been unofficial reports of human trafficking, also, as the area has a very delicate borders shared with India and Myanmar.

ASSETS	CATEGORY A (4% POPULATION)	CATEGORY B (21% POPULATION)	CATEGORY C (75% POPULATION)
NATURAL ASSETS			
Land holding	Have 50 bighas	10 bighas	Less than 3 bighas
Domestic water	Have access to tap water.	Have access to private well.	Have access to community well or river stream water. Community wells are in a state of disrepair.
Sanitation	Have family facilities.	Have multifamily facilities	Have some multifamily facilities
PHYSICAL ASSETS			
Houses	Own concrete houses with corrugated iron sheets.	Most have wooden and bamboo homes.	Live in mud houses thatched with grass. A few have wooden houses.
Crops	Rice, legumes, maize, chilis, sweet potatoes and vegetables. Surplus is sold at the market.	Rice, chilis and some legumes. A few vegetables when they are able to secure seeds.	Rice, chilis and local greens
Livestock	Own 30 head of cattle, 10 goats, 10 pigs and 50 chickens.	Own up to five head of cattle, and 10 chickens and or pigs.	Usually own no cattle, up to three goats, and up to 10 chickens and-or pigs.
Farm equipment	Own ploughs with implements and use animal traction. Can hire tractors.	A few own ploughs; most own hand hoes. Might hire in ploughs from Category A.	All digging is done with hoes. Most work for Category A or B or migrate to cities.
Farm supplies	Reserve their best seeds for planting. Often sell seeds and if needed can buy improved seeds and fertilizer.	Reserve seeds to cover around 50% of their plot. Remaining seed is purchased from the market or received from the government distribution. Some seeds are also purchased at the market. Few can afford chemical fertilizers and sometimes use household-produced manure for garden.	Try to reserve seeds but, due to limited land access, are usually not able to produce enough and purchase seeds at the market or receive them from government or INGO distributions. Cannot afford fertilizers, and household does not produce manure.
Other household apparatuses	Own beds with mattresses, radios, TV, cell phone, household furniture, refrigerator, bicycles. Might own motorcycle and/or car.	Own traditional beds, radio, cell phone, refrigerator, bicycles and basic household furniture. Some own motorcycle and TV.	Own a traditional bed, a few chairs, one table, no electrical appliances or radios; some have a bicycle donated by NGOs. Many have lately acquired a cell phone.
HUMAN ASSETS			
Education	Can afford primary and secondary education for their children and even a college education for some.	Can afford primary education for the children. Secondary education is considered only for a male child who excels. Rarely college education.	Most families try to keep children in school. Often only primary education is provided, and boys have priority. Most girls only go to school for a few years.
Family size	Average 5	Average 5	Average 7
Labor force	Most can hire labor for agricultural activities. Often hire from Category C.	Some are able to hire labor for agricultural activities, but mostly labor is obtained within the family. Hired labor is from Category C.	Cannot hire labor, but work as laborers. Children are often withdrawn from school to increase labor force in support of the family.
Health	Often have good health and can access private state-of-art health services outside the region.	Can afford to pay for health treatment within the region.	Most cannot afford treatment within the village health system and often use traditional healers. Higher maternal and child mortality.

ASSETS	CATEGORY A (4% POPULATION)	CATEGORY B (21% POPULATION)	CATEGORY C (75% POPULATION)
Decisions	Only men make decisions.	Some women are involved in decision making.	Men and women participate in the decisions.
POLITICAL ASSETS			
Leadership	50% of regional leaders come from this category. Most vote .	30% of regional leaders and village leaders come from this category. Sometimes vote.	20% of village leaders come from this category. Some vote, others do not .
Women Association	Few participate in women's groups.	Most women participate in women's groups.	Few women participate in women's groups.
FINANCIAL ASSETS			
Savings and Loans	Can save and access and pay back loans from banks.	Can save some and access loans from relatives and friends.	Have no savings or access to institutions. Able to participate in community saving schemes.
SOCIAL ASSETS			
Social Networks	Able to navigate wider community and have many work-related contacts and friends. Strong social connections through family, employment and schools.	Friends, relatives, neighbors and members of the same church are supportive. School provides important social network for the children and family.	Share day-to-day struggles with neighbors and attend church, but don't have time to attend many social meetings.

Note: Comprehensive project reviews critically examine:

- The internal consistency of the proposal (logical fit between the findings of the analyses and the results framework and implementation strategies).
- How well the project design reflects general program quality principles, lessons learned and best practices.
- The project's technical soundness.
- The feasibility of the project in terms of *human* resources (management capacity).
- The feasibility of the project in terms of *financial* resources (match between the proposal strategy and scale and the budget).

Emergency Project Review:

	REVIEW QUESTIONS	SCORE 1–4	TOTAL (SCORE X WEIGHT)
	Problem Analysis		
1	Does the problem analysis section clearly state the core problem to be addressed? (Weight: 2 points)		
2	Does the problem analysis section clearly present immediate and underlying causes of the core problem? (1 point)		
3	Does the concept note (CN) include a clear gender analysis? (1 point)		
4	Does the description of the problem adequately disaggregate between relevant subgroups or stakeholders in the community? (2 points)		
	Project Design		
5	Does the propose present clear project strategy(ies) or approach(es)? (3 points)		
6	Is there a sound logical link between the problem analysis and the project strategy? (2 points)		
7	Is there a clear logical link between the stakeholder and gender considerations of the problem analysis and the proposed targeting? (1 point)		
8	Is the project feasible based on Caritas capacity and resources availability? (2 points)		
	Technical Criteria		
9	Does the technical approach ensure community ownership and participation at every stage? (2 points)		
10	Have protection concerns been adequately addressed? (1 point)		
11	Have risk reduction elements been included to ensure that community resilience to future disasters is increased? (2 points)		
12	Has gender been appropriately addressed? (1 point)		

1 = No, not included

2 = Only partially included

3 = Yes, but could be better.

4 = Yes, well done.

ANNEX 8.3.2 EMERGENCY PROPOSAL RESPONSE PROFILE

Provide ~~brief overview~~:

- Project title
- Location
- Direct the people we are serving
- Period of performance
- Funding requested
- Implementing partner

A. Description of Emergency

1. Include bullet points summarizing the issues that you will address and priority needs.
2. Identify local assets and strengths that project will build on.

B. Proposed CRS and Partner Response

A. Identify target population and provide justification.

B. Indicate overall response plans—give five main interventions.

C. Implementation Plan

- Include a project framework, specifying goal, SO and IR; and cross-cutting issues. (Tip: use Sphere standards as a reference in determining your SOs)
- Select illustrative indicators: Refer to Sphere and OFDA Guidelines to determine appropriate indicators for monitoring an emergency response.

D. Estimated Budget in US Dollars

- Specify amount of request, based on estimated population served (e.g., $25 NFI kits for 5,000 households).

ANNEX 8.3.3 EMERGENCY PROPOSAL TEMPLATE

STRATEGIES	SPEED	IMPACT ON LOCAL MARKET	SUSTAINABILITY	TARGET MOST VULNERABLE	SECURITY	GENDER EQUITABLE	COST EFFECTIVENESS	DIGNITY
Food distribution	5	1	1	4	3	4	1	1
Food for work (FFW)	2	1	2	2	3	2	2	2
Provide seed	1	1	5	5	5	4	4	4
Cash for work (CFW)	3	4	2	2	2	2	3	2
Cash	5	5	1	4	1	3	4	4
Agri. support	1	3	4	4	4	4	4	4
Food vouchers	3	4	2	3	4	4	4	3
Income generation	1	4	5	4	5	5	5	5

FOOD SECURITY RESPONSE MATRIX (EXAMPLE)

1 = poor, 5 = very good

Speed: How quickly will the strategy will meet the immediate food security needs of a household?

Impact on local Market: Will the strategy have a positive or negative impact on the local market? Strategies such as food vouchers, CFW, income generation and cash will generally allow people to meet their food needs through use of local markets. Food distribution and FFW do not involve the local market unless the food is purchased locally.

Sustainability: Does the strategy have short- or long-term impact on household food security? Food distribution will only impact the immediate food needs of a family, whereas income generation will allow the people we are serving to earn money in the future and thus meet their long-term food security needs.

Target the most vulnerable: Does the strategy allow for the targeting of the most vulnerable members of the community, such as the disabled, elderly, female-headed households, and so forth?

Security: Does the strategy put staff at risk? Generally, handling cash is considered to be a greater security risk than handling food. However, this can vary depending on the local context. For example, the security risks around handling cash can be greatly reduced by distributing the cash through the local banking systems.

Gender equitable: Will the strategy allow for women and men to be targeted as equally? In some societies cultural norms may prevent women from participating in CFW and FFW activities.

Cost effective: Does the strategy give the best value of money? Compare various strategies; for example,. food distribution and FFW will incur costs for the transportation and storage of food, whereas CFW and food vouchers will not.

Dignity: Does the strategy enhance or diminish the dignity of the people we serve? Queuing for food or working on CFW and FFW projects could be considered to be less dignified than receiving cash or vouchers. Cash and flexible vouchers can empower people by allowing them to prioritize their most urgent needs. Income generation projects assist people by increasing their human capacity and thus their dignity.

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