LEARNER'S GUIDE

TECHNICAL COMPETENCY UNIT

ADM.TEC 002.1

Lead Coordinated Assessment Preparedness

ASCEND

ASEAN Standards and Certification
for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

LEAD COORDINATED ASSESSMENT PREPAREDNESS

ADM.TEC.002.1

Learner's Guide

ONE **ASEAN**
ONE **RESPONSE**

Project Sponsors:

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소방청

The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam. The ASEAN Secretariat is based in Jakarta, Indonesia.

The "ASEAN Standards and Certification for Experts in Disaster Management (ASCEND)" is under Priority Programme 5: Global Leadership of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2021-2025 that envisions ASEAN as a global leader in disaster management.

The ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre) implements the ASCEND project in collaboration with the Korean National Fire Agency (KNFA) and support from the ASEAN Secretariat and the Republic of Korea.

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General information on ASEAN appears online at the ASEAN Website: www.asean.org

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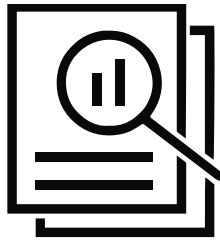
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ASCEND programme and Toolbox:

Introduction

1.1 The ASCEND Programme

Southeast Asian governments, through the ASEAN Committee on Disaster Management (ACDM), continue to invest in strengthening disaster management systems for a more secure and resilient region. However, the compounding risks and increasing uncertainty of disasters in our new climate reality threaten to set back the socioeconomic development gains of ASEAN societies. Widespread and recurring disaster damages and losses can overwhelm national capacities and worsen regional transboundary effects.

The Declaration on One ASEAN One Response (OAOR) at the 2016 ASEAN Summit in Vientiane, Lao PDR, reaffirms ASEAN's vision to move towards faster and more integrated collective responses to disasters inside and outside the region. However, ASEAN's past experiences responding to large-scale disasters showed that realising the OAOR can be challenging. Various responders from different countries, institutions, organisations, and companies seek to contribute to the overall response. Their goodwill is appreciated, and several provide much-needed assistance. But ASEAN and affected Member States sometimes found it challenging to determine what knowledge and skills responders have and how they can effectively contribute to national and regional efforts.

Learnings from past experiences and shared commitment to realising the OAOR vision increased the need to develop regionally recognised Competency Standards and a certification process for disaster management professionals. The increased support led to initiatives that eventually created the ASEAN Standards and Certification for Experts in Disaster Management (ASCEND) Programme. ASCEND is now part of Priority 5: Global Leadership of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2021-2025, a programme that envisions ASEAN as a global leader in disaster management.

1.2 The objectives of ASCEND

- To enhance the capacity of the ASEAN countries in the implementation of ASCEND.

- To establish regionally recognised Competency Standards and assessment processes covering five professions in disaster management.
- To improve the capacity of the AHA Centre to serve as the ASCEND Secretariat.
- To promote understanding of the ASCEND Framework among the ASEAN Member States (AMS) and other ASEAN sectors in preparation for the inclusion of ASCEND into the ASEAN Mutual Recognition Arrangement (MRA).

1.3 Advantages and benefits of an ASCEND certification

For ASEAN
The ASCEND certification can assist Member States in ensuring that competent disaster management professionals handle emergency assistance and disaster relief across the region. It also supports mutual recognition of disaster management competencies to facilitate acceptance of external aid and faster response.

For AHA Centre
ASEAN, a rapidly developing and hazard-prone region, will need more competent disaster management professionals. The ASCEND certification can narrow current knowledge and skills gaps. It can also enable stronger cooperation and interoperability between disaster managers in their home countries and across regions.

For disaster management professionals
Disaster management professionals can use their ASCEND certification to promote themselves professionally and serve as evidence of their experience and qualifications. It can also make it easier for organisations to determine the ability of certificate holders to perform critical work functions of specific occupations in the disaster management sector.

These ASCEND toolbox documents support the ASEAN Member States in identifying, building the capacity of, and mobilising competent disaster managers across Southeast Asia that are highly capable of contributing to reducing disaster risks and disaster losses in the region through timely and effective response.
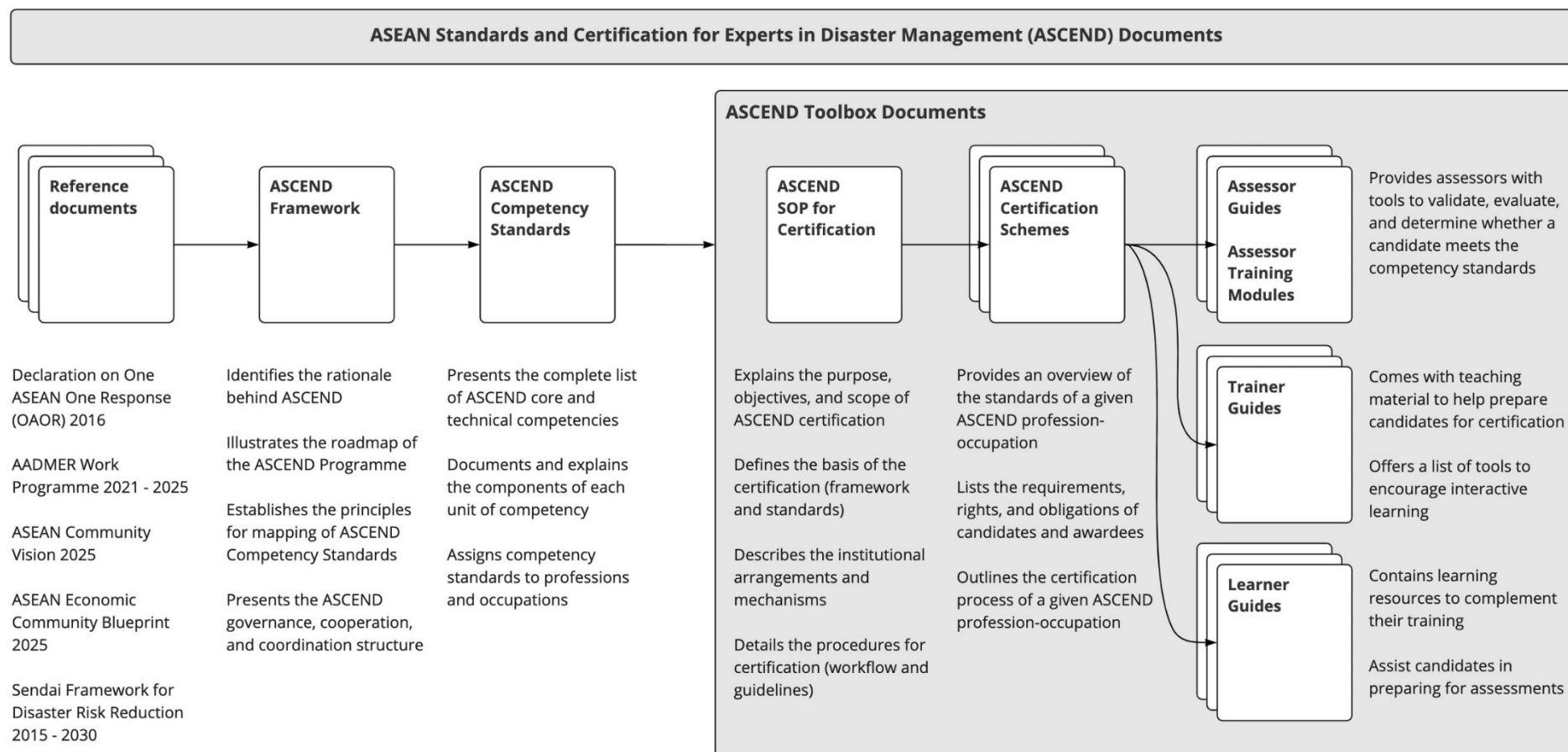
1.4 The ASCEND Toolbox

A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management professions. The Competency Standards outline the work elements and performance criteria that guide for certification of disaster management professionals across the region.

Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of an SOP, Certification Schemes, Assessor Guides, Trainer Guides, and Learner Guides. The ASCEND Competency Standards, approved by the ASEAN Committee on Disaster Management, are the primary basis of the Toolbox documents.

The SOP defines the basis of ASCEND, describes the institutional arrangements and mechanisms, and details the certification procedures. Certification Schemes present an overview of the standards of each profession-occupation and certification requirements, the rights and obligations of candidates and certificate holders, and general guidelines on the certification process. Assessor Guides provide assessors with tools to validate, evaluate, and determine whether a candidate meets the Competency Standards. Trainer Guides come with PowerPoint slides and presenter notes to help trainers prepare candidates for certification. It also offers a list of tools trainers may use to encourage interactive learning. Learner Guides assist candidates preparing for ASCEND certification in their chosen disaster management profession and occupation. It contains learning resources and complementary readings to help prepare them to undergo the required assessment.

The ASCEND Toolbox documents can assist the ASEAN Member States to identify, build the capacity of, and mobilise competent disaster managers across Southeast Asia to help reduce disaster risks and disaster losses in the region through timely and effective response.

ASEAN Standards and Certification for Experts in Disaster Management (ASCEND) Documents

ASCEND Toolbox Documents

Reference documents

ASCEND Framework

ASCEND Competency Standards

ASCEND SOP for Certification

ASCEND Certification Schemes

Assessor Guides

Assessor Training Modules

Provides assessors with tools to validate, evaluate, and determine whether a candidate meets the competency standards

Declaration on One ASEAN One Response (OAOR) 2016

AADMER Work Programme 2021 - 2025

ASEAN Community Vision 2025

ASEAN Economic Community Blueprint 2025

Sendai Framework for Disaster Risk Reduction 2015 - 2030

Identifies the rationale behind ASCEND

Illustrates the roadmap of the ASCEND Programme

Establishes the principles for mapping of ASCEND Competency Standards

Presents the ASCEND governance, cooperation, and coordination structure

Presents the complete list of ASCEND core and technical competencies

Documents and explains the components of each unit of competency

Assigns competency standards to professions and occupations

Explains the purpose, objectives, and scope of ASCEND certification

Defines the basis of the certification (framework and standards)

Describes the institutional arrangements and mechanisms

Details the procedures for certification (workflow and guidelines)

Provides an overview of the standards of a given ASCEND profession-occupation

Lists the requirements, rights, and obligations of candidates and awardees

Outlines the certification process of a given ASCEND profession-occupation

Trainer Guides

Comes with teaching material to help prepare candidates for certification

Offers a list of tools to encourage interactive learning

Learner Guides

Contains learning resources to complement their training

Assist candidates in preparing for assessments

The Learner Guide: Introduction for Candidates

Welcome and thank you for your interest in pursuing an ASCEND certification. This Learner Guide is for you to read. It contains learning resources and helps you prepare for the required assessments: oral interviews, written tests, and observation checklists.

Competency-based learning and assessment

Competency is the attitude and ability to use or apply one's experience, knowledge, and skills-sets to perform critical job functions in a defined work setting.

Table 1:   *Competency areas and descriptions*

Competency area	Description
Experience	Refers to the qualifications of the candidate that make them eligible to pursue certification. It includes the candidate's formal education, work experience, professional training, and job-relevant life experiences.
Knowledge	Refers to what the candidate needs to know to make informed decisions on how to perform the work effectively.
Skills	Refers to the ability of the candidate to apply knowledge to complete occupational tasks and produce work outcomes or results at the standard required.
Attitudes	Refers to associated beliefs, feelings, motivations, and values that influence a candidate to make decisions and act according to occupational standards and the professional work setting.

There is one Learner Guide for each unit of competency. The Competency Standards and Unit Descriptor section of this document outlines the content you will be studying – broken down into elements and performance criteria

that will be covered during training and assessed using competency-based methods. This guide contains a glossary of terms, a list of abbreviations, readings and activities, a self-assessment checklist, and information about the oral interviews and written tests.

Competency-based methods help ensure that the ASCEND certification process is relevant, valid, acceptable, flexible, and traceable – in alignment with the ASEAN Guiding Principles.

The relevance principle confirms that the ASCEND certification reflects the current professional needs in the disaster management sector. The validity principle relates to the consistency and equitability of the assessment process. The acceptability principle is about aligning the ASCEND certification to other disaster management professional standards and good practices. The flexibility principle refers to the responsiveness of the ASCEND certification to changes or differences in disaster management work settings and job requirements. The traceability principle ensures that evidence is sufficient to grant the ASCEND certification.

Competency-based assessment (CBA) is the process for evaluating whether a professional is qualified and competent to perform in a particular occupation. CBA is used to determine if the candidate's experience, knowledge, skills, and attitudes meet the standards and performance criteria defined in a unit of competency.

ASCEND Competency
Standards and Unit Descriptor

3.1 | Competency standards

Competency standards are a set of industry-accepted benchmarks that defines the experience, knowledge, skills, and attitudes professionals need to perform well in an occupation. It also reflects the requirements of work settings and considers the developments in the disaster management profession.

3.2 | ASCEND Competency Standards

The ASCEND Competency Standards identify the key features of work in selected disaster management professions and performance standards professionals need to meet to be deemed competent. It also provides the list of the forty-three (43) core and technical competencies that serve as the basis for defining the regionally recognised disaster management qualifications across the ASEAN Member States. The five (5) professions covered by the ASCEND Competency Standards include Rapid Assessment, Humanitarian Logistics, Information Management, WASH, and Shelter Management. Under these professions are five (5) categories of occupations: Manager, Coordinator, Officer, Promoter, and Engineer. Overall, there are fifteen (15) profession-occupation combinations (e.g., humanitarian logistics manager, information management coordinator, WASH promoter).

Each ASCEND Competency Standard has its dedicated Toolbox documents: an SOP, Certification Scheme, Assessor Guide, Trainer Guide, and Learner Guide. Only one SOP applies to all profession-occupation combinations covered by the ASCEND certification. The Certification Schemes, one for each of the profession-occupation combinations. Both these documents align with the AQRF Level Descriptors, Section 4: Guiding Principles and Protocols for Quality Assurance of the AGP, and ASEAN Disaster Management Occupations Map. The Certification Schemes also outline the ASCEND competencies under selected professions and occupations, eligibility criteria, basic requirements and rights of candidates, and obligations of certification holders. Assessor Guides describe the components of particular competency standards and offer tools to determine the candidate's qualifications. Trainer and Learner Guides expound on a given competency standard's elements and performance criteria for learning and assessment preparation purposes.

The Toolbox documents may also serve as a reference for ASEAN Member States' seeking to develop and implement national-level competency-based certification processes based on their respective capacities and needs. The ASCEND Competency Standards and its derivative Toolbox documents will be reviewed and updated every five (5) years to ensure they reflect changes in the disaster management profession and remain relevant. Table 2 describes its main components.

Table 2:   *Components of the ASCEND Competency Standards*

Component	Description
Unit title	Describes the critical work function to be performed in an occupation
Unit number	A coding system to organise the units of competency. It also indicates the types of competency standards. ▪ ADM.**COR**.000.0 are core competencies. These are general professional knowledge and skills related to international humanitarian principles and disaster management standards, including ASEAN mechanisms and procedures. ▪ ADM.**TEC**.000.0 are technical competencies. These are specific knowledge and skills needed to perform effectively in work areas under their chosen disaster management profession and occupation.
Unit description	Provides information about the critical work function covered by the unit.
Elements	Presents the occupational tasks required to perform the critical work function in the unit.
Performance criteria	Lists the expected outcomes or results from the occupational tasks to perform and the standard required.

3.3 Unit descriptor

Unit title : **Lead Coordinated Assessment Preparedness**

Unit number : ADM.TEC.002.1

Unit description : This unit covers the ability to make necessary preparedness measures in leading and managing coordinated assessment following a disaster.

Element 1.

Demonstrate skills, knowledge and good attitude on Coordinated Assessment

Performance Criteria

1.1 Identify coordinated assessment approaches and procedures
1.2 Describe elements for coordinated assessment
1.3 Analyse ways to obtain the coordinated assessment elements

Element 2.

Manage coordinated assessment process

Performance Criteria

2.1 Identify emerging risks
2.2 Explain social context which influences vulnerabilities and resilience
2.3 Describe early warning system for the emerging risks

3.4 Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACAPS	Assessment Capacities Project
ACDM	ASEAN Committee on Disaster Management
AHA Centre	ASEAN Coordinating Centre for Humanitarian Assistance on disaster management
AMS	ASEAN Member States
AQRF	ASEAN Qualifications Reference Framework
ASEAN	Association of Southeast Asian Nations
ASEAN-ERAT	ASEAN-Emergency Response and Assessment Team
CASPAR	Coordinated Assessment Pool and Roster
CBA	Competency-Based Assessment
DM	Disaster Management
EOC	Emergency Operation Centre
ERM	Enterprise Risk Management
EWEAR	Early Warning, Early Action and Readiness
GPS	Global Positioning System
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome

IASC	Inter-Agency Standing Committee
IFRC	International Federation of Red Cross and Red Crescent Societies
INFORM	IASC Index for Risk Management
IO	International Organization
ISO	International Organization for Standardisation
KNFA	Korean National Fire Agency
MIRA	Multi-Cluster Initial Rapid Assessment
MRA	Mutual Recognition Arrangement
NDMA/LDMA	National Disaster Management Authority/Local Disaster Management Authority
NGOs	Non-Governmental Organisation(s)
OAOR	One ASEAN One Response
OCHA	Office for the Coordination of Humanitarian Affairs
ODI	Overseas Development Institute
REWP	Risk, Early Warning and Preparedness
SMART	Specific, Measurable, Achievable, Realistic and Time-Bound
UNDAC	United Nations Disaster Assessment and Coordination
UNHCR	United Nations High Commissioner for Refugees
VUCA	Vulnerable, Uncertainty (sometimes Unstable), Complex and Ambiguity
WASH	Water, Sanitation and Hygiene

Unit Readings and Activities

4.1   Element 1. Demonstrate skills, knowledge and good attitude on Coordinated Assessment

Coordinated assessment is a multi-sectoral and multi-stakeholder process of collating, collecting, analysing and interpreting data undertaken during the initial stages of an emergency (days and weeks of a disaster) to assess needs and inform decisions on humanitarian action. Its goal is to have a shared understanding of the humanitarian impact and key priorities for response.

Some of the essential questions when initiating a coordinated assessment planning are:

- Is there an established coordination mechanism (owned by the host government)?
- Is there an established mechanism or structure for a coordinated emergency need assessment?
- Does the host government have an emergency operation centre (EOC) functional for a coordinated assessment encompassing multi-sectors?
- Is there any alternative mechanism by non-state actors, including local and international responders?
- Suppose there is no formal mechanism for a joint assessment. Is it necessary to create a temporary structure (e.g. working group or inter-sectoral coordination) for coordinated assessment planning, implementation and coordinating analysis?

[See also ADM TEC 001.1 for Definition of Coordinated Assessment]

1.1   Identify coordinated assessment approaches and procedures

A. Introduction

After disasters, various actors often conduct need assessments for their own organisational interests. Governments often use their assessment framework. They might consult traditional agencies from the relevant jurisdictions. Non-governmental organisations also conduct needs assessments informed by their approaches and procedures.

If there is a collective commitment to coordination, such variations in need assessment approaches and procedures can benefit overall emergency response. Cross learning and adoption of such approaches is also possible.

For governments, this means they can identify and improve the quality of their response plan to meet the rights of their citizen survivors, including taxpayers. At the same time, NGOs and international organisations can inform their humanitarian response plan.

B. Coordinated assessment approach

When planning for a coordinated assessment, context matters. Context varies from time, institutional culture, mandates, geographical areas, type of organisation, resources and level of crisis and operation.

A rapid assessment coordinator/officer should be mindful of the approaches to coordinated assessment will be determined by the following factors:

- **Organisational context**
  The ability to ask key questions pertinent to organisational context is important. Some of the key questions any assessor needs to ask include:
  o What type and mandate of the organisation he/she is working for?
  o What kind of stakeholders does an assessment serve?
  o Is it a governmental institution? Is it an NGO?
  o Does your employer have an official standard of questionnaires or frameworks for emergency need assessment?
  o What do decision-makers in your organisation and other stakeholders need to know?

- **Timeliness and urgency**
  A rapid assessment is a flash snapshot of an emergency at a single point in time. Time is fluid during an emergency. Context can change very fast. Therefore, there is a need for a healthy balance of quality and quantity of data, interpretation, and level of details,

  For example, during the first 72 hours, rapid assessments must be based on 'quick and dirty' data that is vital. Collecting very detailed information in the first 72 hours could waste time and resources due to the rapid change of context. In addition, the data will be full of 'noise' due to the potential presence of first responders and many other actors that are potentially committed to providing brief support. More detailed information can wait until in-depth after a few weeks.

- **The quantity and quality of data and information**
  An initial emergency assessment is partially a 'wait and see' period where brief data is collected to inform early strategic decisions and preliminary financial estimation and allocation.

- **Phases of Emergency Assessment**
  Good practice from the international organisations (e.g. MIRA) offers a framework that recommends four distinct phases or stages of emergency assessment:
  - Initial assessment (Phase 1) – to be immediately conducted in the first 72 hours.
  - Rapid assessment (Phase 2) – to be executed within the first and second week
  - In-depth assessment (Phase 3) - to be carried out during the third and fourth week.
  - In-depth assessment (Phase 4) – to inform longer-term response, including recovery needs to be conducted in the fifth week onwards.

- **Resources allocated for rapid assessment, including**
  - Type of human resources needed for data collection and analysis: specialists, generalists, support staff.
  - Clarity of roles and tasks, including safety. For a big team, a clearer organisation structure may be needed.
  - Equipment: Communication; Assessment equipment such as GPS, drones, and laptops.
  - Money: for meetings, printings, and renting
  - Data: who has it and how to get it

Figure 1 provides a general overview of the assessment frameworks from Phase 1 to Phase 4. **[See detailed explanation for each Phase of Rapid Emergency Assessment) in ADM.TEC.004.1, Element 4.2]**
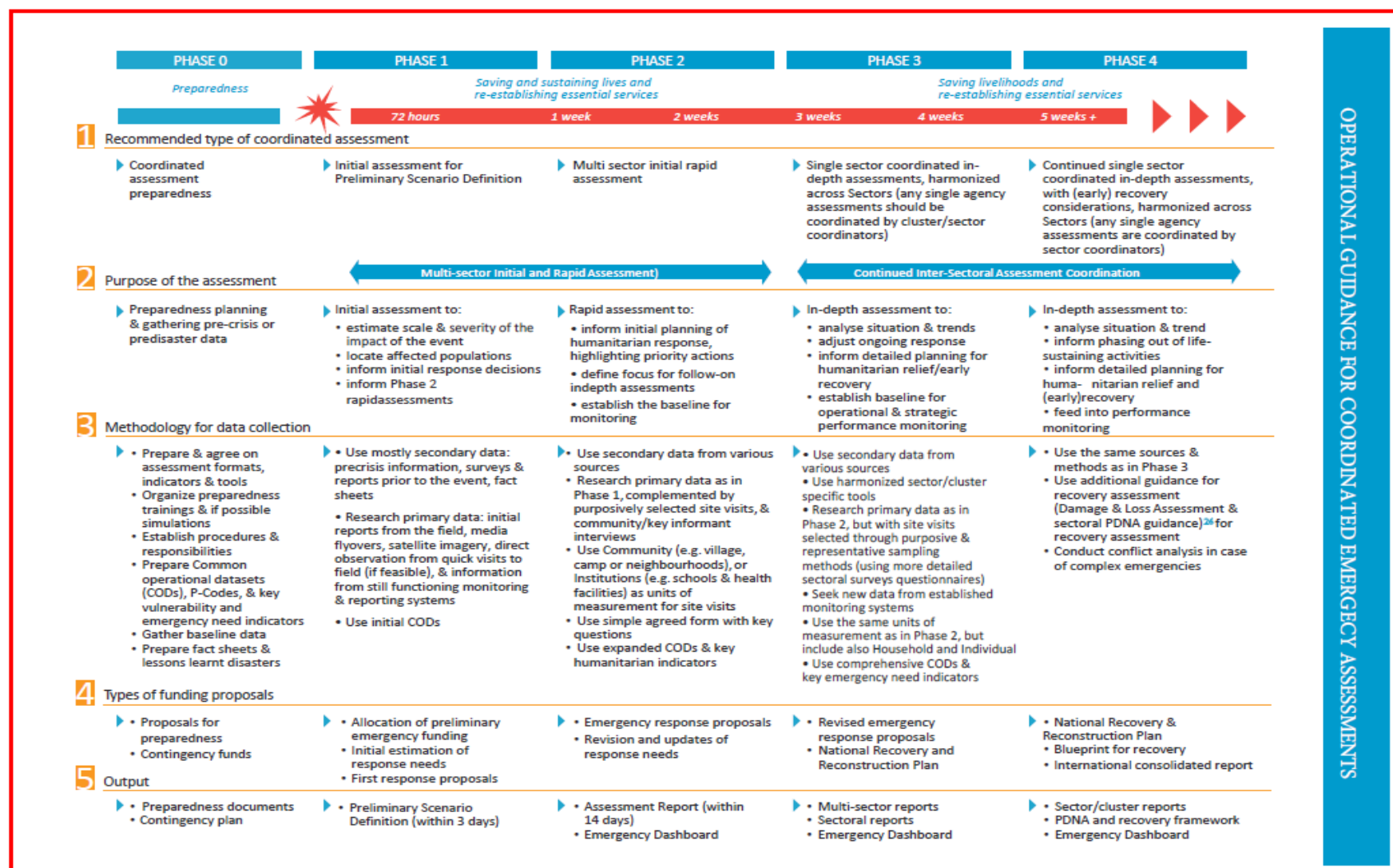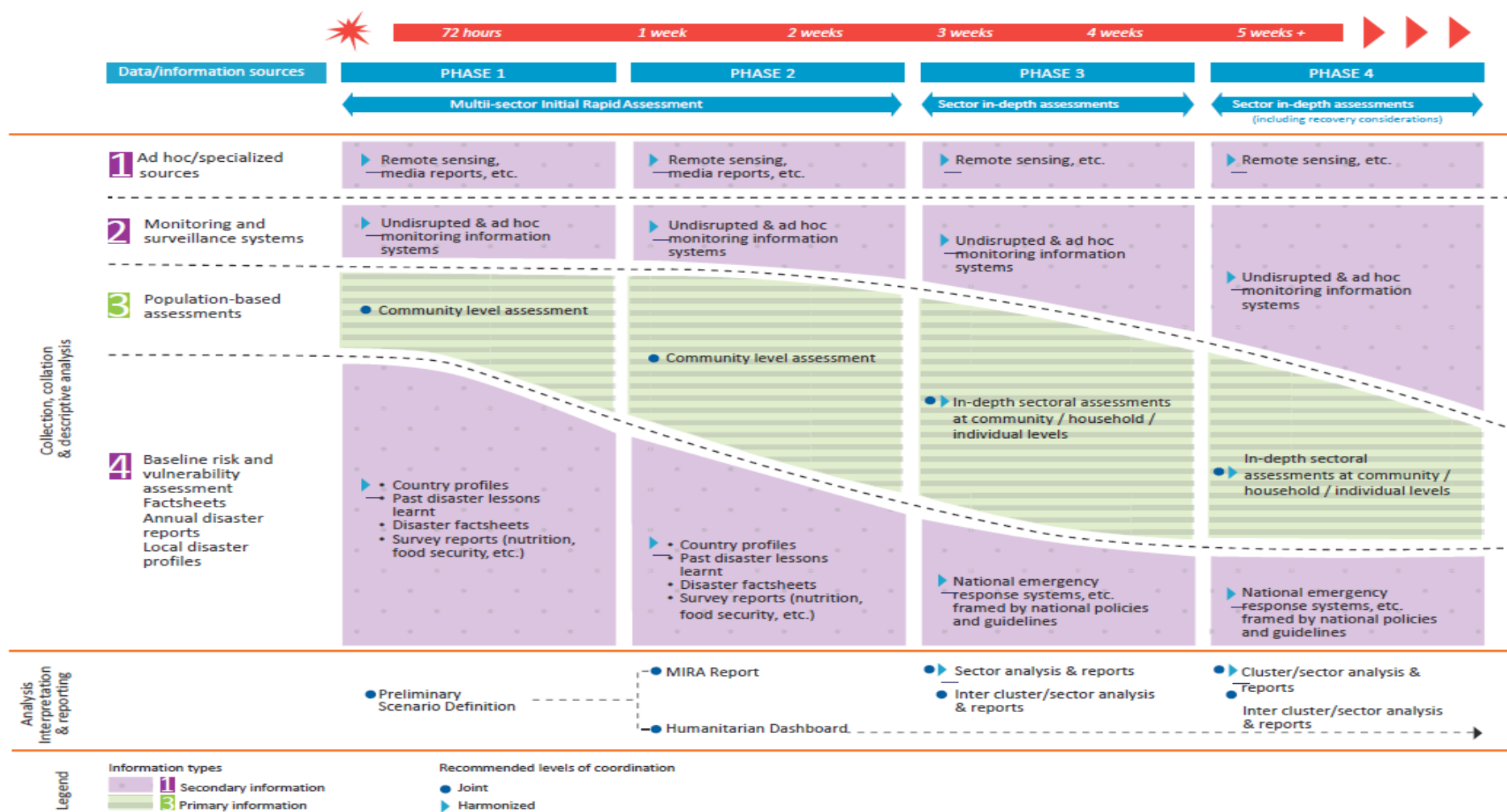
Figure 2: **Assessment Framework**

	PHASE 0	PHASE 1	PHASE 2	PHASE 3	PHASE 4
	Preparedness	*Saving and sustaining lives and re-establishing essential services*		*Saving livelihoods and re-establishing essential services*	
		72 hours	1 week	2 weeks	3 weeks	4 weeks	5 weeks +		
1 Recommended type of coordinated assessment	▸ Coordinated assessment preparedness	▸ Initial assessment for Preliminary Scenario Definition	▸ Multi sector initial rapid assessment	▸ Single sector coordinated in-depth assessments, harmonized across Sectors (any single agency assessments should be coordinated by cluster/sector coordinators)	▸ Continued single sector coordinated in-depth assessments, with (early) recovery considerations, harmonized across Sectors (any single agency assessments are coordinated by sector coordinators)
2 Purpose of the assessment		◂ Multi-sector Initial and Rapid Assessment) ▸		◂ Continued Inter-Sectoral Assessment Coordination ▸	
	▸ Preparedness planning & gathering pre-crisis or predisaster data	▸ Initial assessment to: • estimate scale & severity of the impact of the event • locate affected populations • inform initial response decisions • inform Phase 2 rapidassessments	▸ Rapid assessment to: • inform initial planning of humanitarian response, highlighting priority actions • define focus for follow-on indepth assessments • establish the baseline for monitoring	▸ In-depth assessment to: • analyse situation & trends • adjust ongoing response • inform detailed planning for humanitarian relief/early recovery • establish baseline for operational & strategic performance monitoring	▸ In-depth assessment to: • analyse situation & trend • inform phasing out of life-sustaining activities • inform detailed planning for huma- nitarian relief and (early)recovery • feed into performance monitoring
3 Methodology for data collection	▸ • Prepare & agree on assessment formats, indicators & tools • Organize preparedness trainings & if possible simulations • Establish procedures & responsibilities • Prepare Common operational datasets (CODs), P-Codes, & key vulnerability and emergency need indicators • Gather baseline data • Prepare fact sheets & lessons learnt disasters	▸ • Use mostly secondary data: precrisis information, surveys & reports prior to the event, fact sheets • Research primary data: initial reports from the field, media flyovers, satellite imagery, direct observation from quick visits to field (if feasible), & information from still functioning monitoring & reporting systems • Use initial CODs	▸ • Use secondary data from various sources • Research primary data as in Phase 1, complemented by purposively selected site visits, & community/key informant interviews • Use Community (e.g. village, camp or neighbourhoods), or Institutions (e.g. schools & health facilities) as units of measurement for site visits • Use simple agreed form with key questions • Use expanded CODs & key humanitarian indicators	▸ • Use secondary data from various sources • Use harmonized sector/cluster specific tools • Research primary data as in Phase 2, but with site visits selected through purposive & representative sampling methods (using more detailed sectoral surveys questionnaires) • Seek new data from established monitoring systems • Use the same units of measurement as in Phase 2, but include also Household and Individual • Use comprehensive CODs & key emergency need indicators	▸ • Use the same sources & methods as in Phase 3 • Use additional guidance for recovery assessment (Damage & Loss Assessment & sectoral PDNA guidance)[26] for recovery assessment • Conduct conflict analysis in case of complex emergencies
4 Types of funding proposals	▸ • Proposals for preparedness • Contingency funds	▸ • Allocation of preliminary emergency funding • Initial estimation of response needs • First response proposals	▸ • Emergency response proposals • Revision and updates of response needs	▸ • Revised emergency response proposals • National Recovery and Reconstruction Plan	▸ • National Recovery & Reconstruction Plan • Blueprint for recovery • International consolidated report
5 Output	▸ • Preparedness documents • Contingency plan	▸ • Preliminary Scenario Definition (within 3 days)	▸ • Assessment Report (within 14 days) • Emergency Dashboard	▸ • Multi-sector reports • Sectoral reports • Emergency Dashboard	▸ • Sector/cluster reports • PDNA and recovery framework • Emergency Dashboard

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Figure 3: **Type of data collected in each assessment phase**

C. Coordinated Assessment procedure

Phase 1 – Initial Assessment

Table 3:   Initial assessment

Context	Description
Focus	Scale and severity of impact, forecasting. Priority needs of vulnerable groups
Timeframe	1-3 days
Sources	Mostly secondary data sources with primary data from remote sensing and direct observation in a limited number of purposively selected sites
Resources	Mainly provided by national authorities or existing international partners in the host country
Reporting	Preliminary

In the first 72 hours, an initial assessment is recommended. The relevant disaster management authorities collect this assessment with two key objectives:

1. Communicate with the public via local, national and international media. Nowadays, social media have been used to communicate such updates.
2. Advise relevant authorities to inform initial response decisions,

If undertaken collaboratively, it will gauge the scale and severity of the crisis, forecast its evolution, locate affected populations, and identify key affected sectors. The assessment's findings are presented in the form of a preliminary report. The format depends on the organisation or institutions that lead and/or produce it.

Some national disaster management authorities can produce such preliminary reports to advise and share their planning with wider audiences. Some international humanitarian organisations also produce such reports and share them widely with international communities.

When time and access are limited, the assessment will be done using secondary data such as pre-crisis information, national authorities and media

reports, crowdsourcing, fact sheets, and lessons learnt from similar emergencies.

Primary data are mainly direct observation and basic analysis from remote sensing and/or drone data. Organisations conducting short field visits or aerial assessments should undertake them together.

Primary and secondary data should be widely shared to contribute to the intersectoral analysis. An initial assessment team involving senior agency officials (or lead agencies if sectors are already in place at the national level) will carry out the analysis.

[Note: This module avoids repetition for information about primary and secondary data. Please consult with the module ADM.TEC.005.1.Learner Guide]

Table 4:   *Example of Standard Operation Procedures (A Guide) for Initial Assessment*

Activity	Responsible
1. Emergency or disaster declaration	Head of state or those who hold powers to declare an incident or emergency or disaster
2. Activation of a command structure	Heads of NDMA/LDMAs Response coordinator
3. Appoints an assessment focal point to ensure exchange of information on planned/initial assessments and form an initial assessment team	For the government – this can be issued by the head of the national disaster management authority For international organisations – this can be a humanitarian coordinator
4. Provide staff and/or sectoral information to the initial assessment	For Government: NDMA/LDMA For IO: cluster/sector representation
5. Request additional assessment support, as required,	For Government: NDMA/LDMA For IO: cluster/sector representation
6. through surge mechanisms, including the CASPAR	For Government: NDMA/LDMA For IO: cluster/sector representation
7. Updates and disseminates CODs	For Government: NDMA/LDMA For IO: cluster/sector representation

8. Coordinates information gathering (key informants, flyovers, etc.)	For Government: NDMA/LDMA For IO: cluster/sector representation
9. Collect data (mainly secondary data}	For Government: NDMA/LDMA For IO: cluster/sector representation
10. Collates data from humanitarian partners and integrates with information from other sources (media, government, baseline)	For Government: NDMA/LDMA For IO: cluster/sector representation
11. Maintain communication with other external agencies/units	For Government: NDMA/LDMA For IO: cluster/sector representation
12. Undertake a common analysis	For Government: NDMA/LDMA For IO: cluster/sector representation
13. Compile the Preliminary Scenario Definition	For Government: NDMA/LDMA For IO: cluster/sector representation
14. A preliminary report, situation reports that satisfy the quality for funding proposal. For the government, this includes the legislative process for IO, this includes flash appeals procedures	For Government: NDMA/LDMA For IO: cluster/sector representation

1.2 Describe elements for coordinated assessment

[See also Element 1 of ADM TEC 004.1 for the definitions of coordinated, harmonised and joint assessments]

A. Introduction

It is often (incorrectly) assumed that a coordinated assessment automatically implies a large scale, resource-intensive field data collection exercise. An assessment is more than a primary data collection exercise. It is a process that includes secondary as well as primary data.

Primary data is essential, but it should not be the only source of information. Primary data becomes more critical as access to impacted areas and populations increases.

The attempts to collect too detailed information for the initial phase of a crisis and overreliance on a single data collection method are not helpful. These exercises use extensive resources and time.

B. Secondary Data Analysis

Secondary data is the key information source during the initial days and weeks after a disaster. Secondary data plays a crucial role in the early stages of an emergency when collecting primary data is limited by human resources, time and access constraints. Secondary data analysis uses pre- and in-crisis secondary information to form a clear and up-to-date picture of the situation and promote a common understanding.

When analysing secondary information, it is necessary to:

o Compare the situation before the crisis with the in-crisis situation and international standards or other relevant thresholds. Experience and lessons learnt from similar situations can be used to identify risks and the likely evolution of the crisis.

o Make a clear difference between the crisis-related impact and pre-existing vulnerabilities (underlying factors) exacerbated by the crisis or that will increase the vulnerability of affected populations or the crisis impact on them. Pre-crisis information provides beneficial insights on how the disaster may have affected the livelihoods, systems and infrastructures.

o Cross-analyse key data and use additional information sources to understand or make reasonable inferences about unmeasured conditions or situations. This helps better understand what is happening, where, and why.

o Look at the differences between groups (including males and females), sub-groups, sectors and places. Different impacts on vulnerable groups must be identified.

o Identify constraints, information gaps and needs for further assessment. It is important always to consider what is missing.

o Use assumptions, judgment and "educated guesses" to overcome the "known unknowns".

o Evaluate the reliability, credibility (i.e. level of bias, source's credentials, data collection method, confidence intervals, etc.) and the usefulness of the data (i.e. information sufficiently recent and relevant to the analysis of secondary data, level of disaggregation, etc.).

o Conduct a sectoral analysis before combining and consolidating findings into a cross-sectoral analysis

C. Primary data analysis

Primary data helps to:
o compensate for the lack of random or statistically representative sampling
o understand the nature of the most pressing issues, concerns and needs
o give depth to the findings of secondary data reviews
o support the prioritisation of interventions

Primary data contains first-hand information collected from people who directly experienced an event. Primary data collection methods include:
o interviews
o focus groups
o surveys using investigation forms
o direct observations
o purposive sampling
o minutes from meetings

One of the challenges in leading a joint assessment is implementing primary data collection. This assessment can be delayed due to the lengthy primary data collection process, leading to ineffective results. A Rapid Assessment Coordinator must ensure that the primary data collection and analysis serve the purpose of the coordinated assessment.

When implementing the coordinated assessment, the following principles can lead to tremendous success:

- One of the key objectives of assessments is to identify immediate humanitarian priorities by analysing affected communities' needs and coping mechanisms and understanding the authorities' capacities to respond. Humanitarian organisations should focus on these needs, capacities and gaps. Whenever possible, assessments are led by national governments, as they have a prime responsibility to lead humanitarian efforts. Assessments should be designed to promote ownership or engagement by national and local authorities, including

the national disaster management agency, line ministries, and other national capacities.

- Planning for coordinated assessments should be an integral part of inter-agency emergency preparedness and contingency planning. Joint assessments are best undertaken when preparedness measures have been implemented in advance. Tools and frameworks developed when preparing for coordinated assessments should align with those agreed at the global level and adapted to the local context.

- Each assessment builds on existing information and data. New assessment data expands the previous analysis and adds value to assessments and information systems in a "rolling assessment" process.

- Links between assessment and monitoring are ensured. Needs assessments should be designed with the situation and performance monitoring in mind. Initial data on needs can be used as baseline data for comparison with data drawn from monitoring systems and help show whether interventions have successfully responded to identified needs.

- Assessments collect precisely the data that are required for decision-making. This includes both quantitative and qualitative data. The early identification of key humanitarian indicators can facilitate timely processing and decision-making, prevent the collection of too much information and thus avoid a slowdown in the assessment's implementation, fatigue among assessed communities and delay in the data processing.

- Assessments are designed/conducted using participatory approaches and communicated transparently. We should have local knowledge of the context and utilise the most appropriate participatory approaches. Assessment results should accurately reflect the different views of affected populations. Special arrangements should be made to ensure that information collected is sensitive to specific types of vulnerabilities.

- Assessments adequately address priority cross-cutting issues such as gender, age, HIV/AIDS and the environment. Our assessment team should be gender-balanced to capture every group's perspective and access information from all vulnerable groups

- Information management considerations are integrated throughout the assessment planning, design, analysis, and reporting.

- Contextual analysis is undertaken when interpreting assessment findings. Contextual considerations allow for a clearer understanding of priority needs and better-targeted assistance.

- Early recovery assessment begins during the emergency response and occurs parallel with relief activities. It is a practical and indispensable component of crisis response, as it can stabilise a situation, prevent further deterioration of local and national capacities, and shorten the need for humanitarian assistance

[See also Element 2 in ADM.TEC.005.1]

1.3 Analyse ways to obtain the coordinated assessment elements

A. Introduction

Non-governmental stakeholders, international partners and host (affected) governments are strongly encouraged to make coordinated assessments part of their emergency preparedness efforts. Readiness and preparation are key to the success of a coordinated assessment. A well-designed common assessment approach that includes agreed-upon roles and responsibilities can significantly improve the quality and timeliness of emergency assessment information.

B. Planning for assessment

Assessment preparedness should be part of a broader government-led and/or inter-agency contingency planning process. Emergency management and humanitarian organisations must increase their preparedness level and enhance their ability to respond to emergencies. For non-governmental agencies and international organisations, this should be done in support of the appropriate national authorities responsible for disaster management and in a process inclusive of other relevant partners and stakeholders.

Given the importance of assessments in defining the scope and nature of the emergency management and response, how initial rapid assessments will be

undertaken is an important component to include in the contingency planning process. Planning for initial assessments should include:

- Identification of agencies/organisations that will participate;
- Agreement on specific rapid assessment tools;
- Discussion on how sector/cluster assessment information will be collated and shared with others;
- Definition of how sector/cluster members address needs assessment.

Host governments can request support from international partners and stakeholders (e.g. cluster/sector lead agencies). Supports can take the form of training for staff involved in preparing and implementing coordinated assessments.

It is recommended that the following be undertaken to prepare for coordinated assessments:

1. **Awareness-raising**
   Use the preparedness phase to advocate for coordinated assessments. Target the stakeholders and/or sector coordination mechanisms to increase knowledge and understanding of coordinated assessments and collective analysis. Keep relevant stakeholders and partners informed of efforts undertaken.

2. **Agree on assessment coordination structures.** Maximise the use of existing coordination mechanisms, especially for inter- sectoral coordination for preparedness and contingency planning. Identify key stakeholders for the assessment preparedness processes and the support provided. Include links to national disaster management bodies.

3. **Review assessment planning is already undertaken.**
   Review existing assessment planning, particularly government contingency planning, assessment formats and approaches. Review technical guidelines that have been produced and used.

4. **Set out collaborative arrangements relative to the assessment.**
   Host government to lead and agree on standard operating procedures, draft terms of reference for an Assessment Working Group, and/or assessment-related tasks. There are merits to developing partnerships with local and national research institutions and other national bodies with data collection capacity for international organisations.

5. **Prepare Common Operational Datasets.**

Identify the key response and/or assessment indicators to be collected

6. **Compile baseline data and risk analyses**.
Work with multi-stakeholders and partners to collect baseline data, populate key indicator sets, and compile common datasets. Based on vulnerability and risk mapping, adapt fact sheets and lessons learnt to the national context and link them to the scenarios in the contingency plans.

7. **Develop tools and data collection methodology for Phases 1 to 4.**
Share draft assessment tools with stakeholders, carry out field-testing and revise them based on the feedback. When possible, adapt existing tools. This includes adopting standard operating procedures, reporting formats, information requirements and questionnaires.

8. **Ensure the organisation of logistics and human resources.**
This includes securing agreements for the funding and transportation of required equipment (tools, computers, etc.). Identify participants for the assessment team, ensure an appropriate gender balance, and train in-country capacity where needed.

9. **Define the parameters of the assessment design.**
Identify how the information will be collected (applications, mobile phones), how it will be processed (databases, spread sheets), and how it will be analysed. Clarify the purpose and audience, the targeted phases and the methodologies. Agree on an outline for the technical and analytical assessment reports and who will be responsible for producing them.

Develop a process around communicating findings and identify how the information will be shared and disseminated broadly.

4.2 | Element 2. Manage coordinated assessment

2.1   Identify emerging risk

A. Introduction

Disaster survivors and assessors face profound risks from various sources, including hazard threats, violent conflict, and human rights abuse. Risk is embedded in all phases or stages of an emergency. Consequently, emergency need assessment often occurs in vulnerable, uncertain (sometimes unstable), complex and ambiguous (VUCA) situations (See ADM.COR.004.1 Learner's Guide).

Need assessment is an integral part of emergency response/management and disaster governance. Therefore, the operationalisation of a coordinated assessment must also include risk assessment as risk Is inherent in any crisis context. Therefore, risk assessment and management should be informing need assessment and intervention.

An assessment coordinator must have the ability to ask the question of how, when and what interventions are made. The question includes: how do need assessors and emergency managers define such risks? How do they assess and manage them?

B. What is risk and emerging risk

What is the potential operational risk in conducting a coordinated assessment? Risk in this context is reduced to any potential event that might compromise the process and quality of need assessment. It is not necessarily managing and governing disaster risk or mitigating natural hazard events.

The operational risks prevalent in emergency response and management are varied and often interlinked with crises or disasters. Many actors highlight risks to the safety and security of staff and beneficiaries, but whilst these are critical, many other risks present serious threats to emergency assessment and management planning.

Risk management refers to attempts to eliminate or mitigate the probability or impact of a harmful event or hazard, i.e. to seek to remove or reduce risks of future harm. Risk can be understood concerning the concept of future harm,

the probability of a harmful event or hazard occurring and the likely severity of the impact of that event or hazard. 'Enterprise Risk Management (ERM) and ISO Standard 31000 are generally accepted frameworks for risk management in various sectors.

ERM sets out similar steps for risk management, including identifying harmful events or circumstances relevant to an organisation's objectives, an assessment of the probability and severity of the impact of these events, the development of an appropriate response strategy, and the monitoring and evaluation of this response.

Identifying risk means identifying (Table 5) any event or factor that may harm the organisation's objectives. The source of risk may be internal to an organisation, for example, the conduct of staff, or external, such as another secondary hazard triggered by a primary hazard (e.g. a landslide or conflict triggered by an earthquake or tsunamis).

Table 5: **Risk Matrix**

Likelihood	Consequences				
	Negligible	Minor	Moderate	Major	Severe
Almost Certain	Moderate	Moderate	High	Very High	Very High
Likely	Moderate	Moderate	High	High	Very High
Possible	Low	Moderate	High	High	High
Unlikely	Low	Low	Moderate	Moderate	High
Rare	Low	Low	Moderate	Moderate	High

Assessment of risk is commonly conducted based on both the probability of occurrence and the likely impact (Table 6), with the most critical risks logically being those that are both high likelihood and expected to have severe consequences.

Table 6: **Likelihoods and Consequences Explanation**

Likelihood	Description
Almost Certain	*Expected to occur in most circumstances*
	• Has occurred on an annual basis in the assessor's DM or similar agencies/organisations in the past
	• Circumstances are in train that will cause it to happen

Likely	*Will probably occur in most circumstances*
	• Has occurred in the last few years in DM or has occurred recently in similar agencies/organisations
	• Circumstances have occurred that will cause it to happen in the next few years
Possible	*Might occur at some time*
	• Has occurred at least once in the history of the organisation or similar agencies/organisations
Unlikely	*Not expected to occur*
	• Has never occurred in the organisation but has occurred infrequently in similar agencies/organisations
Rare	*May occur only in exceptional circumstances*
	• Has not occurred to date in the organisation or any other similar agency/organisation

Consequence	Description
Negligible	• Result in consequences that can be dealt with by routine operations
Minor	• Minor delays in providing services or achieving objectives
	• Threaten the efficiency of the effectiveness of some aspect of the program/activity/business unit but can be dealt with internally
	• Have minor political/community sensitivity
	• Minor dissatisfaction of clients/beneficiaries, partners or other key stakeholders
	• Program/project/business unit suffers minor adverse financial impact
	• Minor breach of public sector accountability requirements
	• Minor damage to property or one minor injury
Moderate	• Moderate delays in providing services or achieving key objectives
	• Program/activity/business unit subject to unplanned review or changed ways of operation

- Have moderate political/community sensitivity resulting in limited adverse publicity or criticism

- Limited dissatisfaction of clients/beneficiaries, partners or other key stakeholders, moderately damaging organisation's reputation

- Program/project/business unit suffers moderate adverse financial impact

- Moderate breach of public sector accountability requirements or information security

- Moderate damage to property

- One serious injury or multiple minor injuries

Major
- Major delays in providing services or achieving key objectives

- Threaten the survival or continued effective function of the program/activity/business unit

- Have major political/community sensitivity resulting in significant adverse publicity or criticism

- Significant dissatisfaction of clients/beneficiaries, partners or other key stakeholders, significantly damaging reputation and relationships

- Program/project/business unit suffers major adverse financial impact

- Major breaches of public sector accountability requirements, legislative/contractual obligations or information security

- Major damage to property or moderate damage to multiple properties

- One life-threatening injury or multiple serious injuries

Severe
- Critical business failure resulting in non-achievement of key objectives

- Program/activity/business unit subject to unplanned external review/inquiry

- Have severe political/community sensitivity resulting in extensive adverse publicity or criticism

- Extensive dissatisfaction of clients/beneficiaries, partners or other key stakeholders, severely damaging reputation and loss of stakeholder and/or Government confidence in or support of the organisation

- Program/project/business unit suffers severe adverse financial impact

- Severe breaches of public sector accountability requirements, legislative/contractual obligations or information security

- Extensive damage to property resulting in loss of property or major damage to multiple properties

- One death or multiple life-threatening injuries

The measures through which it is possible to manage the risk (of conducting a need assessment) may include any or a combination of four key strategies:

- **Avoidance:** ceasing the activities that give rise to risk.
- **Reduction:** taking action to reduce the probability or impact of risk.
- **Sharing or insuring:** reducing risk through sharing or transferring part of the risk.
- **Acceptance:** accepting risk based on a cost-benefit or cost-effectiveness analysis.

In some scenarios, significant residual risks will remain after risk management measures have been taken because not all risks can be eliminated or reduced. Risks are to be registered (Table 7).

An assessment coordinator and manager can develop a Risk Register (Table 8) based on the explanation in the Risk Register Guide (Table 7).

Table 7:   *Risk Register Guide*

Risk Register	List the name of the activity, program/sector, post, branch or division.
	Provide the date of the assessment.
Risk Owner	This is the person that owns the risks, noting that some risks will be escalated to a higher level.
	The owner has accountability for ensuring that the risks are being managed. For example, if being done at the activity level, it will usually be the activity manager, the program manager for the risk register at the program/sector level, the head of aid for the register at the country level, etc.

Date of Last Review & Date of Next Review	Registers must be reviewed and updated at least quarterly but may need updating more regularly depending on the nature of the risks.
	The register is recommended to review periodic risk discussions built into existing management/team meetings.
	For the initial risk assessment, leave Date of Last Review blank.
Do any risks need to be escalated? **To whom are they being escalated?**	The Risk Management for coordinated assessment approach requires significant risks to be formally communicated and escalated up to the next management level. List the risk numbers of those risks you have determined need to have oversight at the next management level.
(To be completed after risks have been rated)	List the person to whom your significant risks are being escalated. The risks you identify for escalation will need to be formally communicated to this person and reflected on their risk register.
	Although risk has been escalated, it should remain on the register from which it originated (i.e. if an activity-level risk has been escalated up to program/sector and then escalated up to country program level management, the risk should appear on all three registers).
Are any risks being de-escalated?	Just as significant risks are escalated as described above, risks that the risk owner determines can be managed at the next level of management down can be de-escalated.
To whom are they being de-escalated?	List the risk numbers and person(s) to whom your risks are de-escalated.
(To be completed after risks have been rated)	De-escalated risks should remain on the register for one review cycle after the risk has been de-escalated.
Risk Ratings and Treatments Approved by	The approver will often be the risk owner; however, if treatments involve a higher level of delegation or oversight, the risk register may need to be approved by a higher level of management.
Objectives	What are you hoping to achieve? This is also sometimes referred to as outcomes and/or results.

	Remember to include both programmatic and internal business objectives (i.e. value for money, safety and security, etc.
	Objectives should be clear and concise. A good approach for helping to define your objectives clearly is the SMART approach: specific, measurable, achievable, realistic and time-bound.
Risk Number	Assigning a number to each of your risks allows for easier tracking and reporting.
Risk	Risks are the things that can prevent, impede or delay the achievement of each of your objectives.
	Risks are articulated as the event (what can happen), the source (what can cause the event to happen) and the impact (what will happen if the event occurs). Refer to the "Writing a Risk" tool in the Risk Management for Aid Investments Handbook for further guidance and examples.
	Be sure to also think about a broad range of risk types such as contextual, programmatic and institutional.
Existing Controls	Controls are processes, procedures and policies that are fully implemented that help control the risk.
Risk rating with existing controls in place	Using the Risk Matrix, rate the risk-taking into consideration the strength of the controls that are fully implemented.
	This risk rating should be reviewed as treatments become fully implemented *(refer to the proposed treatments section below)*.
Is risk rating acceptable?	Are you comfortable with the risk rating you have just determined considering the current controls? If so, select Yes. Select No if you need to do more to bring the risk to a level that the owner is comfortable with.
	Sometimes risk cannot be mitigated further – this may be due to circumstances out of your control (i.e. a change of government), or the cost of proposed treatments may be prohibitive. If so, this should be acknowledged and explained.
Proposed Treatments	Treatments include both actions that are partially implemented and actions that are not yet underway. Once a treatment has been fully implemented, it becomes to control, and the risk

rating will need to be re-assessed. If more needs to be done to mitigate risk, list those things that need to be done.

Sometimes risk cannot be mitigated further – this may be due to circumstances out of your control (i.e. a change of government), or the cost of proposed treatments may be prohibitive. If so, this should be acknowledged and explained.

Person Responsible for Implementing Treatments	Identify the person/position responsible for following up and tracking the implementation of the proposed treatments. Be specific: do not identify whole teams.
Implementation Date for Proposed Treatments	The date should be as specific as possible so that implementation can be followed-up and tracked – avoid using "ongoing". For long term actions, add milestone dates.
Target rating when Proposed Treatments are implemented	This section allows you to assess how you think the treatments will impact the risk once all of the proposed treatments identified have been fully implemented. Will they decrease the likelihood and/or the consequence of the risk?
	This assessment of a future state helps you think about whether you should do more on top of your currently proposed treatments.

Source: Adapted from DFAT's "Spheres of Risk" tool in the Risk Management for Aid Investments Handbook for further guidance and examples.

C. Risk register

How are the risks assessed? Contextual risks are inherent in the wider context. They can include political and social risk factors such as intensified conflict, political instability and the collapse of the rule of law; economic or developmental factors, such as high inflation, the collapse of state service infrastructure and market failure; and wider security issues, such as organised and transnational crime. Many of these contextual risks are, to some degree, beyond the control of humanitarian actors, though this does not mean that they cannot be predicted.

The context and the inherent risks both form and inform the entire risk management continuum.

Programmatic risk can be grouped into two main areas – the risk of failing to achieve programme objectives and the potential to cause harm to others. Setting aside external contextual factors, there are a number of risks relating to programme implementation.

There is currently no common framework for assessing and managing risk in the humanitarian sector. Emergency management activities, including rapid assessment, are complex and heterogeneous in their constituents and approaches to different issues. Some actors have embedded risk management throughout their strategic or programme cycle, but this is not standard practice. There has been positive cooperation and collaboration in response to certain specific risks. Perhaps not surprisingly, this is most notable concerning operational security risks. There is a good reason for prioritising operational security: if staff, assets and beneficiaries are not secure, there can be no emergency response and management, including no rapid assessment. However, this focus may also indicate a failure to understand the complexity of risk.

An undesirable event may have more than one impact on the organisation or the wider humanitarian enterprise, and most risks are interconnected. However, managing operational security risks can present an opportunity for the sector to assess and manage other risks as well (see Table 8).

Table 8:   *Risk Register*

Objective/s	Risk No.	RISK Event, Source & Impact (what can happen (event), how can that happen (source), and what will the impact be if it happens?)	Existing Controls (what's currently in place?)	Risk rating with existing controls in place			Is risk rating acceptable? Y/N (if no, please propose treatments)	Proposed Treatments (If no further treatment required or available, please explain why)	Person Responsible for Implementing Treatment/s	Implementation Date for Proposed Treatment/s	Target rating when Proposed Treatments are in place		
				Consequence (refer to matrix)	Likelihood (refer to matrix)	Risk Rating (refer to matrix)					Consequence (refer to matrix)	Likelihood (refer to matrix)	Risk Rating (refer to matrix)
Example 1: A Coordinated assessment is implemented by NDMA	1	Other ministries may not be fully committed to joint assessment. If this occurs, there is risk that every organisation conducts their assessment. Time can be wasted.	Coordinated assessment training can be conducted among the key stakeholders	Moderate	Possible	Moderate	Yes	Efforts can be focused on stakeholders who are committed to coordinated assessment	Assessment coordinator	After 2019	Moderate	Possible	Moderate

2.2 Social context which influences vulnerabilities and resilience

A. Introduction

Vulnerability is defined as the conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards.

B. Crisis Impact

Crisis impact identifies humanitarian needs, vulnerabilities and risks, disruption to key infrastructures, while the operational environment correlates with the ability of disaster responders to deal with the crisis.

The analysis of crisis impact will lead to outputs of Humanitarian profile and severity of the crisis. The operational environment analysis will result in Gaps in response and Operational constraints outputs (Table 9).

Table 9: *The analysis of crisis impact and operational environment*

Themes	Key questions	Dimensions			
		Status and Impact	Vulnerabilities and Risks	Trends	Information Gaps
Drivers of the crisis and underlying factors	1. What are the main drivers of the crisis, and what are the underlying factors of increased vulnerability?	What are the main drivers of the crisis (including environmental, socio-political, climatic and economic factors)?	What are the underlying factors (often pre-existing conditions) of the crisis (including environmental, socio-cultural and economic context and demographic governance) that may lead to	How are the main drivers likely to evolve in the short, medium and/or long term? How are underlying factors expected to evolve in the short, medium and/or long term?	

			increased vulnerabilities?		
Scope of the crisis and humanitarian profile	**2.** What is the geographical extent of the affected area?	Which areas are affected? What is the severity and nature of the crisis in each area (e.g. which areas are most affected?)	What are the pre-existing conditions in those different areas that may lead to increased vulnerabilities?	Are other areas expected to be affected in the short, medium and/or long term? Which ones and how? Is the geographical extent of the crisis likely to decrease?	Does the event involve multiple jurisdiction and administrative boundaries?
	3. How many people are affected?	How many people are affected (ratio male/female)? Where are they? How many girls, women, boys and men were affected? Where are they?	Identify which groups are most at risk? How many are they, and where are they? How differently are those groups affected?	How are the number, type and location of people affected likely to change in the short, medium and/or long term?	
Status of populations living in affected areas	**4.** What are the main characteristics (mortality, morbidity and dignity/quality of life) of affected populations?	What are the crisis's status and impact on mortality, morbidity and dignity/quality of life of affected populations?	Identify which areas or groups are in the worse condition or most at risk? How are girls, women, boys and men distinctly affected?	What is the predicted evolution in terms of mortality, morbidity and dignity/quality of life?	
	5. What is the condition of affected populations in terms of protection?	What is the status of protection? What was the impact of the crisis on protection?		What is the predicted evolution in terms of protection?	

	6. What is the condition of affected populations in terms of livelihoods?	What are the status of local livelihoods and income opportunities? What was the impact of the crisis on local livelihoods and income opportunities?	How differently are those areas or groups affected?	What is the predicted evolution in terms of livelihoods and income opportunities?
	7. What is the condition of affected populations in terms of access to and utilisation of basic services and goods?	What are the status of access to and utilisation of basic services and goods? What was the impact of the crisis on access to and utilisation of basic services and goods?		What is the predicted evolution in terms of access to utilisation of basic services and goods?
National Capacities and Response	**8.** What are the local coping mechanisms of affected communities?	What are the known coping mechanisms of local communities, and how were they affected? Are they adaptable and sustainable?	Are coping mechanisms weaker for certain areas or groups, and which ones?	How sustainable are known coping mechanisms in the short, medium and long term?
	9. What are the national/ sub-national, private sector, non-governmental and government capacities to respond?	What are the existing capacities (both regular and those specifically designed for crisis response), and how have they been affected by the crisis?	How sustainable are these capacities in the short, medium and/or long term? Can these capacities be expected to scale up, where and how?	
	10. What are their interventions to date in response to the crisis?	Have the actors identified undertaken any initial assistance or interventions		

		in response to the crisis?
		Where, how many people were targeted, reached and covered by the different types of interventions?

International Capacities and Response	**11.** What is the international response capacity, and how has it been affected?	What is the international response capacity (both regular capacities & those specifically designed for crisis response), and how were they affected? Are there any preparedness and coordination procedures in place?	How sustainable are these capacities in the short, medium and/or long term? Can these capacities be expected to scale up, where and how?
	12. Which agencies/organisations are operating where and in what sectors of intervention?	Which agencies/organisations are operating where and in what sectors?	
	13. What are their interventions to date in response to the crisis?	What interventions are the actors identified already providing?	

Humanitarian Access	**14.** What are the logistic considerations regarding the effects of the emergency and options	What are the main considerations affecting the response (availability and quality of air/road/water transportation	Which affected areas or groups are most likely to be affected by these	How are logistics constraints expected to evolve?

	for a response?	networks, telecommunications and storage facilities)?	constraints?	
15.	What are the security considerations?	What are the main considerations affecting the local population and the delivery of assistance (armed groups, gender-based violence, sexual exploitation and abuse, and UXOs), and where are they?	Are security considerations likely to evolve in the short, medium and/or long term? Where and how?	
16.	How do civil-military relations feature in the context?	What are, if any, civil-military relations? How do they affect the local population and the response?	Are civil-military relations likely to evolve, and how?	
17.	What proportion of the affected population (disaggregated by sex and age and according to the sector) is reachable for humanitarian interventions?	What proportion of the affected population is reachable by humanitarian interventions?	Are there groups or areas in need or specific needs (sectors) that are not sufficiently reachable? Which and where?	How is the proportion of the affected population reachable by humanitarian interventions likely to evolve in the short, medium and/or long term?
Coverage and Gaps	**18.** To what extent are the conditions of affected populations (disaggregated by sex and age and according to the sector)	What proportion of the affected population is protected and assisted?	Are there vulnerabilities in the population that need to be particularly addressed? Do the male and	How is the protected and assisted proportion of the affected population likely to evolve?

	being addressed?		female populations have equal access to aid?	
Strategic Humanitarian Priorities	**19.** What are the strategic priorities for humanitarian interventions?	Based on the information gathered through the above questions, what are the strategic priorities for humanitarian interventions in terms of geographical areas, affected groups and priority cluster/sector response domains?	What are the priority geographical areas and affected groups to be targeted and how (core areas of interventions – e.g. cash for work; food; provision of health services or drugs)?	Are these priorities expected to evolve over time? In which timeframe and how?
	20. Are there other key issues to be considered (environment, HIV, disability, etc.)?	What are the key cross-cutting issues to consider in prioritising humanitarian interventions?	How are the distinct needs for protection and the assistance of girls, boys, women and men addressed in the priorities?	Is the influence of cross-cutting issues expected to evolve over time? In which timeframe and how?

2.3 Describe early warning system for the emerging risks

A. Introduction

A coordinated assessment aims to create a shared situational awareness around problems and priorities generated by the disaster.

The risk registry approach is commonly adopted and implemented by international organisations and donors. Some governments in Asia and the Pacific also adopt such an approach.

However, an early warning system for such emerging risks that potentially affect a coordinated assessment and emergency assessment, in general, is not typical for local governments.

B. Early Warning System Practice

Such an early warning system has been regularly adopted and implemented by international humanitarian actors. For example, the Inter-Agency Standing Committee (IASC) has regularly produced Early Warning, Early Action and Readiness (EWEAR) reports entitled Risk, Early Warning and Preparedness (REWP) to highlight risks with a high probability and impact on humanitarian operation and implementation. Such reports provide a forward-looking analysis of the most serious risks supporting IASC Reference Group activity and equip relevant decision-makers with key information for preparedness, response, advocacy and resource mobilisation efforts to mitigate and manage these risks.

The REWP Report acts as an inter-agency source of information for officials accountable at the global level for preparedness. It is in addition to reporting up the normal chain of accountability from Resident and Humanitarian Coordinators. Each country or region includes a risk analysis and an analysis of IASC response capacity and preparedness.

To support concerted early action to the situations of most concern, the initial risk register provided by the different agencies has been prioritised to highlight only those risks assessed as having the most critical gap between the potential humanitarian impact and existing capacity and preparedness levels.

Countries have been divided into three 'tiers' based on the assessed gap between the seriousness of the risk and the level of preparedness and response capacity: very high, high or moderate. It was agreed that risks relating to existing Level 3 emergencies (L3s) should only be included in the Report by exception, as L3s are already regularly reviewed by the IASC, with every effort made to scale up and enhance the response. A summary of the methodology used to develop risk selection is at the end of this Report.

The IASC Index for Risk Management (INFORM) values, based on historical data, have been added to provide a wider risk context. The IASC early warning

analyst group will continue to closely monitor these risks and the wide range of 'on watch' risks not included in the REWP Report.

ASEAN member states and AHA Centre can develop similar instruments for ASEAN level risk and early warning systems for response preparedness in ASEAN.

Such a report can offer a general risk assessment at both national and sub-national levels where crises and disasters are taking place with three levels of risks:

- Risks with Very High Seriousness
- Risks with High Seriousness
- Risks with Moderate Seriousness

Self-assessment Checklist

Self-assessment Checklist

Please use the checklist below to help you determine whether you are prepared to be assessed in this unit of competency. The boxes without tick mark indicate that there may be some areas you need to work on to become ready for assessment.

Instructions Please tick (✔) the box if your answer is yes	Questions
☐	Have I read the Learner Guide and understood its contents?
☐	Have I attended, participated in, and completed all training sessions and activities?
☐	Have I reviewed the learning resources to reinforce what I've learned in training?
☐	Am I able to demonstrate my understanding of each element and performance criteria of this unit of competency by writing a summary in my own words?
☐	Am I able to communicate how my experience, knowledge, skills-sets, and attitudes make me qualified and competent enough to perform the job related to this unit of competency?

Oral Interview and Written Test Guide

Oral interview and written test guide

This section guides candidates on how to communicate, demonstrate, or present evidence, responses, and their work in a professional manner. There are three primary ways the candidates will be assessed: through observation, oral interview, and written test. The assessor will determine the final assessment methods and tools depending on several factors like the local context, professional needs, and the like.

On observations

Assessors will observe the candidate over a period of time to collect evidence of their capability to meet the required standards and performance criteria. Assessors may attend selected learning sessions, if any, to witness how candidates complete their activities and participate in exercises. In doing so, assessors can get a sense of the candidate's key strengths and areas for improvement concerning the unit of competency. It will benefit candidates to ensure their work is always complete and presentable.

On oral interview

Assessors will conduct oral interviews to confirm and evaluate the candidate's experience, knowledge, skills, and attitudes regarding the unit of competency under assessment.

It may include verification questions about what you learned from the training content and material. Please review the Unit Readings and complete the Self-assessment Checklist in this document. It may also include competency questions about your knowledge and skills. Assessors may ask you what knowledge or skill you will use or apply to address a specific occupational issue or problem. Candidates need to think about how they will carry out their critical job functions in a defined work setting.

Finally, the interview may also include behavioural questions that focus on attitudes. Assessors may ask for examples of what you will do when a particular situation happens or when circumstances change. Candidates will need to support their answers with reflections on their own or other's experiences and the lessons learned from those.

On written tests

Assessors will also present a written test to candidates to confirm whether candidates learned and understood the training content and material concerning the unit of competency under assessment.

Accuracy, brevity, and clarity are the ABCs of good writing. The first thing candidates are suggested to do is answer the questions as accurately as possible. It helps structure your response and sharpen your main points in an outline before writing them down. Candidates are advised to use short and simple sentences and paragraphs. Your answers need to be easy to read and understand. It includes removing and leaving out irrelevant material. Candidates are also expected to write coherently and logically so that readers can follow their thought. The key messages and transitions between your sentences and paragraphs must be clear.

Proofread and correct errors in your work before submitting it. How you format your work also matters. If you are using a computer, please check whether your indentions, margins, spacing, listings (bullets, numerical sequencing), and page numbers are in order.

Recommended Readings

» Recommended Readings

ACAPS (2012). *Technical Brief – Building an Effective Assessment Team. Switzerland.* Accessible here

ACAPS (2012). *Technical brief – Coordinated Assessment in Emergencies, Key lessons from field experience*. Switzerland. Accessible here

ACAPS. (2013). *ACAPS Summary Brief on Scenario Development, Switzerland.* Accessible here

ACAPS. (2015). *Technical Brief – Rapid Humanitarian Assessment in Urban Settings, Switzerland.* Accessible here

ACAPS. (2016). *Meeting Information Needs? A Review of Ten Years of Multi-sector Coordinated Needs Assessment Reports, Switzerland.* Accessible here

Benini, A., P. Chataigner, N. Noumri, N. Parham, J. Sweeney and L. Tax. (2017). *The Use of Expert Judgment in Humanitarian Analysis – Theory, Methods, Applications. Switzerland: Assessment Capacities Project - ACAPS*. Accessible here

Emergency Capacity Building Project. (2007). *The Good Enough Guide. United Kingdom*. Accessible here

IASC. (2012). *Operational Guidance for Coordinated Assessments in Humanitarian Crises. Switzerland*. Accessible here

IASC. (2015). *The Multi-Cluster/Sector Initial Rapid Assessment. Switzerland.* Accessible here

IFRC. (2008). *Guidelines for Assessment in Emergencies. Switzerland.* Accessible here

OCHA. (2014). *UNDAC Handbook 2014. Switzerland.* Accessible here

OCHA. (2016). *Review of Coordinated Assessment and Joint Analysis Processes and Outputs. Switzerland*. Accessible here

ODI-Humanitarian Policy Group Report 15. (2003). *According to need? Needs assessment and decision-making in the humanitarian sector. United Kingdom.* Accessible here

The AHA Centre. (2015). *ASEAN-ERAT Guidelines. Indonesia*. Accessible here

The Sphere Project. (2014). *Sphere for Assessments. Switzerland.* Accessible here

UNHCR. (2015). *Emergency Information Management Toolkit. Switzerland.* Accessible here

Training Evaluation Sheet

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Training evaluation sheet

Name of Training	
Competency unit title and number	**ADM.TEC.002.1** Lead coordinated assessment preparedness
Location of training	**Date of training**

Instructions Please tick (✔) your level of agreement with the statements below	Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree

Training content and facility

	Strongly Agree	Agree	Neither Agree or Disagree	Disagree	Strongly Disagree
The training objectives were clearly defined and met.	☐	☐	☐	☐	☐
The training content was organised and easy to follow.	☐	☐	☐	☐	☐
The training material was relevant and useful to me.	☐	☐	☐	☐	☐
The training facility is adequate and comfortable.	☐	☐	☐	☐	☐

Training delivery and activities

The trainers/presenters were knowledgeable and well prepared.

☐ ☐ ☐ ☐ ☐

The trainers/presenters were engaging and helpful.

☐ ☐ ☐ ☐ ☐

The length of the training was sufficient for learning.

☐ ☐ ☐ ☐ ☐

The pace of the training was appropriate to the content and attendees.

☐ ☐ ☐ ☐ ☐

The activities and exercises encouraged participation and interaction.

☐ ☐ ☐ ☐ ☐

What did you like most about this training?

What parts of the training could be improved?

Other comments and feedback:

Thank you for completing this training evaluation form.
Your response is appreciated.

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ASEAN Standards and Certification for Experts in Disaster Management

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