

**LEARNER'S  
GUIDE**



**TECHNICAL COMPETENCY UNIT**



# **ADM.TEC 004.1**

Identify Various Types  
of Assessment



## **ASCEND**

ASEAN Standards and Certification  
for Experts in Disaster Management

## ASEAN Standards and Certification for Experts in Disaster Management

# IDENTIFY VARIOUS TYPES OF ASSESSMENT

## ADM.TEC.004.1

### Learner's Guide



ONE ASEAN  
ONE RESPONSE



#### Project Sponsors:



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.

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ASCEND programme and  
Toolbox:

# Introduction



**ASCEND**

**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 socio-economic 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

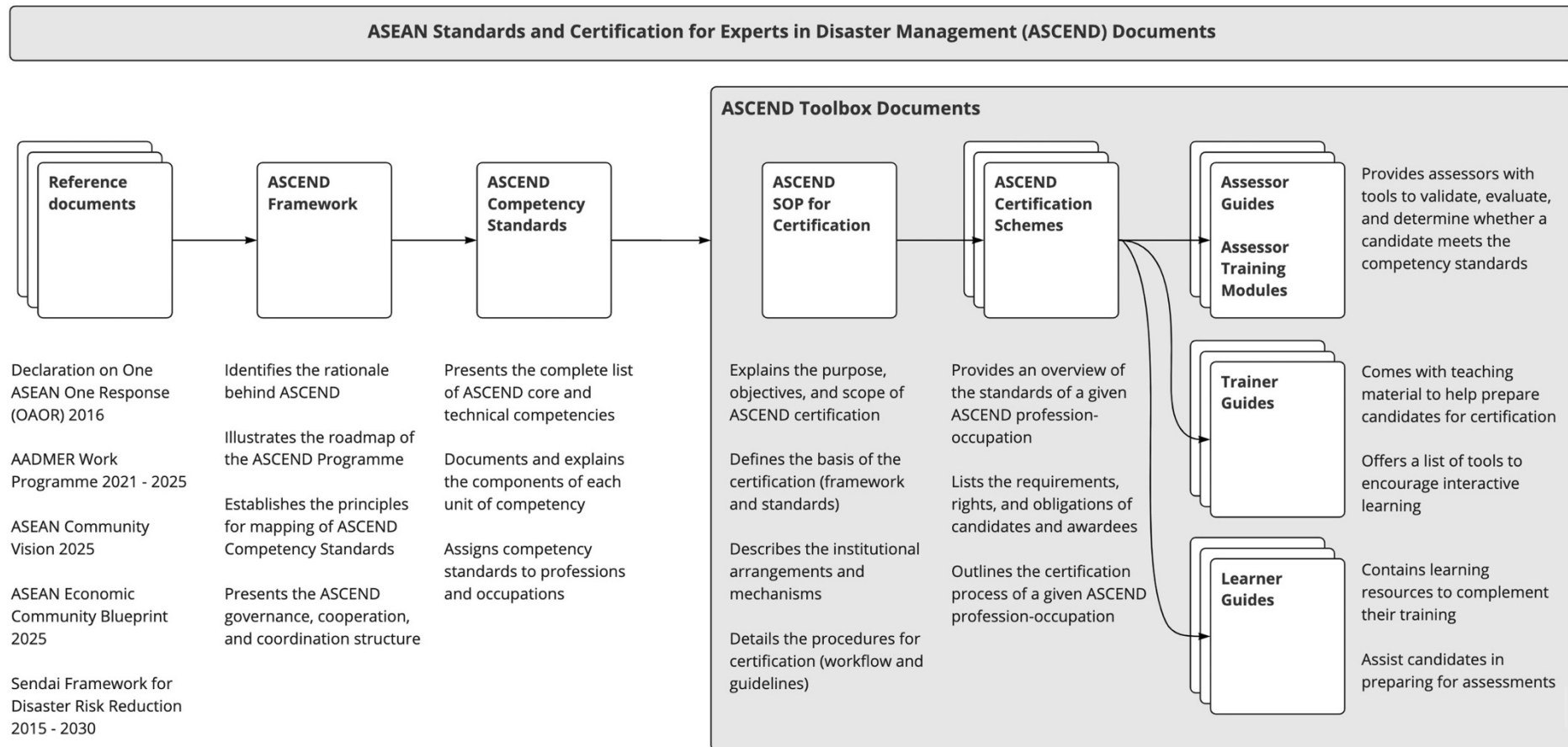
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management 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.

Figure 1: Overview of ASCEND Toolbox Documents







# The Learner's Guide: Introduction for Candidates



**ASCEND**

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
<b>Experience</b>	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.
<b>Knowledge</b>	Refers to what the candidate needs to know to make informed decisions on how to perform the work effectively.
<b>Skills</b>	Refers to the ability of the candidate to apply knowledge to complete occupational tasks and produce work outcomes or results at the standard required.
<b>Attitudes</b>	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



## ASCEND

## 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 it reflects changes in the disaster management profession and remains relevant. Table 2 describes its main components.

**Table 2:** *Components of the ASCEND Competency Standards*

Component	Description
<b>Unit title</b>	Describes the critical work function to be performed in an occupation
<b>Unit number</b>	<p>A coding system to organise the units of competency. It also indicates the types of competency standards.</p> <ul style="list-style-type: none"> <li>ADM.<b>COR</b>.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.</li> <li>ADM.<b>TEC</b>.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.</li> </ul>
<b>Unit description</b>	Provides information about the critical work function covered by the unit.
<b>Elements</b>	Presents the occupational tasks required to perform the critical work function in the unit.
<b>Performance criteria</b>	Lists the expected outcomes or results from the occupational tasks to perform and the standard required.

**3.3**

## Unit descriptor

**Unit title:** Identify Various Types of Assessment

**Unit number:** ADM.TEC.004.1

**Unit description:** This unit covers the ability to identify types of assessment in humanitarian settings, assessment continuum and learning from the assessment experiences.

### Element 1.

#### Describe types of humanitarian needs assessments

##### Performance Criteria

- 1.1 Distinguish joint, harmonised, and uncoordinated assessments
- 1.2 Describe advantages and disadvantages of each type of humanitarian needs assessment

### Element 2.

#### Explain assessment continuum in a humanitarian setting

##### Performance Criteria

- 2.1 Explain phase one of the assessment
- 2.2 Describe phase two of the assessment
- 2.3 Explain phase three of the assessment
- 2.4 Describe phase four of the assessment
- 2.5 Identify assessment preparedness measures

### Element 3.

#### Explain assessment continuum in a humanitarian setting

##### Performance Criteria

- 3.1 Describe benefits arise from humanitarian needs assessments
  - 3.2 Identify challenges and provide potential solutions to overcome the challenges
  - 3.3 Describe humanitarian needs assessment in urban settings
- 1.3

## 3.4

# Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
<b>AJDRP</b>	ASEAN Joint Disaster Response Plan
<b>CODs</b>	Common Operational Datasets
<b>IASC</b>	Inter-Agency Standing Committee
<b>IDP</b>	Internally Displaced People
<b>JAM</b>	Joint Assessment Mission
<b>MIRA</b>	Multi-Cluster/Sector Initial Rapid Assessment
<b>NARE</b>	Needs Assessment for Refugee Emergencies
<b>OCHA</b>	United Nations Office for the Coordination of Humanitarian Affairs
<b>PDNA</b>	Post Disaster Needs Assessment
<b>RPA</b>	Rapid Protection Assessment





# Unit Readings and Activities



**ASCEND**

**4.1**

## Element 1. Describe types of humanitarian needs assessments

Emergency needs assessments will vary based on the context of a crisis. In a major internally displaced people (IDP) situation or other non-refugee humanitarian crises where international actors participate, an assessment tool, namely Multi-Cluster/Sector Initial Rapid Assessment (MIRA), is often adopted to structure an emergency need assessment. In refugee situations, other assessment approaches are applied, including:

- **Joint Assessment Mission (JAM)**  
With the objectives of documenting the food security and nutritional situation of refugees and/or returnees and identifying effective food security, nutrition, and/or livelihood interventions to protect and ensure the food security and nutritional status of refugees/or returnees.
- **Needs Assessment for Refugee Emergencies (NARE)**  
It's an initial multi-sectoral needs assessment checklist for undertaking joint rapid assessments in refugee emergencies. NARE promotes the cross-analysis of information from multiple methodologies across multiple sectors to ensure a rapid, relatively complete picture.
- **Rapid Protection Assessment (RPA)**  
It is designed to identify key protection concerns in the emergency and gaps in response and capacities, considering the coping strategies and preferences of affected populations.

This document is developed with a focus on MIRA in a disaster setting caused by natural hazards events

### 1.1 Distinguish joint, harmonised, and uncoordinated assessments

#### A. Introduction

Following a rapid-onset disaster, multiple organisations will carry out assessments. In this performance criteria, we will learn likely consequences if those organisations conduct individual, independent or uncoordinated assessments in which outputs are incomparable to those who work together through a joint or harmonised assessment.

## B. The Importance of Data Analysis

- **Coordinated assessments**

are those planned and carried out in partnership with humanitarian actors? It is planned and carried out in partnership with humanitarian actors to document the impact of a particular crisis and identify the needs of affected populations. The results are shared with the broader humanitarian community to identify the needs of the affected population.

The term “coordinated assessments” includes both joint and harmonised assessments. Such assessments range from inter-and intra-cluster/sector joint assessments to harmonised single-agency assessments.

- **Harmonised assessments**

occur when agencies collect, process and analyse data separately, but where the collected data is sufficiently comparable (because of the use of common operational data sets, key indicators, and geographical and temporal synchronisation) to be compiled into a single database and used in a shared analysis.

- **Joint assessments**

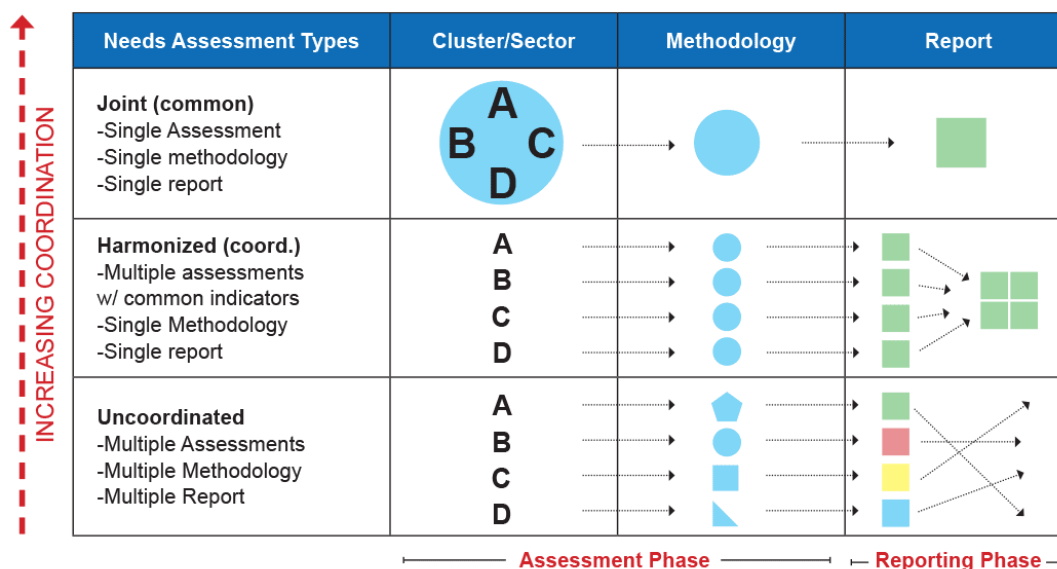
occur when data collection, processing, and analysis form one single process among agencies within and between clusters/sectors, leading to producing a single report. This is sometimes also referred to as a “common assessment”.

- **Uncoordinated/independent assessments**

are those performed individually by any particular organisation that often lead to exclusive processing and analysing of data and information. In general, such data are not interoperable, and information cannot inform the overall analysis across sectors and organisations.

In the context of a major sudden-onset disaster and during the first two-week of its response, coordinated assessment should be advocated to be implemented as quickly as possible.

Figure 2: Comparison of Assessment types



## C. Key Activities

A rapid assessment officer and manager need to ensure the following critical actions for harmonised assessments:

- **Ensure the geographical and temporal synchronisation of assessments**

While data collection, processing, and analysis may be undertaken separately, there is coordination on the timing and location of the assessments. When assessments tackle similar topics or themes, geographic coverage should be complementary. When assessments address different topics or themes, they should be done in the same locations. This approach will generate complete data sets for locations rather than partial data sets from many locations. The same applies to timing. When covering different topics or themes in a single geographic location, assessments should be done more or less at the same time to allow inter-sectoral analysis.

- **Use a consistent set of common operational datasets (CODs)**  
 It is essential to aggregate and compare assessment information throughout the emergency cycle. By using CODs, agencies can ensure

their ability to correctly interpret and compare data that crosses from one information source to another.

- **Use a consistent set of agreed sectoral indicators**

A consistent and commonly agreed set of indicators is key to harmonising assessments. Data disaggregation by age, sex, and diversity is vital in all assessment phases. The selection of indicators should be prioritised according to who needs the information and for what purposes. We must understand what information is needed, the scope of the assessment, and what might be an appropriate data collection methodology. They can also advise on the format of the indicators, geographic and demographic disaggregation, population figures, data collection methodology, and the analysis plan for the data.

- **Establish a process for collating data from multiple assessments**

When possible, the collation of assessment data should include primary and secondary data facilitated by Common Operational Datasets. Cluster/sector members are encouraged to collect data on the agreed-upon indicators and use the same platform to present results on needs, gaps, and coverage within their sector. Decisions about how the data will be processed and presented should be based on the preferences of the audience and decision-makers. All data should be disaggregated by sex and age to the extent possible.

- **Establish a process for conducting intra- and inter-sectoral data analysis**

The value of coordinated assessments lies largely in developing a shared analysis of the situation. Individual clusters/sectors are responsible for compelling, coherent and collaborative sectoral analysis. Without it, there cannot be a solid inter-sectoral analysis. Once the sectoral data analysis is completed, an inter-sectoral analysis can start.

A rapid assessment officer and coordinator need to ensure the following critical actions for joint assessments:

- **Agree on collaborative arrangements when conducting a joint assessment.**

Clear and agreed-upon roles and responsibilities for those involved are crucial to the success of joint assessments and help build broad ownership. Collaborative arrangements should cover the process of preparing, organising, managing and disseminating the assessment results. For this reason, those responsible for its organisation should

bring programming, technical, and negotiation skills to coordinate complex processes.

- **Jointly design and plan the assessment**

Participants of a joint assessment should agree beforehand on the primary data collection methodology. In other words, they should have defined the purpose of the assessment, developed the analysis plan, selected the sampling method and subsequent geographic coverage, chosen the data collection instruments, and identified the questions for inclusion in the questionnaire. Planning the assessment should include agreeing on its geographic coverage and time frame, the training of the assessment team, and the human, financial and logistic needs. Where possible, generic assessment forms should be adapted to the context.

- **Jointly collect, analyse and interpret assessment data**

Assessors need to be identified, organised and trained before going to field locations to collect the data. It is essential to agree on the process for cleaning, analysing and interpreting assessment data. Procedures for conducting intra- and inter-sectoral data analysis should be well defined.

- **Ensure the clearing of assessment results and a shared communication strategy**

The accuracy of an assessment report should be verified and cleared prior to its dissemination. The report must remain strictly confidential until cleared by the assessment team. Assessment results should be communicated to decision-makers incrementally whenever relevant information becomes available. Final results need to be communicated rapidly and highlight any significant gaps and/or limitations in the assessment data.

When possible, assessments should be translated into a standard or local language and distributed widely to an array of different stakeholders and through a variety of distribution channels (verbal, electronic, printed, and/or news media). Sharing/disseminating the raw data can increase transparency and allow for more in-depth cluster/sector-specific analysis

Key actions for uncoordinated or independent assessment are certainly up to the pertinent organisation. Unless there is a justified need to conduct an individual assessment within the first two weeks following a major sudden-onset disaster, it should be avoided.

## 1.2 Describe advantages and disadvantages of each type of humanitarian needs assessment

### A. Introduction

As we learn about types of needs assessment, we need to know about the advantages and disadvantages of each type so that we can implement them effectively.

Please remember that those different types of needs assessment are designed at the global level for large-scale sudden-onset disasters. We should adapt and apply them according to the disaster context.

### B. Advantages of harmonised and joint assessments

When carried out properly, both harmonised and joint assessments have the following advantages:

- Promote a shared vision of needs and priorities among participating organisations
- Establish an understanding of priority needs from an integrated perspective, as each participating organisations contribute their expertise
- Increase coverage of disaster-affected areas and populations being assessed through primary data collection.
- Use resources more efficiently, as coordinated assessment minimises duplication of efforts
- Better information on the humanitarian situation can be provided to decision-makers, including government and donors
- Encourage coordination during the response. Following coordinated assessment activities, participating organisations are encouraged to coordinate implementing, monitoring, and evaluating the humanitarian program.
- Provide a foundation for response planning
- Minimise beneficiary ‘assessment fatigue.’
- Support shared monitoring and promote inter-agency learning
- Obtain a more comprehensive picture of needs
- Allow clusters and agencies to analyse and decide on the most appropriate strategies and to support affected countries, as gaps can

be identified with greater precision and consistency between and within-cluster/sectors is ensured

### **C. Coordinated assessment disadvantages**

In turn, coordinated assessment has some disadvantages as follow:

- It requires more time to prepare and reach an agreement among many actors involved. Ideally, the preparations of coordinated assessment start before disaster occurrence.
- The long process may lead to less relevant outputs, especially if the disaster situation changes dramatically after primary data collection. Significant assistance may have arrived during coordinated assessment analysis and reporting and thus should be re-assessed.
- It requires commitment from participating organisations. Their expertise may have other priorities to respond to besides contributing significantly to the coordinated assessment

### **D. Individual or uncoordinated assessment**

It has its own advantages and disadvantages, as follow:

- Advantages
  - Relatively quicker, especially if the geographic areas to be assessed is not wide.
  - It is helpful to confirm the situation in a relatively small area against the general situation
- Disadvantages
  - When carried out by various organisations in the same target area, it causes assessment fatigue.
  - Incomparable results can be expected as individual assessments may have incompatible datasets and different ways to collect and analyse data
  - Since individual assessments can lead to different and incomparable results, decision-makers, especially governments and donors, may lose interest if there are contradictory outputs. Ultimately, people in need may not receive the proper assistance.



## E. Summary

- Describe types of humanitarian needs assessments  
Distinguish between joint, harmonised, and uncoordinated assessments
  - Coordinated assessments are those planned and carried out in partnership by humanitarian actors. The results are shared with the broader humanitarian community to identify the needs of the affected population.
  - Uncoordinated/independent assessments are when datasets are not interoperable, and results cannot inform the overall analysis.
  - A coordinated assessment should be promoted in the context of major sudden-onset disasters and during the first two-week of its response.
- Describe the advantages and disadvantages of each type of humanitarian needs assessment
  - Each type of humanitarian needs assessment has its advantages and disadvantages, which depend highly on disaster context and assessment purposes.
  - Coordinated assessment has key advantages. Its advantages include commonly agreed results and efficient use of resources, while its disadvantages include a higher commitment for resources and a longer process to prepare and carry out.
  - Uncoordinated or individual assessments are faster and more appropriate for relatively small geographical areas, but they can cause fatigue if they target the same people in a particular population. Their results tend to be incomparable, as they use different methodologies and tools.

**4.2**

## **Element 2. Explain assessment continuum in a humanitarian setting**

### **2.1 Explain phase one of the assessment**

#### **A. Introduction**

Phases of need assessment were developed to enhance our understanding of rapidly changing disaster situations. In the first days, medical personnel prioritise their work on critical injuries treatment, and thus it may be untimely to seek information from them through a questionnaire or group discussion. Likewise, seeking a likely scenario from the contingency plan on the second month after a disaster to start recovery activities may not be useful since we should get better information. Therefore, phases of the assessment guide our thinking on the correct data to be collected and analysed and the right information that we need.

Implementation of these need assessment phases depends on many factors, including the magnitude of the disaster. Each phase has an indicative timeframe. Smaller disasters will have a shorter timeframe, so that the assessment continuum may need adjustments. In more minor disasters, these assessments may be overlapping.

Assessment approach depends on the phase in which the assessment is conducted. Three factors influence the approach:

- how time-critical the assessment results are
- quantity and type of information required
- human and financial resources

Referring to the Inter-Agency Standing Committee's Operational Guidance for Coordinated Assessments in Humanitarian Crises, the Assessment Framework has the following phases:

- Initial or preliminary assessments, carried out during Phase 1 (indicative time: the first 72 hours)
- Rapid assessments carried out during Phase 2 (the first and second weeks)
- In-depth assessments carried out during Phase 3 (the third and fourth weeks)

- In-depth assessments, including on recovery needs, carried out during Phase 4 (fifth week onwards)

An assessment framework presents the approach to follow during each of the four Phases, including the recommended types of assessments and their purpose, the methodology for data collection, the link to funding proposals, and key outputs.

## B. Phase one characteristics

Table 3: Characteristics of first phase

Variable	Remarks
<b>Focus</b>	Measure the scale and severity of disaster impact, forecast its evolution, locate affected populations and identify priority needs
<b>Timeframe</b>	3 days
<b>Sources</b>	Mostly secondary data sources with primary data from remote sensing and direct observation in a limited number of purposively selected sites
<b>Resources</b>	Mainly provided by national authorities and key actors, including Red Cross/Red Crescent, resident UN agencies and NGOs
<b>Reporting</b>	Initial or Preliminary assessment report or potential scenario for a response that should be used to advise affected government, inform initial response decisions and estimate preliminary emergency funding needs

The report of phase one should, therefore, briefly summarise:

- the severity of the disaster (without necessarily providing precise figures);
- actions being taken locally;
- local coping capacities (including locally available resources);
- the immediate priorities for external relief, where it is required and in approximately what quantities;
- possible, if there are alternatives, suggest the best logistical means of delivering that relief, and;
- a forecast of possible future developments, including new risks

## 2.2 Describe phase two of the assessment

### A. Introduction

In this phase, a multi-sector/cluster initial rapid assessment is advisable. All organisations involved in the process should have a common methodology to compare their data, analysis, and report. An Assessment and Information working group may be developed to ensure the quality of the assessment. The group will accommodate the use of common operational datasets and key indicators.

### B. Phase two characteristics

Table 4: Characteristics of the second phase

Variable	Remarks
<b>Focus</b>	The overall impact of the crisis and strategic humanitarian priorities
<b>Timeframe</b>	14 days
<b>Sources</b>	Mix of secondary and primary data. Primary field data collected jointly from purposively selected locations spread across affected areas and chosen based on access, timing, resources and purpose of the assessment
<b>Resources</b>	Mainly provided by national authorities and key actors, including Red Cross/Red Crescent, resident UN agencies and NGOs.
<b>Reporting</b>	Rapid assessment report with cross-cluster/sectoral analysis and conclusions, which should be widely shared with the humanitarian community and responding organisations

While different organisations may have varied definitions of rapid assessment, it generally has an indicative timeframe of two weeks after sudden onset disaster and must cover different needs or sectors.

## 2.3 Explain phase three of the assessment

### A. Introduction

Assessment data and reports from previous phases of assessment should be made available for this phase, focusing on a single sector/cluster in-depth needs assessment. In this phase, assessments will give a detailed situation and trend analysis of needs and responses from each sector/cluster. Primary data collection should be undertaken jointly to increase consistency and efficiency. Information collected by sector/cluster members should be compiled into a database consisting of agreed key indicators.

### B. Phase three characteristics

**Table 5:** *Characteristics of third phase*

Variable	Remarks
<b>Focus</b>	Situation and trend analysis, as well as operational planning in each sector
<b>Timeframe</b>	After one month
<b>Sources</b>	Increase primary data sources, such as monitoring systems and joint assessment. Joint assessment will now also include a representative sampling
<b>Resources</b>	Mainly provided by the Cluster/Sector lead agency and members
<b>Reporting</b>	Intra- and Inter-cluster/sector in-depth reports.

While it is clear that coordinated assessments do not replace or eliminate the need for sector/agency-specific assessments necessary for operational programming, it is important to ensure that sector-specific assessments are effectively coordinated to use resources more efficiently. It is then necessary to promote and support the re-design of sectoral assessments to become more harmonised. A more coordinated assessment can be achieved by: defining a core set of indicators across all sector-specific assessments, defining a common unit of analysis, developing data-sharing platforms and joint analysis protocols, and promoting the adoption of data sharing.

## 2.4 Describe phase four of the assessment

### A. Introduction

In this phase, recovery considerations are more emphasised. When humanitarian needs are largely met, the pressure for disaster recovery is increasing. The host government perhaps formally end the emergency response period and start the recovery phase, although there is no clear cut between emergency relief and recovery needs.

In principle, recovery considerations need to be integrated into humanitarian assessments and programming. A stand-alone report is produced when a government requests a formal Post Disaster Needs Assessment (PDNA), including a recovery framework and plan after a PDNA. The PDNA collects information on economic damages and losses and the recovery priorities - including the human development needs of the affected population - into a single consolidated assessment report. This information is used as a basis for developing a comprehensive recovery framework, which will guide the design and implementation of early and long-term recovery programmes and help determine international development assistance needs.

### B. Early Recovery Framework

An early recovery framework is an approach that addresses recovery needs that arise during the humanitarian phase of an emergency, using humanitarian mechanisms that align with development principles. Early recovery framework adopts the following guiding principles:

- National ownership
- Participatory of practice
- Initial assessments of needs and capacities
- Understanding the context
- Do no harm
- Risk reduction and conflict prevention
- Equality and local capacities
- Gender equality
- Cross-cutting issues
- Synergy between different actors
- Accountability

In early recovery assessment, the main purpose is to find out how the disaster has impacted on:

- people's means of making a living, including their assets and activities (livelihoods);
- people's ability to safely and adequately shelter themselves (beyond the first days/weeks);
- health, including the effects of trauma on people's ability to recover;
- access to key services such as health, water and sanitation, electricity, transport, and education;
- people's vulnerability and strategies for coping with the disaster

The assessment should also facilitate a better understanding of:

- the interaction of livelihoods, shelter, health, WASH, food, and access to key services in terms of reducing or increasing people's vulnerability and ability to cope;
- people's own assessment of their key needs and highest priorities;
- the capacity and interest of International Federation members to respond, particularly the National Society of the affected country;
- whether there are any stakeholders, policies or processes that may positively or negatively affect the ability to respond to the priority needs identified by the affected communities;
- what other organisations are doing, so that programmes or activities are not duplicated

It should be noted that many organisations, including the AHA Centre, differentiate needs assessment into three phases (note that Phase 3 and 4 in MIRA is instead combined into Phase 3: in-depth assessment). The following are their common understanding of practices:

Criteria	Initial Assessment	Rapid Assessment	In-depth Assessment
<b>Objectives</b>	<ul style="list-style-type: none"> <li>▪ Define the scale and severity of the crisis.</li> <li>▪ Estimate women, men, girls, and boys in need.</li> <li>▪ Identify and locate affected</li> </ul>	<ul style="list-style-type: none"> <li>▪ Define the impact of a crisis.</li> <li>▪ Estimate women, men, girls, and boys in need by population groups of concern.</li> <li>▪ Assess the severity of needs of affected groups and areas.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Envision comprehensive, durable solutions that inform needs assessment.</li> <li>▪ Define and quantify needs, including more in-depth sectoral and operational information.</li> </ul>

	<p>populations and groups considering age, gender, and diversity.</p> <ul style="list-style-type: none"> <li>Establish key priorities.</li> <li>Define access constraints.</li> </ul>	<ul style="list-style-type: none"> <li>Capture views of different groups of affected populations through consultation.</li> <li>Establish key priorities with affected populations.</li> <li>Identify information gaps.</li> </ul>	<ul style="list-style-type: none"> <li>Provide detailed and statistically representative data.</li> <li>Capture representative views of affected populations through joint consultation with them.</li> <li>Establish a baseline for needs and response monitoring</li> </ul>
<b>Type of decisions to inform</b>	<ul style="list-style-type: none"> <li>Initial response decisions.</li> <li>Rapid assessment design.</li> <li>Emergency funding appeals.</li> </ul>	<ul style="list-style-type: none"> <li>Initial planning of humanitarian response.</li> <li>Define focus for subsequent in-depth assessments.</li> <li>Provide recommendations for strategic planning.</li> </ul>	<ul style="list-style-type: none"> <li>Inform detailed planning and scope of humanitarian relief, early recovery, and durable solutions.</li> <li>Adjust ongoing response.</li> <li>Provide recommendations for the programme and operational planning.</li> </ul>
<b>Timeframe</b>	3-5 days	2-4 weeks	1-4 months
<b>Design</b>	<p>Secondary data analysis only.</p> <p>Small number of field visits, if feasible.</p>	<ul style="list-style-type: none"> <li>Secondary and primary data analysis.</li> <li>Primary data is gathered at the community level.</li> <li>Qualitative research methods.</li> </ul>	<ul style="list-style-type: none"> <li>Secondary and primary data analysis.</li> <li>Primary data is gathered at the community, institution, household, or individual level.</li> <li>Quantitative and qualitative Research methods.</li> </ul>
<b>Sampling strategy</b>	Convenience/ purposive sampling	Purposive sampling	Representative sampling
<b>Data collection techniques</b>	<p>Flyover, direct observations, key informant interviews.</p> <p>Field tool: Checklist</p>	<p>Community group discussion, key informant interviews, direct observation, focus group discussion (in some instances).</p> <p><i>Field tool:</i> Semi-structured questionnaire</p>	<p>Household/individual interviews, highly stratified focus group discussions, direct observation.</p> <p><i>Field tool:</i> Structured questionnaire</p>



<b>Unit of measurement</b>	Province, district, or sub-district; community or village	Community/institution	Community, household, individual
<b>Resources</b>	Minimal time and resources	Limited time and resources	Sufficient time and resources
<b>Cost</b>	\$	\$\$	\$\$\$
<b>Outputs</b>	Secondary data review Report. Emergency call or appeal.	Sector/multi-overview reports. Prioritisation of needs and responses, geographic locations, and population sub-groups.	Detailed thematic reports thematic/multi-assessment

## 2.5 Identify assessment preparedness measures

### A. Introduction

Preparedness is key for successful coordinated assessment as a part of much larger emergency preparedness work. Humanitarian organisations have to maintain a good level of preparedness at the organisation, team and individual personnel level.

The IASC Guideline of Emergency Response and Preparedness provides comprehensive preparedness actions to enhance our response effectiveness at the global level. ASEAN has developed the ASEAN Joint Disaster Response Plan in the region, promoting disaster preparedness facing major disasters.

### B. Key Preparedness Activities

The following activities are recommended to prepare for coordinated assessments:

- **Raise awareness**

Use the preparedness phase to advocate for coordinated assessments. Target to increase knowledge and understanding of coordinated assessments and collective analysis.

- **Agree on assessment coordination structures.**  
Identify key stakeholders for the assessment preparedness processes and the support provided. Maximise the use of existing coordination mechanisms, especially for inter-cluster/sectoral coordination for preparedness and contingency planning.
- **Review existing assessment planning**  
It's particularly for government contingency planning, assessment formats and approaches. Review technical guidelines that have been produced and used.
- **Set out collaborative arrangements relative to the assessment**  
Agree on standard operating procedures and draft terms of reference for an Assessment Working Group. Develop partnerships with national research institutions and other national bodies with data collection capacity.
- **Prepare Common Operational Datasets and identify key humanitarian indicators to be collected**  
These activities allow comparable analyses between organisations that conducted assessments.
- **Compile baseline data and risk analyses**  
Work with 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.
- **Develop assessment tools and data collection methodology**  
This includes adapting standard operating procedures, reporting formats, information requirements and questionnaires.
- **Ensure the organisation of logistics and human resources**  
This includes securing agreements for the funding and transportation of required equipment. Identify participants for the assessment team, ensure an appropriate gender balance, and train in-country capacity where needed.

- **Define the parameters of the assessment design**

Clarify the purpose and audience, the targeted phases and the methodologies. Identify how the information will be collected, processed, and analysed. 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.

### 4.3

## Element 3. Identify lessons on humanitarian assessments

Needs assessments help to inform a broad range of decisions. Based on humanitarian practices around the globe, the following table describes the appropriateness of conducting a needs assessment.

Table 6: *Need assessment*

Needs assessments are appropriate and recommended when:	Needs assessments are inappropriate and not recommended when:
<ul style="list-style-type: none"> <li>▪ A new crisis has emerged.</li> <li>▪ A sudden and/or substantial change happens in an existing crisis.</li> <li>▪ Additional information about a specific situation or decision-making (e.g., medium- and long-term strategies) is required.</li> <li>▪ Contingency planning is undertaken. A change of policy provides new opportunities.</li> <li>▪ New funding requires the identification of needs and prioritisation of resource allocation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Programmatic decisions have already been made, and the assessment results will have no operational relevance.</li> <li>▪ Additional information is not required.</li> <li>▪ Conducting an assessment will put data collectors, respondents or community members in harm's way.</li> <li>▪ An assessment's results will be incorrect or highly biased, or its effectiveness will be limited due to known factors.</li> <li>▪ The negative impact of raised expectations outweighs the benefits of data collection.</li> <li>▪ An affected population has reported that it feels over-assessed or will be negatively affected by a further assessment.</li> </ul>

### 3.1 Describe benefits arise from humanitarian needs assessments

#### A. Introduction

Assessment is key in Humanitarian Program Cycle. Good humanitarian program implementation requires good planning, resulting from robust assessment. Like in the general project management cycle of Planning-Organizing-Actuating-Controlling, a plan requires data and information. Thus we need to identify factors that contribute positively to a good assessment process and results.

#### B. Enabling factors

The following is key enabling factors that contribute to the success of assessments:

- **Strong leadership from the government**

It is safe to say that half of the battle has been won when the host government has a positive view and attitude toward assessments. A host government may not have adequate resources to engage in the assessment process systematically, but its support contributes significantly to successful assessment.

- **Clear coordination structure**

In countries where more robust and well-established coordination structures amongst humanitarian actors with clear leadership exist, this has been shown to facilitate the integration and willingness of stakeholders to participate in coordinated assessments and share information. However, building a more robust coordination environment takes time and demands continuous efforts:

- **Preparedness**

When there are sufficiently robust efforts on disaster preparedness, such as Risk Analysis and Contingency Plan, assessments will significantly benefit from them. The extent of preparedness to conduct assessments, including a clear definition of roles and responsibilities of all parties involved, agreed minimum set of indicators - by cluster- that should be collected/analysed jointly, as well as agreed data collection and analysis tools, speeds up the process of coordinated

assessments. In the ASEAN region, ASEAN Joint Disaster Response Plan (AJDRP) and OCHA-initiated RAPID Approach will help the assessment process and results.

In the aftermath of a disaster, little can be done about an absence of preparedness. Implementing an assessment in an emergency without some level of assessment preparedness has consistently proven challenging. Assessment preparedness involves agreeing in advance on the assessment content, structure and processes. Such agreement might include clarity in roles and responsibilities, coordination structures, what information will be collected, and how it will be collected, analysed, and shared.

- **Balanced and meaningful involvement between international stakeholders and national actors, since assessment design and planning stages**

This factor aligns with World Humanitarian Summit's call for an 'as local as possible' response. With the premise that local actors know better about the context and culture, they should play a more significant role in assessing.

- **Good experiences from previous assessments**

Good experiences felt by the host government and humanitarian actors on previous assessment contribute to whether they will engage in future assessment with similar design and tool. Thus, it is important to take lessons from previous assessments and incorporate them in designing an assessment.

- **Technology**

The use of appropriate technology, such as a mobile data collection platform, enables us to speed up data collection and processing, allowing the results of assessments to be released in a relatively short time, which subsequently contribute to good recommendations for humanitarian programming.

## 3.2 Identify challenges and provide potential solutions to overcome the challenges

### A. Introduction

Rapid assessment often faces various operational challenges. In this part, common challenges are identified to anticipate them with alternative solutions.

### B. Key challenges and potential solutions

There must be many other challenges that the assessment team may encounter. Still, the primary purpose of the following description is for us to detect them early and look for potential solutions before they arise. In a rapidly changing environment, it is crucial to be ahead of the game:

- **Human resources**

These challenges include inadequate staff in terms of number and capacity and staff turnover along the assessment process. Personnel or team assigned for rapid assessment must be selected as soon as the implementation of a rapid assessment is confirmed. For secondary data review, members of the team must be employable immediately. They should be dedicated for the entire duration to ensure quality assessment.

Taking the time to recruit appropriately skilled staff composing the right team may save time later in the assessment process. The more qualified the assessment teams are, the more accurate and reliable the outputs. Include people who speak the language of the area to be assessed. Have a mix of men and women of different ages within the team.

Make sure that national staff members are comfortable with the idea of going to the selected sites. For example, they may be from an ethnic or religious minority group that is poorly perceived in a particular area. Clear management lines in support functions are essential to smoothly running the assessment process. Lack of reporting lines and clear responsibilities may preclude the feasibility of the assessment. After all, assessment design should adapt to available human resources.

- **Time pressure**

The window of opportunity for an assessment is extremely short and requires rapid decisions. The earlier assessment starts after a sudden onset disaster, the better. Analyse available data when you can, although it is yet to be completed. Manage your time effectively, as the experience tells us that more time was allocated for data collection while much less time was left for data analysis and reporting. Ensure that the design and implementation of rapid assessment are based on the agreed dateline of the assessment report.

- **Poor analysis**

We need to ensure sufficient time for data analysis related to the above point. The analysis must be validated by sectoral experts or generalists with local context knowledge and emergency programming experience. It may be useful to include representatives of the population living in the affected area. Technical issues of analysis may include oversampling, lack of cross-sector analysis capacity, limited skills of enumerators, data reliability, and validity issues. The information managers need not be the people undertaking the analysis, but they can't be completely separated from the analysis and reporting.

- **Bias**

Ensure a balance in the perspectives of individual team members. Remember that all people have a bias at a different level and of different varieties. Their perceptions are based on cultural background, experience, professional training, and many other factors. Ensure team members are aware of their own biases and that team leaders challenge the team views and conclusions after each field visit. We may need to triangulate key information to check our biases.

- **Training or briefing**

Due to time constraints, training for joint rapid assessment usually lasts a few hours. It is recommended to have brief training to ensure consistency in the data collection process. In some extreme cases, only team leaders are trained, and they properly brief team members before going to selected affected areas. Inappropriate training leads to unreliable and invalid data. Brief training may save the time of data cleaning and management. Ensure they all receive the same training and be aware they may not continuously operate together.

- **Logistics and Administration support**

Be clear on who is responsible for providing logistical, financial and admin support for the field assessment. If financial arrangements are

planned, make sure they are formalised on paper. A dedicated administrator/logistician participating in the design, organisation and monitoring of the field data collection has proven to be extremely valuable in the context of a medium and large scale disaster.

A joint rapid assessment costs money. The lower the budget available for the assessment, the more important it will be to have dedicated support staff for logistics and administration. Pre-identifying support staff and pre-positioning logistic resources are key to ensuring a timely and efficient assessment.

- **Trust**

The majority of international actors may know each other institutionally but unnecessarily personally. When many actors who have not got to know each other are involved in the coordinated assessment, more time is required to get them familiar and gain trust. Trust may not become a challenge if the assessment coordinator can develop and maintain a good spirit among team members, despite their other pressing works.

- **Unequal partnership among participating agencies**

Perhaps unintentionally, a sector or cluster lead agency seemingly dominates the assessment team with its knowledge and expertise. When the other participating agencies feel uncomfortable, they may provide less substantial inputs to the assessment efforts than they can be. This situation can cause ineffective results of the assessment and should be addressed as early as possible by the Assessment Coordinator

- **Continuity**

Assessments are often seen as a one-time activity rather than a repetitive process. It is indeed a process of progressively collecting and analysing information. As information needs are refined over time, information should become more in-depth, sector-specific, and recovery-oriented. In many cases, an organisation that has continued its activities may be fully occupied with humanitarian program implementation, thus neglecting further assessment that informs updated situation. Thus, efforts should be made to persuade this organisation to maintain its engagement in further assessments.

- **Unclear link to decision making**

A humanitarian needs assessment process must provide relevant information to the right people at the right time throughout a crisis. Too



often, an assessment, particularly a multi-sector one, becomes an end in itself. The assessment content is influenced by information needs and agendas from different agencies and sectors. Still, it can be disconnected from the decision-making process for the particular phase of the crisis. There is often a lack of clarity about the key stakeholders who will be the end-users of the information and which decisions and documents the assessment should inform. The primary function of a coordinated assessment is to provide information to inform decision making.

- **Limited resources for assessments**

There must be a lack of or limited resources for assessments, including staff, logistics, and financial resources. Response plans and programmes usually do not include specific budgets for assessments. Actors' willingness to allocate resources for coordinated assessments depends on the level of buy-in to the assessment results and the perception of such exercises' benefits and value-added.

- **Sectoral/inter-sector balance**

Whilst there is a common agreement that coordinated assessments bring benefits and can help save more lives and restore livelihoods, organisations often struggle to balance contributing to joint assessments and to carry out their own. This challenge is faced whether post sudden onset disaster where humanitarian actors have developed their own sectoral/agency guidance.

### **3.3 Describe humanitarian needs assessment in urban settings**

#### **A. Introduction**

Despite perceptions that urban populations are better off than rural, there is increasing evidence that levels of urban poverty may be higher. Increased population density can increase vulnerability to disasters, especially among poor people.

While an increasing number of megacities with populations of more than 10 million is a novel feature of urban growth, more than 90 per cent of urban populations live in small or medium-sized cities, which may be more

vulnerable to disaster due to poor urban planning, infrastructure, finance and governance.

Assessment methodologies based on rural experience do not transfer comfortably to more complex population centres and are more expensive and administratively more demanding in urban areas. Existing assessment tools need to be adapted to urban areas, and new tools need to be introduced.

## **B. Key characteristics of an urban area**

- **Density**

Density may make access difficult, but it can also facilitate access due to the wide range of transport routes and proximity between communities. Urban density with a crowded built environment creates hazards not usually seen in rural areas. Population density also increases risks, including epidemics that spread more easily in cities. The specific risks associated with density should be considered during data collection, but so should the opportunities: human capital is much higher in cities; there is a broader range of skills and experiences to draw on.

- **Diversity**

Cities tend to be home to various social and economic backgrounds and various livelihoods and classes. Diversity may also extend to ethnic, linguistic, and religious groups in some cities. Since stratification is not necessarily spatial, rich and poor may live close, complicating assessment activities and requires more rigour in site selection and sampling strategy.

- **Industry**

Urban areas are more industrialised, and residents are more exposed to industrial hazards, including chemical, biological, radiological and nuclear materials. Usually, an expert assessment will need to be organised to assess specific industrial or environmental hazards, the expertise that may not exist in your organisation. Many industrial accidents present serious ongoing safety or health risks to assessment teams, and caution should be taken in planning site visits.

- **Security**

Insecurity is generally higher in urban areas and of a different nature. Urban assessment must consider criminality since crime incidence is much higher in urban than in rural areas. Safety measures and security

threats awareness should receive significant attention from the assessment team.

- **Mobility and Fluidity**

Migration in and out of urban areas is common, making it difficult to measure precisely the size and breakdown of urban populations at a given time. Within a city or town, people may commute from the area where they live to another or from the centre to the periphery for work or other reasons. Urban environments change more rapidly than rural. Assessment design must take account of this pattern.

- **Complexity**

It is helpful to think about urban space as a series of networks – not just physical, but also political, social, and economical. Residents will be members of multiple, overlapping networks, interacting at different points. This system of networks is made more complex by many of the other factors described in this section – mobility, density, adaptability, and so on. This is partly why a purely geographic approach to assessing urban areas is not the best approach.

In the context of assessments, the best way to understand complexity is to draw on a wide range of perspectives. Coordination and collaboration are therefore even more important in urban areas.

- **Legality**

Legal issues impact access to basic services and goods. Assessment teams must be aware of them, although only government can address them.

- **Connectivity**

Residents of urban areas have access to more and better communications infrastructure than in rural areas. Most residents will have multiple channels for receiving and sharing information. Mobile phones create the opportunity to collect more real-time information from disaster-affected areas, collect information from a wider area with less risk to assessment teams, and use data on phone usage and call patterns to identify trends.

## C. Assessment cycle in an urban context

The characteristics of urban settings increase the challenge of assessment. Each urban setting is unique and demands a modified data collection and

analysis approach to ensure that the information delivered is relevant and timely for decision-making. Nonetheless, the assessment cycle is the same.

The characteristics of urban settings mean that coordination is vital to successful urban assessment. We must be aware that while we might be used to working in sector-based clusters, urban environments require a coordinated, multi-sector approach. Without this approach, it will be impossible to build a full picture of humanitarian needs. Coordinated assessments should always involve government representatives and be led by local authorities when possible and appropriate. Urban areas are likely to have more government bodies with greater capacity and more significant investment in controlling relief and reconstruction. Cooperation should be based on a clear understanding of the political context and government bodies' intentions and capacities.

Urban areas have a higher concentration of private companies with all the resources. Therefore, it is vital to identify and engage with those who have committed or plan to commit to the response, what resources the private sector can deploy and how quickly, and how to coordinate to improve response.

Civil society in urban areas is more developed, diverse, and visible than in rural areas. Civil society organisations may take unfamiliar forms for humanitarian actors, but they are often likely to respond.

Data is usually more readily available for urban areas than rural ones, but their accuracy and reliability must be checked. Spatial maps (and map data) produced by public or private organisations should be gathered during secondary data review. These maps and their associated data can show vital pre-crisis information, particularly for issues such as population density, formal and informal areas, administrative divisions, residential and commercial zones, ethnicity and religion, and even patterns of livelihoods and vulnerability. Since research and archive bodies – either from government, academic, public or private – are based in urban areas, more secondary data is usually available for urban than rural areas. However, large-scale disasters can also lead to the destruction or loss of data.

The spatial and social organisation of cities is radically different to suburban or rural areas. Lack of information regarding informal settlements may complicate site selection, socio-economic diversity within a single neighbourhood may confound more common sampling techniques, population mobility. The selection of sites for assessment must be adapted to reflect these complicating factors. Resource and time constraints mean that statistically representative sampling is not usually possible directly after the

emergency, and purposive sampling will be most effective for rapid urban assessment.

Secondary data and spatial analysis may divide urban areas into smaller, more manageable units for assessment. Assessments demand that the city be broken down into a compact, homogeneous and coherent unit. Existing formal administrative divisions can be used, but these may be too big or too diverse. Alternative units may need to be defined; these may be electoral or school districts, religious subdivisions or networks, or self-defined units that are substantial enough to provide a helpful neighbourhood sample.

The usual criteria for site selection still apply (group and site characteristics, combined with areas where there are gaps in existing knowledge. Additional factors include the different characteristics of urban, peri-urban, and suburban areas; varying population density; the position of older and newer parts of the city; and key features such as transport corridors, municipal services, and marginal areas.

The complexity and diversity of urban areas require joint analysis by a range of stakeholders – not just operational staff from your agency with relevant knowledge and expertise, but staff from other agencies, government bodies, research or academic institutions, and so on. They should not be drawn only from the usual disciplines – disaster management, search and rescue, military and civil defence – but from professional backgrounds relevant to the urban context, such as urban planning, civil protection, first responders and utility providers.

Reporting should be dynamic and fluid: all sharing mechanisms (private and public) must enable frequent and regular updates that respond to changing decision-making needs. Reporting should be multi-channel, i.e. the same information re-purposed for print, broadcast and briefings with decision-makers and key stakeholders, and intervention-oriented, so that any recommendations from the assessment can be incorporated into operational planning quickly

## D. Summary

### Identify lessons on humanitarian assessments

- **Describe enabling factors for humanitarian assessments**  
Different factors can contribute positively to assessment: leadership, coordination, preparedness, meaningful involvement, experience, and

available technology. We should be able to get benefits from these factors for the assessment planning and conduct.

- **Identify challenges and provide potential solutions to overcome the challenges**

To name a few, limited resources, time pressure, flawed analysis, inadequate logistics and administration support, and unclear links to decision making are vital challenges for assessments that should be anticipated and addressed effectively.

- **Understand assessment in urban settings**

- Disaster in urban areas brings challenges characterised by density, diversity, industry, security, mobility and fluidity, complexity, legality, and connectivity.
- Although the assessment cycle remains the same, urban disaster requires a modified data collection and analysis approach



# Self-assessment Checklist



**ASCEND**



## 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.

<b>Instructions</b> Please tick (✓) the box if your answer is yes	<b>Questions</b>
<input type="checkbox"/>	Have I read the Learner Guide and understood its contents?
<input type="checkbox"/>	Have I attended, participated in, and completed all training sessions and activities?
<input type="checkbox"/>	Have I reviewed the learning resources to reinforce what I've learned in training?
<input type="checkbox"/>	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?
<input type="checkbox"/>	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



**ASCEND**

## 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



ONE ASEAN  
ONE RESPONSE

## ASCEND



## Recommended Readings

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

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

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

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

OCHA. (2014). *UNDAC Handbook 2014*. Switzerland. Accessible [here](#)

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

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



# Training Evaluation Sheet



**ASCEND**



## Training evaluation sheet

<b>Name of Training</b>				
<b>Competency unit title and number</b>	<b>ADM.TEC.004.1</b>	Identify	Various	Types of
	Assessment			
<b>Location of training</b>		<b>Date of training</b>		

<b>Instructions</b> Please tick (✓) your level of agreement with the statements below	<b>Strongly Agree</b>	<b>Agree</b>	<b>Neither Agree or Disagree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
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### Training content and facility

The training objectives were clearly defined and met.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training content was organised and easy to follow.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training material was relevant and useful to me.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The training facility is adequate and comfortable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 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?



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**What parts of the training could be improved?**

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**Other comments and feedback:**

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



# ASCEND

ASEAN Standards and Certification for Experts in Disaster Management

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