

1st Edition

**LEARNER'S
GUIDE**



CORE COMPETENCY UNIT

ADM.COR 003.1

Manage Humanitarian
Programme Cycle



ASCEND

ASEAN Standards and Certification
for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

MANAGE HUMANITARIAN PROGRAMME CYCLE

ADM.COR.003.1

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.

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.

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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 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 organizations 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

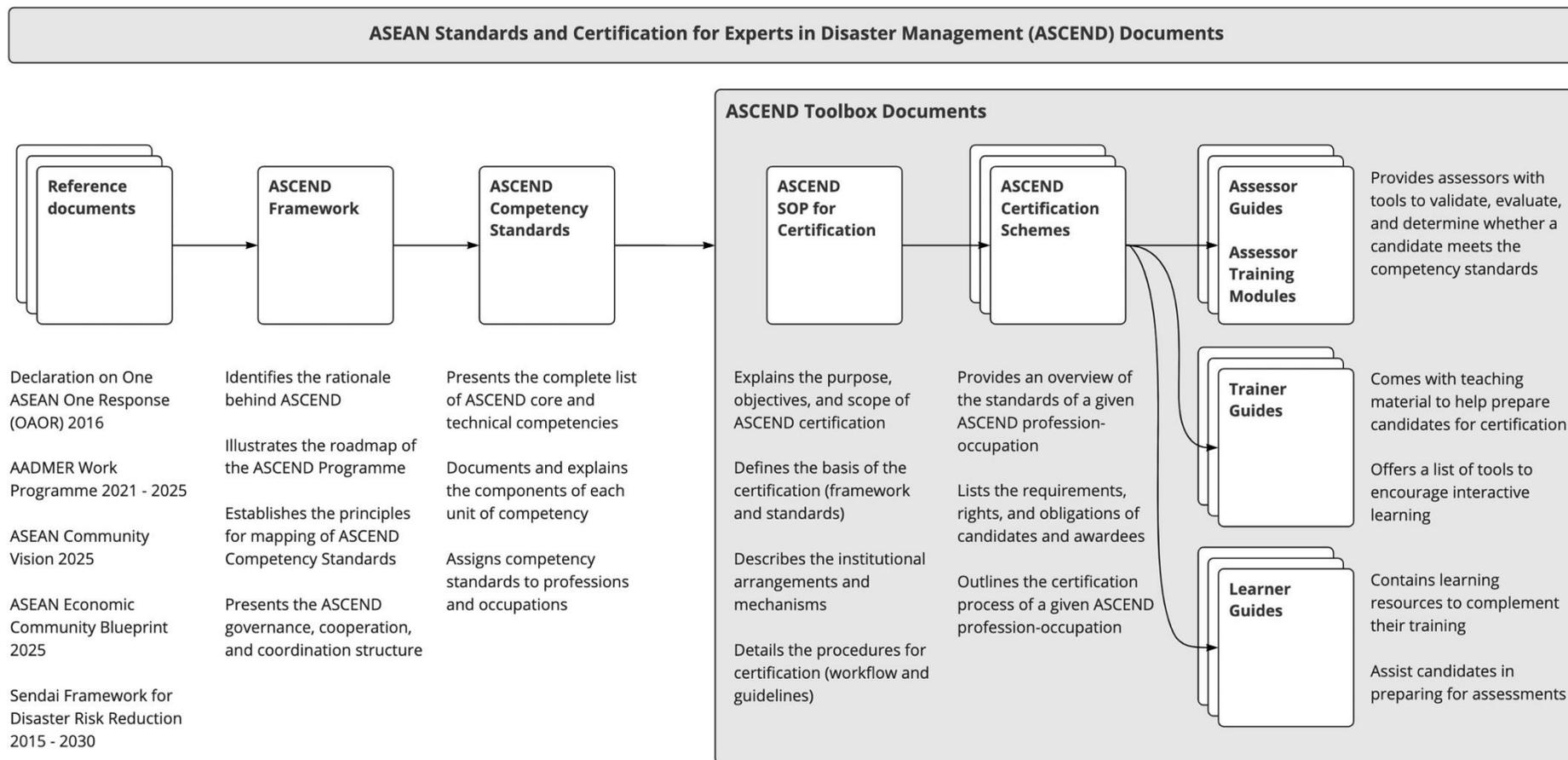
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management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



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 identifies 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. There is one SOP that 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
Unit title	Describes the critical work function to be performed in an occupation
Unit number	<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"> 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: **Manage Humanitarian Programme Cycle**

Unit number: **ADM.COR.003.1**

Unit description: This unit deals with the knowledge, skills, and attitude required to manage programmes in how the operations management cycle functions in emergencies

Element 1.

Conduct Humanitarian Assessment

Performance Criteria

- 1.1 Collect data and information
- 1.2 Identify needs and capacities of an affected population, key priorities for intervention, and estimate resource requirements

Element 2.

Plan Humanitarian Response

Performance Criteria

- 2.1 Prepare an emergency budget and request an allocation of initial resources.
- 2.2 Submit a detailed budget to create spending authority and be able to sign agreements with partners.
- 2.3 Revise operations plan

Element 3.

Identify the ASEAN Charter

Performance Criteria

- 3.1 Identify the capacity of available current and potential partners
- 3.2 Mapping capacity and potential partners
- 3.3 Mobilize resources to implement operation plan
- 3.4 Demobilize resources

Element 4.

Carry out Monitoring of Humanitarian Action

Performance Criteria

- 4.1 Identify monitoring plan
- 4.2 Collect humanitarian action data
- 4.3 Review humanitarian action data
- 4.4 Analyse gaps

Element 5.

Provide Timely Report

Performance Criteria

- 5.1 Update regular report
- 5.2 Establish reporting mechanisms with partner agencies as an integral part of their reporting
- 5.3 Adopt standard format and scope of issues in a consistent manner

Element 6.

Manage Humanitarian Action Evaluations

Performance Criteria

- 6.1 Carry out a real-time evaluation (RTE) of an emergency operation or humanitarian response
- 6.2 Improve operational decision-making

3.4

Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CBPF	Country Based Pooled Funds
CERF	Central Emergency Response Fund
ERP	Emergency Response Preparedness
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HPC	Humanitarian Programme Cycle
IARRM	Inter-Agency Rapid Response Mechanism
IAES	Inter-Agency Emergency Simulation
IAME	Inter-Agency Humanitarian Evaluation
IASC	Inter-Agency Standing Committee
ICVA	International Council of Voluntary Agencies
IFRC	International Federation of The Red Cross and Red Crescent Societies
INGO	International Non-Governmental Organization
MIRA	Multi-Cluster/Sector Initial Rapid Assessment
NO	Needs Overview

NGO	Non-Governmental Organisations
OCHA	Office for The Coordination of Humanitarian Affairs
PCA	Partner Capacity Assessment
PMR	Periodic Monitoring Report
SOP	Standard Operating Procedures
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination Team
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNFPA	United Nations Fund for Population and Development
UNHCR	United Nations High Commissioner for Refugees
USAID	United States Agency for International Development
WHO	World Health Organisations



Unit Readings and Activities



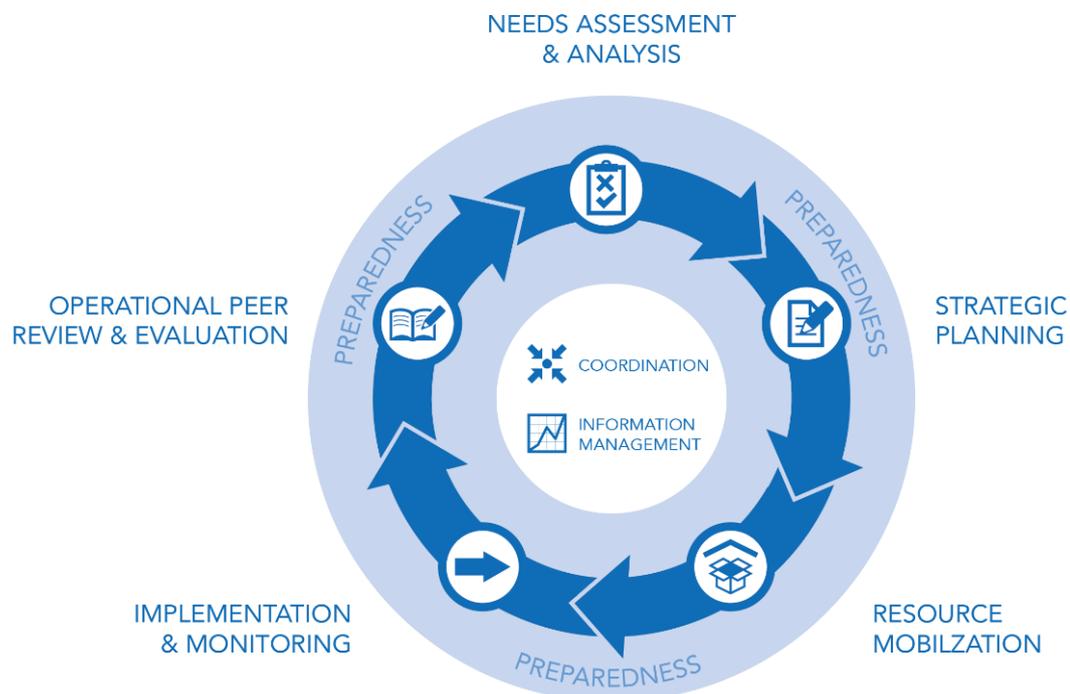
ASCEND

4.1

Element 1. Conduct Humanitarian Assessment

ASEAN, including AHA Centre, promote the importance of locally-led response in its member states. However, this standard was drafted with the assumption that some large-scale disasters in Southeast Asia, some key regional organisations (such as AHA Centre) and international humanitarian organisations (such as the United Nations Office for the Coordination of Humanitarian Affairs – OCHA), can also complement disaster affected-member states (host governments) in coordination roles by initiating collaborative rapid emergency need assessments.

Figure 2: Humanitarian Programme Cycle



The humanitarian programme cycle (HPC) is a management framework comprising a coordinated series of actions to help prepare for, manage and deliver emergency response operations. It consists of five elements, with one step leading to the next. An assessment team comprises a response officer, manager, and coordinators who plan and carry out a need assessment in coordination with other teams from different organisations to identify the needs of the affected population.

Need assessments can be defined as an organised activity ranging from collating, collecting, analysing, and updating data and information on an affected population's needs, capacities, resources, and the state of infrastructure and general socioeconomic conditions in a given location/area at a particular time of concern.

When a sudden onset disaster strikes, a joint needs assessment process is one of the necessary first steps facilitated by an assessment team, either from the affected (host) government or a group of non-state actors, including international humanitarian organisations (IHOs). Assessment teams from IHOs often adopt a joint assessment tool, namely Multi-Cluster/Sector Initial Rapid Assessment (MIRA). MIRA is an integral part of a larger frame of humanitarian assessments. It consists of two phases:

- **Phase 1 (0-3 days): Initial Assessment**

Ideally, MIRA is initiated by the government authority responsible for coordinating emergency assessment in an affected country. But MIRA can also be independently initiated by other humanitarian actors. Each assessment team will determine the scope, establish a timeline and a coordination structure and identify resources for implementation in consultation with Government authorities and in close coordination with other stakeholders, including humanitarian clusters. The next step is a systematic inter-sector review of an assessment team's available pre-crisis and post-crisis secondary data. The resulting situation analysis is focused on the needs such as the affected community profile, estimated number of people in need, and access to the affected areas).

- **Phase 2 (2 weeks): Joint Data Collection and Analysis**

On the basis of humanitarian needs identified during the review of secondary data, a field assessment is carried out to collect primary data through visits to affected areas and interviews with the affected communities. Secondary and primary data are analysed in a collaborative process to generate a MIRA report that will inform the next cycle of response analysis and strategic planning.

1.1 Collect Data and Information

A. Introduction

Affected people are not a homogeneous group, and response organisations acknowledge differences in experience and need due to sex, gender, ethnicity,

disability, age, and other social markers of exclusion. These differences should inform the implementation of the response. Cross-cutting issues such as gender, age, disability, and HIV/AIDS should be recognized and mainstreamed.

Gender equality is of particular importance; data disaggregated by sex and age should be collected in support of gender analysis, and the design, implementation, monitoring and evaluation of humanitarian programmes must take into account the implications for women and men, as well as other dimensions of diversity that can lead to exclusion. Hence, collecting data and information becomes a necessary and key element that must be carried out first in the humanitarian assessment.

B. Undertake secondary data review

Secondary data is crucial, especially when field data collection is limited by access and resources. It provides more detailed information and a baseline compared to primary data. The phase 1 secondary data review aims to identify gaps and subsequent information requirements. Phase 2, secondary data review, will continue and complement the data collected at the field level.

Secondary data review will continue throughout the assessment process (phases 1 and 2). The phase 1 secondary data review leads to a situation analysis that informs the HCT on day three and subsequently guides initial response planning. The secondary data review is based on an analysis of pre- and in-crisis secondary data:

- **Pre-Crisis Secondary Data**
 - Provides background information as it identifies pre-existing problems, vulnerabilities and risks.
 - Historical data helps identify patterns in priority needs. Past interventions provide evidence on how different groups might be affected differently.
 - Provides a baseline for assessing the impact of the disaster and helps differentiate between the impact of the crisis and pre-existing or chronic needs
- **In-Crisis Secondary Data**
 - Provides an understanding of the effects of the current crisis and, when compared with pre-crisis information, help assess the impact of the disaster

There are five steps for secondary data review and analysis:

- **Compile**
Locating tracking and compiling pre- and in-crisis information. Activities use available sources (e.g., media, government, national statistics office data, cluster/sector completed and ongoing assessments and remote sensing)
- **Organise**
Tagging information for easy retrieval and consolidation based on agreed themes and categories of groups, reliability and severity levels analysis. Activities including:
 - Use metadata (e.g., date, location, sector and affected groups, reliability and severity levels)
 - Design and implement data management procedures and standards (i.e., P-codes, tool for storing secondary data, assessment registry)
- **Validate**
Determining the usability of the information (relevance and completeness) and the trustworthiness of the information (reliability and credibility). Activities including:
 - Check collated data fit for purpose, size, shape, resolution, time period, etc.
 - Check sources' credentials, possible motives for bias, and a record of accuracy
 - Degree to which different information sources corroborate
- **Consolidate**
Summarizing data by similar grouping data and consolidating related findings in geographical areas, affected groups, and sectors
- **Analyse**
Undertaking sector-level analysis by subject matter experts from agencies or clusters and representatives of the affected population. And, if possible, joint and facilitated analysis to identify inter-sector priority needs and information gaps. Activities for analysis use the MIRA analytical framework as the basis for analysis and interpretation within and across sectors

C. Collect primary data

Based on findings from the initial assessment, the response coordinators will inform the high-level officials to decide whether to launch a phase 2

assessment, including a field assessment to collect primary data through visits to affected areas and interviews with the affected communities. Phase 2 is to fill information gaps identified in phase 1 and/or verify by ground-truthing consolidated findings and priority humanitarian needs.

Depending on the gaps identified, the scope and methodology will be set by the assessment team led by the assessment coordinator. Context parameters (risks and opportunities) must be considered when developing the assessment plan. In collecting primary data, several things need to be considered:

- **Refining objectives and information needs**

- Aims to find a balance between breadth and specificity of objectives. The assessment must be targeted and cannot meet all information needs of all parties. They should be decided by consensus and, at a minimum, refer to the sectors to be assessed, geographical scope, groups of concern, decisions to be informed and timeframe.
- Discuss issues surrounding information and how they will be addressed. Any changes in objectives or scope are to be communicated to all stakeholders. Record these in the MIRA Terms of Reference.
- Refine information needs and the MIRA framework in consultation with stakeholders by defining the categories of analysis to fit the context. The purpose is to focus on data collection and analysis.

- **Develop an analysis plan**

based on the revised and adapted MIRA framework, design analysis plan detailing on:

- what data to collect,
- where to access the information (secondary and/or primary data), and
- What type of analyses and comparisons? It will be required to interpret it (i.e., geographical or group comparisons, trends over time)

- **Methodology and tools**

Develop the analysis plan before designing the data collection tool(s) to collect only the valuable and necessary information. Such a focus also helps to assess the feasibility of the assessment. When all information needs and available resources have been considered, it is

possible to decide whether or not the assessment can be undertaken as initially planned.

Data collection tools in primary data include:

- A variety of data collection tools. Ensure they reflect information requirements and align with the analysis plan when selecting and designing tools
- Semi-structured questionnaires can be used to capture diversity and build a knowledge base when little is known about a disaster.
- When more is known about the disaster, more structured questionnaires can be used.

Data collection should be undertaken using a mix of direct observation (Do), key informant interviews (Kii) and community group discussions (CGD) for a description of the application, purpose and use of the techniques. Using a combination of techniques for an assessment is critical to ensure good quality data and an age-, gender- and diversity-sensitive approach

Table 3: Data Collection

Type	Means of Observation	Respondent Groups
Key Informant Interviews (KII)	(Semi) structured questionnaire adapted to data collection technique, expected respondent knowledge	Individuals with prior and specific knowledge of certain aspects of the community (e.g. community leaders, farmers, members of women's groups, health workers)
Direct Observation	Structured (looking for) and unstructured (looking at) observation (sounds, smells, visual impressions, taste, touch)	N/A
Community Group Discussion (CGD)	Interview a group of individuals to gain information on conditions, situations, and experiences of perception through group interaction.	Small population groups sharing certain characteristics (e.g. age, sex)

The use of mobile technology (i.e. smartphones, tablets, field computers) for field data collection is an increasingly common

approach. Mobile data collection can significantly reduce data entry error, the time and resources required to prepare the field data for analysis, and make for more flexible and agile data collection tools.

- **Site selection and target groups**

Purposive sampling is recommended to account for the differing impact of the disaster across population groups. It ensures that the assessment captures different types and levels of impact. The recommended sampling unit for MIRA Phase 2 is the community/affected group level.

- **Resource field assessment teams**

The structure and size of the assessment team will vary with the scope of the assessment undertaken, the volume of information to collect, the type of crisis and where the assessment takes place. Several hubs will need to be planned for and resourced in some situations. The assessment coordinator is responsible for anticipating and planning human, financial and material resources drawing from partners' staff and in-kind participation.

- **Organising field visit**

Before doing a field visit, it is necessary to ensure teams aware of the site selection plan and the planned procedure if a target group or site is inaccessible and have the necessary logistical means and administrative framework to conduct field assessment, including standard operating procedures and safety recommendations. Plan the following on a day-by-day basis:

- Which locations to visit
- How much information to collect?
- How to include local authorities in the assessments
- Planning team meetings and revising responsibilities

D. Summary

- Refining objectives and information needs
- Assessments can be defined as the set of necessary activities to understand a given situation, including collecting, updating, and analysing data on the population of concern and the state of infrastructure and general socioeconomic conditions in a given area.
- There are five steps for secondary data review and analysis: compile, organize, validate, consolidate, and analyse
- In collecting primary data, various things that need to be considered:

- Refining objectives and information need to find a balance between the breadth and specificity of objectives.
- Develop an analysis plan based on the revised and adapted MIRA framework and design analysis plan.
- Data collection methodologies and tools
- Site Selection and Target Groups ensure that the assessment captures different types and levels of impact.
- Resource Field Assessment Teams
- Organizing Field Visit

1.2 Identify needs and capacities of an affected population, key priorities for intervention, and estimate resource requirements

A. Introduction

Needs assessment and analysis provide the evidence base for strategic planning, the baseline information upon which situation and response monitoring rely, and later for operational planning, staffing and resource requirements. To enable inter-agency and inter-sectoral planning, it is important to coordinate assessments to conduct them jointly or through a harmonized approach.

In a collaborative assessment process, the generated information and analysis are collected using a single approach and shared and available to all humanitarian stakeholders. No organization is considered the owner of the data. Where a harmonized assessment approach is taken, agencies are encouraged to use standardized modules which allow for interoperable data, which, along with analysis, is made available to all stakeholders. All response organisations must inform and engage whenever possible with national and local authorities and people affected by the crisis throughout the needs assessment process.

B. Joint Need Assessment – Multi-Cluster/Sector Initial Rapid Assessment

The Multi-Cluster/Sector Initial Rapid Assessment (MIRA) is a joint needs assessment tool used in sudden-onset emergencies. It is a precursor to cluster/sectoral needs assessments and informs strategic planning. The MIRA

is implemented through a phased process of secondary and primary data collection, joint analysis and reporting. There are several purposes for these activities:

- To identify needs as expressed by affected communities.
- To determine key humanitarian issues based on several data sources.
- To provide an analysis of the need to underpin the humanitarian response plan.
- To identify gaps in needs assessments that need to be filled.

Since MIRA is an inter-agency process enabling actors to reach, from the outset, a common understanding of the situation and its likely evolution, humanitarian actors can develop a joint strategic plan, mobilize resources and monitor the situation. A joint needs assessment approach can also be used in protracted crises. Several steps must be taken to do a joint-need assessment

- Analyse pre-crisis and in-crisis secondary data and identify information gaps per cluster
- Agree on a needs assessment data collection tool that addresses the information gaps identified through the secondary data analysis.
- Ensure joint, community-level primary data collection using appropriate sampling approaches and mainstreaming age, gender, diversity considerations and representation of the perceived needs of the affected populations into the methodology.
- Ensure consultation with community representatives involved in the response.
- Jointly analyse the primary and secondary data.
- In consultation with the government, where appropriate, disseminate the analysis to the other stakeholders and/or sectors/clusters, so that it can inform the humanitarian response plan, cluster/sector planning and the programmes of individual Organisations
- Communicate findings to affected people through the most accessible mechanism and identify ways of receiving feedback.

While MIRA is often used by international agencies, including United Nations Office for Coordination for Humanitarian Affairs (OCHA), it can guide government agencies and non-governmental organisations at local and national levels. An assessment team comprises technical experts, stakeholder representatives, humanitarian organisations, representatives of the affected community, and the national authorities to prepare and analyse the findings of the MIRA.

C. Joint Need Assessment – Needs Overview

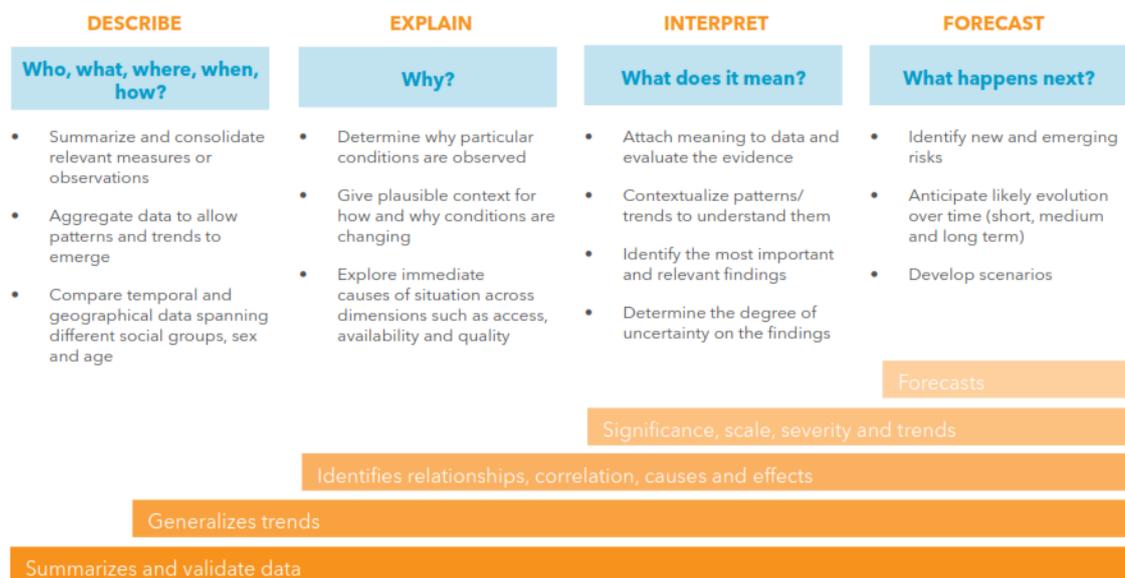
A humanitarian needs overview consolidates and analyses information on affected people's needs, vulnerabilities, and capacities. It is based on existing information (secondary data) derived from multi-cluster and sectoral assessments, monitoring data, survey results, and contextual judgment of humanitarian actors and local sources such as national authorities, community bodies and representatives from affected communities. It also outlined the humanitarian risk profile of the country and reviewed it at regular intervals.

Developing a humanitarian needs overview is the first step in implementing the humanitarian programme cycle in a protracted crisis ahead of strategic response planning. A need overview aims to::

- To identify needs as expressed by affected communities.
- To determine key humanitarian issues based on several data sources.
- To provide an analysis of the need to underpin the humanitarian response plan.

There are four steps in the joint-need analysis, at a minimum, as shown in the figure below

Figure 3: Four steps in the join-need analysis



D. Summary

- The Multi-Cluster/Sector Initial Rapid Assessment (MIRA) is recommended in the first two weeks. The assessment consist of seven steps:

- Analyse pre-crisis and in-crisis secondary data and identify information gaps per cluster
- Agree on a needs assessment data collection tool
- Ensure joint, community-level primary data collection using appropriate sampling approaches, diversity considerations and representation of the perceived needs of the affected populations in the methodology.
- Ensure consultation with community representatives involved in the response.
- Jointly analyse the primary and secondary data.
- In consultation with the government, where appropriate
- Communicate findings to affected people

4.2

Element 2. Plan Humanitarian Response

Emergency response planning helps the agencies respond more effectively to the needs of people affected by a crisis. Such a plan ensures organisations work toward the same goals. Emergency planning is a “strategic” process because it involves being clear about the overall objectives, being aware of the resources and capacity, and incorporating both into being responsive to a dynamic environment

2.1. Prepare an emergency budget and request an allocation of initial resources

A. Introduction

Based on the output of the assessment exercise, a strategic response plan will be drafted to inform high-level officials (or decision-makers) that aims to set response objectives and roadmap for some response organisations to plan and prioritise activities and design projects.

Fundraising is key to securing the budget and allocation of funds at this stage. Good practice at international levels often develops and response plan and specific projects within 5-7 days of the emergency’s onset. Governments in affected countries have their own funding mechanism. The assessment team, including officers, managers or coordinators, must be mindful of their institutional arrangements.

The total funding requirement (or 'price tag') for the strategic response plan is derived through coordinated project planning. It should reflect all planned responses or actions needed to reach the objectives. Engage with other stakeholders in the process as appropriate, despite the fact that funding requirements in the emergency response might not be included in the plan. Also, consider the actions developed by other actors who are not participating in the joint coordination system.

B. Purpose of Strategic Response Planning

- To provide an initial joint analysis of the situation.
- To build broad support for the direction of the response.
- To briefly outline priority actions and initial funding requirements (based on estimations).
- To highlight the plan for the scale-up of the response.
- To ensure that contextual, institutional and programmatic risks to achieving the collective response priorities are identified.

2.2. Submit a detailed budget to create spending authority and be able to sign agreements with partners

A. Introduction

The assessment team must navigate the funding mechanism and landscape within and outside their organisations. It is always best to consider developing a shared strategy with other stakeholders based on prioritized needs, to respond to a new or suddenly deteriorating crisis

Developing a response proposal and the submit request for funds to various sources should start immediately. In addition to its primary role, a response plan is also an advocacy tool that can be used to support resource mobilisation. Organisations are encouraged to approach donors or funders directly, citing their part in the plan and compiling information and evidence for advocacy and fundraising purposes.

B. Costing Methodologies

Costing Methodologies can be used to calculate the financial requirements to fulfil the objectives of an annual or multi-year response plan. An improved costing approach for a response plan should contribute to an overall objective of better responding to affected populations' needs by increasing transparency, credibility, and cost-effectiveness. Three methodologies can be used in developing an emergency response plan (ERP):

- **Project-Based Costing**

The methodology for costing most ERPs is project-based costing. This costing methodology is simply the sum of the requirements of all projects collected through the coordinated project planning process submitted by different agencies. Project budgets are based on standard UN/ NGO cost categories or activities, outputs or outcomes developed by clusters. Sectors/clusters ensure costs are appropriate and are aligned with activities and outcomes.

- **Unit-Based Costing**

Unit-based costing is an alternative methodology that identifies a unit cost 'driver'. This could be an activity, an outcome or a standard service delivered at a certain cost. The unit cost 'driver' in the ERP budget is the unit cost that best explains the activity, service or outcome. The result is not a definitive price tag for a set of projects but an initial estimation of how much a joint response will cost based on the volume of need and agreed response scope.

- **The Hybrid Method**

Combining both methodologies - the hybrid method - establishes financial requirements using Unit-based costing and follows with detailed project planning later to provide more detail to the initial calculations or give visibility to participating organisations. There have been a few attempts to combine unit- and project-based costing.

C. A Structure for Fundraising Proposal

An emergency response proposal reflects the collective understanding of priority needs, what must be done to meet them, priority actions, who is implementing the response, and approximately how much funding is required.

- **Crisis Overview**

This section should provide an evidence-based explanation of the magnitude and severity of the crisis and the priority needs of the affected population. Based on available pre- and in-crisis information

(secondary data), develop an initial analysis looking at which areas have been affected, who are the most vulnerable people and what are their most pressing humanitarian needs:

- Adhere to and promote ASEAN fundamental principles, shared values and norms, and principles of international law governing the peaceful conduct of relations.
- Most affected areas: Geographic explanation and illustration (map) of the most affected areas and estimate of the number of people affected by the crisis.
- Most vulnerable groups: Description of the most vulnerable and most affected groups
- Mention specific factors of risk, hazards, and challenges faced by different vulnerable population profiles and suggest actions.
- Describe the most urgent humanitarian problems regarding survival, dignity, basic services, and livelihoods.
- Illustrate the findings with the help of maps and tables.
- Be transparent about knowledge limitations, ongoing assessments, and remaining data gaps.
- Acknowledge support already received and delivered by partners inside or outside the appeal
- Acknowledge response efforts of the host government and preparedness measures as relevant

- **Main Humanitarian Need**

List main response needs contain current information, and field observations suggest that the most immediate threats to life are based on the situation analysis. There are things that need to be considered in this section:

- To avoid an appeal that appears supply-driven, there should be a clear link to the situation analysis on the previous page.
- These needs should be inter-sectoral. This section is not meant to provide a sectoral unpacking.
- The needs of all population groups affected by the crisis, including refugees, should be described.
- This section can also include access or logistical constraints (e.g. access to medical care etc.)

- **Strategic Objectives**

The Emergency Response Proposal should contain no more than three to five strategic objectives (indicators not required), formulated as higher-level, medium-term results or changes that the humanitarian

community needs to achieve over a certain period to move closer to its goal.

A well-formulated objective summarizes the planned result of the humanitarian community's actions and the beneficiary population that will benefit from the result. In other words, it focuses on improving the conditions of the people in need.

- **Response Strategy**

As much as possible, this section should reflect agreed inter-sector (joint) response priorities, ideally over specific timeframes, and give an overview of the planned response and underlying considerations. Explain any issues that will affect the humanitarian community's ability to meet needs effectively and how these are being taken into account.

- People in need and people targeted: consist of the total number of people in need and targeted in each sector (health, food security and agriculture, protection, wash, education, early recovery, and logistics)
- Financial requirements per sector: in this section, Emergency Response Proposal includes initial estimated funding requirements to provide a "price tag" for international response efforts. There are currently two agreed methods used for this:
 - Basic coordinated 'project' planning (i.e. cluster, agency, project title, objectives, people targeted and requirements only)
 - Rough calculation of funding requirements per cluster/sector based on planning figures

The funding requirements should reflect all of the needs to be addressed through the plan presented in the Fundraising proposal. Regardless of the method chosen, the total funding requirements must be realistic, considering responders' absorption and implementation capacity and the crisis itself (access, security, etc.)

- **Sector Plan**

This section contains a list of 3 priority activities for each sector that indicate targets, financial requirements, response strategy, and list all humanitarian partners that form part of the sector response, including their contact details if appropriate. Generally, it will summarize the overall direction of the cluster plan and how the activities selected to

correspond to the strategic objectives. The activities will be kept to a manageable list of key, core areas of work, and the total required to carry out the cluster's work should be estimated and included.

- **Project List**

This section is optional for the partner to prepare summaries of their projects if coordinated project planning has been undertaken. The projects should correspond to the strategic objectives listed earlier in the document. But, if there is no project, the "Project List" can be changed to "Budget Breakdown".

D. Summary

- There are three costing methodologies that can be used to calculate the financial requirements to fulfil the objectives of an annual or multiyear response/intervention plan:
 - **Project-Based Costing;** simply the sum of the requirements of all projects collected through the collaborative project planning process submitted by different agencies.
 - **Unit-Based Costing:** an alternative methodology that identifies a unit cost 'driver'.
 - **The Hybrids Methods:** a combination of both methodologies.
- To get the funding, the Emergency Response Proposal should be developed in accordance with the given structure:
 - **Crisis Overview:** provide an evidence-based explanation of the magnitude and severity of the crisis and the priority needs of the affected population.
 - **Main Needs:** contain existing information, and field observations suggest that the most immediate threats to life are based on the situation analysis.
 - **Strategic Objectives:** contain no more than three to five strategic objectives (indicators not required) that the humanitarian community needs to achieve over a certain period to move closer to its goal.
 - **Response Strategy:** reflect agreed inter-sector (joint) response priorities, ideally over specific timeframes, and give an overview of the planned response and underlying considerations.
 - **Sector Plan:** contains a list of 3 priority activities for each sector that indicate targets, financial requirements, response strategy, and list all humanitarian partners that form part of the sector response, including their contact details if appropriate.

- **Project List:** Optionally for the partner to prepare summaries of their projects if coordinated project planning is undertaken.

2.3. Revise operations plan

A. Introduction

Because the fundraising proposal or appeal's first edition has to be issued fast, it is inevitably based on early estimates and best guesses, focusing on urgent humanitarian needs plus any early recovery projects that can be assessed and implemented during this early phase of a crisis. Good practice at the international humanitarian system suggests a scheduled general revision about a month after launch to incorporate fuller information and more recovery projects (especially connecting to government plans as they crystallise). The Emergency Response Proposal may be developed into or succeeded by a consolidated proposal if an inter-agency response is needed beyond six months.

B. Revision of Fundraising Proposal or Appeal

Analysis shows that the revision of the Emergency Response Proposal does usually does not generate higher funding levels. Therefore, a revision of the fundraising or budget proposal should only be considered in the following cases:

- Improved needs analysis indicates a need to review and update the response considerations and activities (i.e. planning figures, access, priorities)
- The initial proposal or appeal was issued for a period shorter than 90 days, and the relevant decision-makers decided to extend the duration to 90 days for operational reasons.
- If the initial plan was issued with cluster/sector requirements only, the response organisation might decide to replace these sector requirements with actual projects

C. Updating and Revising a Strategic Response Plan

During the year, changes in the situation and needs may affect the course of the collective operational response. It may also happen that some actions do not achieve the expected outcome. The emergency response community will

need to update or revise its strategy in such cases. The decision-makers should decide if and when this is necessary and choose one of the following options:

- **Strategic Response Plan Update**, applied in several conditions:
 - The situation at a particular level has encountered minor changes.
 - The strategic objectives, the cluster objectives and the main parameters of the strategy remain unchanged.
 - Activities, targets, projects, and budgets are updated.
 - Financial requirements are updated and accessible online.
 - Ideally, a strategic response plan update will be produced before releasing a periodic monitoring report.

- **Strategic Response Plan Revision**, applied in several conditions:
 - The situation in-country has changed significantly.
 - The decision-makers revise the needs overview and the whole strategic response plan: strategic objectives, cluster objectives, main strategy parameters, activities, targets, and budgets.
 - A revised strategic response plan is produced.
 - Financial requirements are updated, and the revised strategic response plan reflects the information. A periodic monitoring report might prompt a revision

D. Summary

- Given that fundraising proposals/appeals necessarily are based on early estimates, they and their projects can be revised at any point after the launch as more information emerges
- Revision of the proposal should only be considered to improve need analysis, do revision when initial proposal was issued for a period that was shorter than 90 days, and the decision-makers can choose whether revise to give more visibility to participating partners and to support the coordination of the plan or only include a short note indicating the update of projects
- A strategic response plan can be updated or revised. It is updated when the situation in-country has encountered minor changes and revised when it has changed significantly.

4.3

Element 3. Implement Humanitarian Response

3.1. Identify the capacity of available current and potential partners

A. Introduction

A humanitarian response plan communicates the strategy to respond to the assessed needs and serves as the basis for implementing and monitoring the collective response. The strategic response plan consists of two parts: (i) a country strategy that lists the strategic objectives and indicators, and (ii) cluster plans and projects, which detail how the strategy will be implemented and what the financial requirements will be. The humanitarian response plan should support country-based decision-makers, inform programming at national and sub-national levels and within clusters/sectors. It also should consider sustainability issues and indicate what conditions must be met and how to effectively phase out or transition into development activities. The strategic response plan should be drafted following the recommendation in the humanitarian needs overview. Strategy development follows needs analysis.

B. Emergency Response Plan

In the case of a sudden onset crisis or a rapid escalation in a protracted crisis where an Emergency Response Proposal is issued, an Emergency Response Plan (ERP) is normally completed/revised within 30 days of the issuance of the Emergency Response Proposal and builds on the initial planning undertaken. In protracted crises, whether using an annual or multi-year planning process, most organisations develop their ERPs on a yearly basis. There are several purposes in developing ERP:

- To set the direction and strategic objectives of the humanitarian response.
- To indicate each cluster/sector's contribution toward meeting the strategic objectives.
- To provide strategic objectives, indicators and targets for monitoring progress.
- To ensure the contextual, institutional and programmatic risks to achieving the strategic objectives are identified.

- To link to the existing development plan (if applicable) and indicate how the response will provide a path into recovery and build resilience.
- To mobilize resources for the humanitarian response

C. Step by step in ERP

In order to identify the capacity, several things need to be done:

- Review the humanitarian needs overview (or the report based on MIRA template, if applicable) and identify capacities, assets and operational constraints to determine how to address needs in a given context. This 'response analysis' will inform the boundaries of the humanitarian response plan.
- Convene a meeting or workshop of humanitarian stakeholders to review the 'response analysis' and then develop a top-line country strategy that outlines the boundaries, sets priorities within those boundaries, and assumptions. Agree on strategic objectives and indicators.
- Hold cluster/sector meetings to determine cluster/sector objectives and key activities – in line with the strategic objectives – and then (if applicable) prepare projects according to an agreed process, criteria and a division of labour. Ensure that risks and mitigation actions to the achievements of objectives are identified.
- Draft/compile the humanitarian response plan and circulate it to the other relevant stakeholders for validation.
- Consult government, international humanitarian agencies, local development actors, civil society, and affected people.
- Disseminate the plan broadly to ensure its use in each organization's programming and fundraising.
- Use the strategic objectives and indicators to develop a response monitoring framework and report results in the periodic monitoring report.

D. Stakeholder Responsibilities

Several stakeholders involved in implementing emergency response:

- **The higher-level executive form organisation** provides leadership to the planning process and, **together with the assessment team**, sets the priorities and strategy and ensures response plans comply with a response plan.
- **Organisations and clusters/sectors:** participate in the process and contribute to the development of the plan.
- **Information management officers:** collect and manage data and keep a reasonably up-to-date 'who, what, where (when)' (3 or 4Ws) database to better identify coverage, gaps and overlap.
- **Assessment team** will support the planning process by consolidating data, agreeing with planning figures, preparing a draft plan, and facilitating the plan's finalization. If present, an inter-cluster coordination group supports these efforts. Emergency responders at the subnational level should be engaged throughout

E. Summary

- The strategic response plan articulates a humanitarian country team's strategic priority for a period of one or more years. It is the principal point of reference for activating and monitoring response operations. It can also be used in support of advocacy and resource mobilization.
- The strategic response plan consists of (i) a country strategy and (ii) cluster plans and projects.
- The strategic response plan should be drafted following the recommendation in the humanitarian needs overview. Strategy development follows needs analysis.
- If changes to the humanitarian situation affect the direction of response operations, the HCT and clusters should update or revise the strategic response plan as needed.
- The HC determines the direction of the humanitarian strategy. The HCT develops the strategy. Clusters determine cluster objectives and activities and prepare related projects. OCHA supports these efforts

3.2. Mapping capacity and potential partners

A. Introduction

The resources and capacities of international humanitarian actors account for only a small part of responses to crises. Assistance provided by local and national actors is often not recognised, resulting in inefficiencies, duplication and missed opportunities. If carried out in advance or at the start of a response, a comprehensive mapping of capacities and resources could facilitate more locally-led humanitarian action and inform a more focused and effective international effort.

B. Mapping capacities and resources for complementary

Drawing upon the respective capacities of local and international aid providers would first require stronger engagement with these actors to more comprehensively track and map local capacities at the level of a specific crisis. The comparative advantages of each actor or organisation in a crisis can be considered without necessarily integrating them into a centrally run system.

- **The need for wide consultation**

A mapping process that aims to foster complementarity must first be based on a wide consultation that includes affected people and local aid providers. It should start from the point of contributions to relieving humanitarian suffering but should not be limited to formal organisations. Such a process would likely highlight contributions not commonly included in international organisations' understanding of a context, including those from host families, networks of volunteers and other informal groupings.

It could also explore financial flows to particular districts from businesses, religious institutions or diasporas. A mapping of this kind, provided it is undertaken inclusively, will also help reorient perceptions of capacities present in particular crisis contexts.

- **Mapping at a crisis level**

This mapping of capacities and resources aim to deepen understanding of the context and develop an area-based view of coverage and gaps in relief. The benefits of such an approach include identifying potential partners, including capacity-building, advocating for more local responses, and highlighting key resource flows that occur as an unintended consequence of humanitarian responses.

A clearer understanding of the local context, both in terms of response capacity and flows of resources, would potentially make assistance more complementary and efficient. Mapping local capacities

independently of specific projects could provide insights into the longer-term impacts of capacity strengthening and exchanges between actors and could also suggest who could be utilised in sharing good aid practices.

- **Engaging with politics and host government**

Political processes here include defining and assessing sources of assistance and capacities. It is different from technical activity such as tracking resources. How capacity is defined and assessed in crisis contexts reflects unequal power dynamics across the humanitarian system. A complementary approach can offer avenues for international actors to engage with host governments more cooperatively.

A wider understanding of various income sources has identified social security payments as a key source of support, and a complementary approach would offer the means of utilising these existing government capacities

C. The limits of mapping capacity and resources

Measuring capacities and financial flows in humanitarian crises frequently present practical and ethical issues. Responses are stretched during emergencies, so mapping existing local capacities to ensure complementarity is challenging. In such a context, mapping those who risk their safety to organise and deliver assistance could compromise these actors if such information was not treated sensitively. Other considerations should give pause to automatically mapping support.

Measuring resources may also be problematic. While resource flows such as remittances will likely remain private, a sense of their scale at a crisis level would provide an impetus to remove legislative or other barriers to keeping such channels open and functioning during a crisis. Therefore, private-sector donations and faith-based giving may be more suitable candidates to further explore the wider flows of resources provided during the crisis to understand who benefits.

D. Partner mapping categories and findings

The mapping covers multilateral, bilateral, and INGO funding mechanisms targeting NNGOs. It also involves funding arrangements where INGOs may act as donors or intermediaries for other donors before funding reaches the NNGOs in question or even INGOs who may qualify to apply for funding from

other INGOs. Capacity mapping should be done using several categories as a comparison:

- **Type of funding network**
Name or type of the funding framework, whether pooled, agency-specific, partner agreement, global or country-specific funding.
- **Funding range**
The average amounts involved per applicant. This may differ according to whether funding is allocated annually, per grant or sometimes even without any cap.
- **Organization type**
This part will be the organisation's target for funding. It can be INGOs, NNGOs, UN agencies, government agencies or private service providers. The more different Organisations involved, the more generic Partner Capacity Assessment (PCAs).
- **Pre-assessment steps**
A donor might take steps before an actual organizational PCA is conducted. Such steps could include registration, due diligence procedures, the development of risk management frameworks or a combination.
- **Partner capacity assessment areas**
This summarises the key assessment areas in use for that particular fund or donor. Whether the PCA is conducted partly or fully depends on the country context and outcomes of pre-assessments leading to risk ratings of partners.
- **Use of proxy indicators**
This describes whether and to which extent agencies may use available sources of information from other donors or public sources to triangulate data or, in case, data is hard to come by.
- **Who conducts assessment?**
Distinguishes whether this is done by the (government) agency itself or through a third party. Typically, the agency conducted assessments require in-country capacity and familiarization with the context, including physical verification visits. In other cases, only a third party may be possible or desired for impartiality reasons or due to the security situation.

- **Processing time**

Average processing time covers the period from initiating contact between an NGO and a potential donor until an actual funding decision. It does not generally include the period between approving and releasing funding, which may take considerably longer.

- **Organizational development support**

E. Summary

- Comprehensive mapping of capacities and resources could facilitate more locally-led humanitarian action and inform a more focused and effective international effort.
- A complementary approach that harnesses the capacities and resources of all actors offers opportunities for better humanitarian outcomes.
- Complementary approach would require an inclusive consultation with local actors and affected people to develop more context-specific understandings of capacity and resources, and how affected people receive and provide assistance in crises quickly leads to political discussions around who controls resources and why, and issues around trust and what constitutes a 'legitimate' humanitarian actor and partner.
- Current assumptions and definitions are a product of the politics of an unequal humanitarian system.
- This process should be inclusive, drawing more upon what is valued by affected people and finding the actors with the capacities to deliver them, regardless of whether they are international or local.
- Capacity mapping can be done by doing partner mapping assessment using several categories as a comparison

3.3. Mobilise resources to implement operation plan

A. Introduction

Resource mobilization involves fundraising for the humanitarian response against humanitarian response plans, Fundraising proposals, or other calls for funding. Successful resource mobilization relies on a strong understanding of the global humanitarian financing landscape and keen local knowledge on mapping donor presence and priorities. Resource mobilization activities can

occur at any phase of the Humanitarian Programme Cycle. However, the top humanitarian donors tend to make major decisions during the last quarter of the calendar year for disbursement early in the next year and within 72 hours for sudden-onset emergencies.

B. Humanitarian Funding

Suppose the assessment team are based in local or national government or NGOs. In that case, they need to be mindful that an effective humanitarian response and ensuring the positive wellbeing of the affected populations require substantial funding. International humanitarian actors often target multiple sources that can be done to raise the funding, including:

- Bilateral government contributions;
- Multi donor pooled funds (e.g., Central Emergency Response Fund (CERF) and Country-based pooled funds (CBPFs))
- International financing institutions (e.g., World Bank, Asian Development Bank and African Development Bank);
- Private contributions from individuals, companies, trusts and foundations

Globally, humanitarian assistance is growing in volume, with total contributions from both government and private donors increasing year on year.

Figure 4: Resource Mobilization



In the figure above, resource mobilization has its own allocated phase in the humanitarian response plan. After the humanitarian country strategy has been developed, the health cluster response plan will be determined and reflect the total funding requirement for the health cluster. The financial requirements for each cluster and participating agency in the humanitarian response plan are summarized at the end.

Multi-year planning and funding

Multi-year planning and funding lowers administrative costs and catalyses more responsive programming, notably where humanitarian needs are protracted or recurrent and where livelihood needs and local markets can be analysed and monitored. It is based on a shared analysis and understanding of needs and risks as they evolve.

Collaborative planning and funding mechanisms for longer programme horizons incrementally funded can produce better results and minimize administrative costs for donors and aid organisations. They can identify results that highlight the linkages between humanitarian, development, stabilization and conflict management initiatives, which are fundamental to decreasing humanitarian needs.

C. Resource Mobilization Cycle

After a sudden onset disaster, the large humanitarian donors tend to make their major decisions regarding funding within 72 hours of sudden onset emergencies, usually in response to an Emergency Response Proposal or flash appeal and/or through bilateral engagement. Generally, there are four stages in the resource mobilisation cycle:

- **Positioning**
This stage begins immediately after the crisis by involving media, web stories, situation reports, cluster bulletins, country updates, emergency newsletters to disseminate information about actual conditions.
- **Donor engagement**
There is a responsibility to lobby present and prospective humanitarian donors in the country for funding, including bilateral and multilateral government donors and private donors.
- **Implementation**
Element in this stage including: follow funding conditions, inform donors, ensure visibility, undertake donor field missions.

- **Reporting**

Respect reporting timelines, use templates, maintain the highest quality standards, provide input to OCHA and other joint reports; good reports are key in securing multi-year funding

D. Summary

- Funding can be raised through multiple sources, including bilateral government contributions, multi-donor pooled funds; international financing institutions; and private contributions from individuals, companies, trusts and foundations.
- Multi-year planning based on a shared analysis and understanding of needs and risks as they evolve can lower administrative costs and catalyses more responsive programming.
- The resource mobilization cycle consists of 4 stages: positioning; donor engagement; implementation; and reporting, which include multiple roles of stakeholders

3.4. Demobilize resources

A. Introduction

The goal of demobilization is the orderly, safe, and efficient return of a resource to its original location and status. Once resources are no longer needed on an incident, those responsible for resources should demobilize them. The resource requestor and provider may agree to reassign a resource rather than demobilize it. Prior to demobilization, incident staff responsible for the planning and logistics functions collaborate to plan how resources are rehabilitated, replenished, disposed of, and/or returned or restored to operational condition.

B. Nonexpendable and Expendable Resources

- **Nonexpendable Resources**

- Nonexpendable resources (such as personnel, fire trucks, and durable equipment) are fully accounted for during the incident and when they are returned to the providing organization. The

organization then restores the resources to full functional capability and readies them for the next mobilization.

- Broken or lost items should be replaced through the appropriate resupply process by the organization with invoicing responsibility for the incident or as defined in existing agreements. It is critical that fixed-facility resources be restored to their full functional capability to ensure readiness for the next mobilization.
- In the case of human resources, such as Incident Management Teams, adequate rest and recuperation time and facilities should be provided. Important occupational health and mental health issues should also be addressed, including monitoring the immediate and long-term effects of the incident (chronic and acute) on emergency management/response personnel.

- **Expendable Resources**

- Expendable resources (such as water, food, fuel, and other one-time-use supplies) must be fully accounted for. The incident management organization bears the costs of expendable resources, as authorized in financial agreements executed by preparedness Organisations.
- Restocking occurs at the point from which a resource was issued. Returned resources that are not in restorable condition (whether expendable or nonexpendable) must be declared as excess according to established regulations and policies of the controlling jurisdiction, agency, or organization.
- Waste management is of special note in the process of recovering resources, as resources that require special handling and disposition (e.g., biological waste and contaminated supplies, debris, and equipment) are handled according to established regulations and policies.

C. Summary

- Demobilization resources aim to return the resource to its original location and status in an orderly, safe, and efficient way.
- There are two kinds of resources that can be demobilised:
 - Nonexpendable Resources

These resources are fully accounted for both during the incident and when they are returned to the providing organisation and need to be restored to full functional capability and readies for the next mobilisation. Nonexpendable Resources can be personnel, fire trucks, and durable equipment

- Expendable Resources
Expendable resources such as water, food, fuel, and other one-time-use supplies must be fully accounted for. Restocking occurs at the point from which a resource was issued and returned resources that are not in restorable condition.

4.4

Element 4. Carry Out Monitoring of Humanitarian Action

4.1 Identify monitoring plan

A. Introduction

Humanitarian response monitoring is a continuous process that records the aid delivered to an affected population and the achieved results against the objectives set out in the ERP. It tracks the inputs and the outputs resulting from interventions to affected populations, charts the outcomes of cluster activities, and measures progress towards the objectives of the ERP while considering the diversity of the affected population and their perspectives of the response.

Response monitoring focuses on three links in the results chain:

- **Inputs** refer to the financial, human and material resources that go into projects.
- **Outputs** refer to the delivery of goods and services to a targeted population.
- **Outcomes** refer to the likely or achieved short and medium-term effects of an intervention's outputs. Outcomes are often built on multiple outputs. They can be intra-cluster, requiring multiple outputs from one cluster (e.g., defecation free environment) or inter-cluster requiring outputs from multiple clusters (e.g. decreased incidence rate of cholera)

B. Purpose and scope

Response monitoring's primary focus is to measure progress toward reaching strategic objectives, cluster objectives, and cluster activities, as outlined in the Humanitarian Response Plan or Fundraising proposal. The purpose of response monitoring is two-fold:

- Provides humanitarian actors with an evidence base for making decisions about what actions should be taken to address shortcomings, fill gaps and/or adjust the ERP, contributing to a more effective and efficient humanitarian response in the short and long term; and
- It serves to improve the accountability of the humanitarian community for the achievement of results outlined in the ERP towards people affected by the crisis, local governments, donors and the general public.

An ERP's scope considers the portion of identified needs being addressed by others outside of the plan, the expected evolution of the needs, access to the population in need, response capacity, and other parameters.

Joint response monitoring first and foremost monitors those activities included in the ERP. However, it is also important to understand the response undertaken outside the ERP. This helps to more confidently attribute those results from the work within the ERP and assists in updating information on needs, response and gaps in the overall humanitarian situation

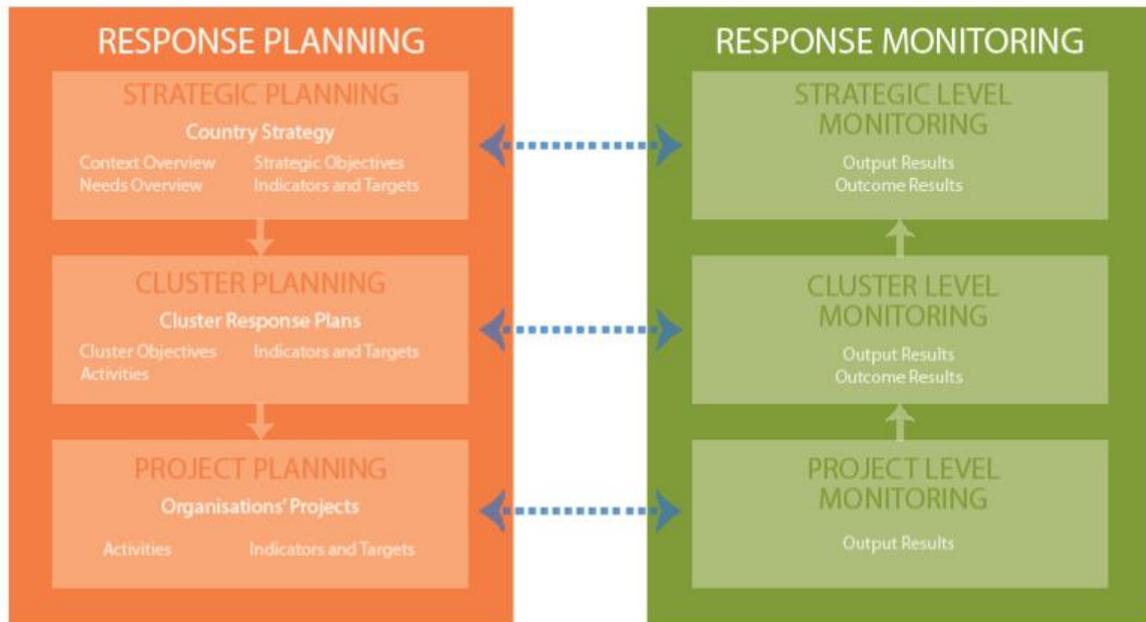
C. Relationship between planning and monitoring

Strategic response planning and response monitoring are two distinct elements of the humanitarian programme cycle that have strong linkages at three stages in the ERP process:

- When selecting indicators and setting targets for measuring the achievement of the strategic objectives – strategic level monitoring
- When selecting indicators and calculating targets to accompany cluster objectives – cluster-level monitoring
- When selecting indicators and defining targets for capturing the outputs of cluster member activities – project-level monitoring

The preparation for response monitoring is embedded in the processes for developing the ERP and, as such, is done when drafting the ERP.

Figure 5: Response Planning and Monitoring



D. The Humanitarian Response Monitoring Framework

As an international framework, the Humanitarian Response Monitoring Framework is a set of practices that facilitates collecting and analysing data on the collective humanitarian response throughout the year. The framework has four levels linked to the results chain, each specific purpose. The upper three levels cover outputs and outcomes, and the lower level corresponds to inputs.

Figure 6: Humanitarian Response Monitoring Framework



- The materials (inputs) that go into cluster member projects during implementation are aggregated at the cluster level. The input level will only rely on financial tracking for protracted crises, as human and material resources derive from it. Material resource tracking is conducted only in the first phase of a sudden-onset emergency.
- The project level captures the outputs from individual organisations' projects pertaining to cluster output indicators.
- At the level of cluster objectives, the cluster aggregates the contributions from cluster members' projects to the cluster output indicators and any data on the optional cluster outcome indicators that were set against cluster objectives. The overall findings from the indicators are analysed to gauge progress toward each cluster objective.
- At the level of strategic objectives, the inter-cluster coordination group brings together the results of cluster-level data (both output and outcome) and any inter-cluster level outcomes to measure progress against strategic objectives.

Organising the monitoring framework

Each humanitarian crisis having an ERP should jointly set up and manage a Humanitarian Response Monitoring Framework to undertake response monitoring. The monitoring framework is a set of practices performed by all humanitarian actors that facilitate collecting and analysing data on the collective humanitarian response along the year, for producing reports with key findings at scheduled intervals, to inform the clusters, inter-cluster coordination group and HC/HCT.

Organising monitoring framework included in preparing stages of response monitoring, at the same time as the ERP

Figure 7: Stages of Organising Monitoring Framework



- **Cluster Member**

- Members of respective clusters should participate in the preparation of cluster monitoring plans
- Each organization should align its project activities' indicators and targets with those selected for the cluster response plans.
- Members should put in place an internal approach for field monitoring activities and participate in discussions on harmonization at the cluster level of field monitoring and feedback mechanisms from affected populations.
- Members should ensure that adequate resources are budgeted for conducting their part of the monitoring work

- **Cluster Coordinator and Members**

Cluster Objectives:

- Three to five cluster objectives linked to one or more ERP strategic objectives will be defined. It will articulate the outcomes or results that the cluster intends to achieve.
- The cluster will select indicators and define corresponding targets (with baselines) to measure its cluster objectives
- The cluster will establish responsibilities for data collection and reporting, of any cluster-level outcome indicators, determining how data will be collected, by whom and at what frequency.

Activities:

- Under each cluster objective, a set of activities necessary for reaching the objective will be laid out. An activity may be attached to two indicators with targets: one in terms of a material result and one in terms of the assisted population.
- Select a set of output indicators and determine targets (with baselines) for each activity.
- Establish responsibility and a frequency of measuring these output indicators, and prepare simple tools for cluster members to submit their output results.

- Ensure the diversity of people affected by the crisis is adequately reflected in the selection and definition of all indicators and targets.
- A harmonized approach will be discussed and agreed upon within the cluster for field monitoring and any established communication channels for receiving feedback from affected people, if possible.
- A process will be established for aggregating all cluster-level data, and the cluster will estimate the required resources for conducting the monitoring work.
- The cluster's agreements from the above process will be compiled into a cluster monitoring plan for inclusion in the monitoring framework and possibly in the detailed cluster response plan
- Each organization should align its project activities' indicators and targets with those selected for the cluster response plans.
- Members should put in place an internal approach for field monitoring activities and participate in discussions on harmonization at the cluster level of field monitoring and feedback mechanisms from affected populations.
- Members should ensure that adequate resources are budgeted for conducting their part of the monitoring work

- **Inter-Cluster Coordination Group**

- Three to five strategic objectives will be articulated to establish the “frame” for all detailed planning and monitoring. And each of them will have three to five outcome indicators, with associated targets (and baselines).
- The inter-cluster coordination group will select the outcome indicators most appropriate for measuring progress towards strategic objectives, establishing targets for each.
- Responsibilities will be established to collect data on inter-cluster level outcome indicators, determine how the data will be collected, by whom, and at what frequency.

- The inter-cluster group will agree on the methods and tools to analyse inter-cluster data. It will propose a monitoring report schedule in consultation with clusters.
 - The group will estimate the required resources for the monitoring work and examine how these can be funded if additional funding is necessary.
 - The group should also identify possible challenges to good monitoring and propose solutions to address them
 - The inter-cluster group's agreements will be compiled into a monitoring framework document
 - The work of the inter-cluster coordination group on preparing the monitoring framework will be facilitated and supported by OCHA, including the production of the final monitoring framework document.
- **Humanitarian Coordinator and Humanitarian Country Team**
 - The HC and HCT will review and endorse the monitoring framework, including the reporting schedule, and ensure that resources are made available to implement it

E. Summary

- Humanitarian response monitoring will focus on three links in the resulting chain: input, output, and outcome. The input and output will track the result from interventions to affected populations. For the outcome, it will chart them cluster activities; and measures progress towards the objectives of the ERP while considering the diversity of the affected population and their perspectives of the response.
- Humanitarian response monitoring provides humanitarian actors with an evidence base and improves the accountability of the humanitarian community.
- The scope can focus on three areas: a localized area within a country, across an entire country, or a region.
- Response monitoring consists of three levels of monitoring linked with each level from response planning, including strategic level, cluster level, and project level.

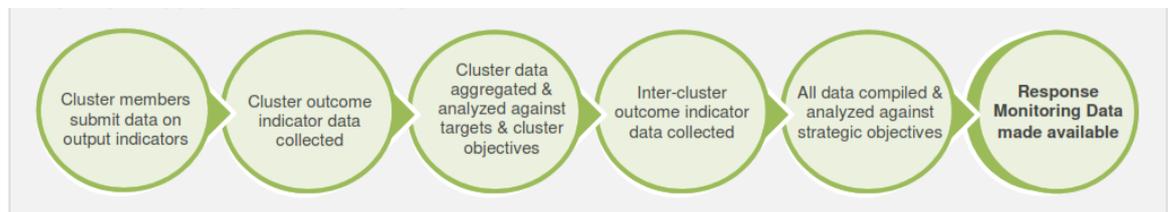
- Response monitoring framework consists of three stages: preparing (organising), monitoring and reporting
- In organising monitoring framework, the clusters prepare their monitoring plans, selecting indicators and targets attached to cluster objectives and activities, and determining who will monitor them, when and how. The inter-cluster coordination group does the same for the indicators and targets attached to the strategic objectives

4.2 Collect humanitarian action data

A. Introduction

The second stage of response monitoring is “monitoring”. This stage includes collection, aggregation and analysis of the monitoring data throughout the implementation of the ERP, as laid out in the country’s monitoring framework. Using the agreed-upon monitoring framework that outlines the indicators to be monitored, the data required, who is responsible, the tools and frequencies, monitoring data will be collected, collated and analysed, then made available publicly.

Figure 8: Stages of “Monitoring” in Response Monitoring



B. Collecting Basic Monitoring Data

Collecting basic monitoring data should be done on the first day of the emergency. Data collected has two audiences, serving two different purposes:

- **Internally, to provide information for humanitarian actors**
The coordination of aid needs to be based on real-time information of the resources received and assistance delivered, for a continuously updated understanding of the diverse needs of people affected by the

emergency, the response and gaps, in order to channel resources in the best possible way.

- **Externally, to provide information outside the humanitarian community**

The national government, donors, media, and the general public need to know what is being done regarding aid delivered to affected people.

C. Required Resources

- **Cluster Member**

- Using the agreed-upon tools, organisations should submit, at the agreed frequency, the results of their activities against the agreed output indicators.
- Based on any commitments made during the preparation of the monitoring framework, organisations should participate in data collection exercises for outcome-level data

- **Cluster Coordinator and Members**

- The cluster coordinator will compile data from cluster members on output indicators.
- Data on outcome indicators will be gathered at the cluster level through the mechanisms agreed upon in the preparation of the monitoring framework.
- The cluster coordinator will consolidate the aggregated output results and measured outcome results, facilitating analysis in the cluster to track progress against the targets set out in the cluster response plan.
- The cluster will make data available for the production of the PMR and use by cluster members. It will identify gaps in monitoring efforts and the steps to take in addressing them

- **Inter-Cluster Coordination Group**

- OCHA will facilitate and support the preparatory work for collating and analysing monitoring findings.

- All monitoring information and analysis prepared at the cluster level will be collated.
 - The outcome indicators at the inter-cluster level will be measured and gathered through the mechanisms and frequency agreed upon in the monitoring framework.
 - The group will analyse all gathered data by looking at the progress made from the beginning of the ERP to the reporting date.
 - The inter-cluster monitoring information will be shared with clusters for feedback and then made available for use by the humanitarian community. They will be the base for the production of the PMR
 - The group will identify any gaps in monitoring and the steps to take in addressing them
- **Humanitarian Coordinator and Humanitarian Country Team**
 - The HC and HCT should ensure that appropriate means are available, allowing all actors involved in monitoring to fulfil their engagements as outlined in the monitoring framework

D. Summary

- The second stage of response monitoring is “monitoring”. In this stage, the monitoring data will be collected, aggregated, and analysed
- Data collected serves two different purposes, internally, to provide information for humanitarian actors, and externally, to provide information outside the humanitarian community.
- Cluster members will submit data as the result of their activity, and the cluster coordinator on output indicators will compile it. It will also need data from the inter-cluster outcome indicator.
- Inter-Cluster Coordination Group will then identify any gaps in monitoring and the steps to address them.

4.3 Review humanitarian action data

A. Introduction

Reporting will be the last stage of response monitoring. This is the collective response monitoring information released in reports, including the Humanitarian Dashboard and the Periodic Monitoring Report (PMR). Monitoring findings will be analysed and presented with a set of recommendations for any corrective action.

Figure 9: Stages of “Reporting” in Response Monitoring



B. Monitoring Report

Information gathered by the response monitoring efforts will be made publicly available and will feed into a number of reports at various levels and the level of the ERP. At the level of the whole ERP, two types of reports should be considered:

- **The Periodic Monitoring Report**
 - It is a primary product for presenting monitoring information based on analysis of the monitoring data.
 - Examining whether sufficient progress has been made overall in reaching strategic and cluster objectives and, if not, why and what can be done to correct this.
 - The report will include progress made against each of the strategic objectives, challenges faced in reaching the set out targets, changes in the context, an analysis of funding and recommendations for actions to be taken.
 - For each cluster, there is a section to elaborate on achievements toward reaching the cluster objectives, any changes in the context, specific challenges faced in meeting the targets and any recommendations to address gaps in response

- **Externally, to provide information outside the humanitarian community**

The Humanitarian Dashboard is a concise report for internal and external use, presenting information in graphics on needs, response and gaps at the cluster level. The Humanitarian Dashboard will draw upon data generated from the response monitoring framework and may be produced more frequently than the PMR.

C. Required Resources

Once designed, the monitoring framework requires resources at different levels. A monitoring framework without adequate resources would remain a declaration of intentions that could not be fulfilled. Below is an inventory of the minimum resources required for successfully preparing and applying the monitoring framework.

- **Cluster Member**
 - Since every organisation has its own approach to monitoring and reporting, the monitoring framework requires that these organisations also contribute to the results data collection that will track the collective response's progress.
 - Each organisation can develop their own format and frequency to provide the human resources monitoring framework. These Organisations also contribute to the results of data collection that will allow tracking the progress of the collective response.
- **Cluster Coordinators and Members**
 - Cluster coordinators should ensure that adequate data collection tools are available quickly and efficiently, allowing cluster members to record their data.
 - Clusters should identify resources for collecting cluster outcome monitoring data.
 - Cluster coordinators will need to dedicate part of their time to all the monitoring activities to be performed at the cluster level.
 - An Information Management Officer is needed to ensure harmonized standards in data collection, aggregation, analysis and reporting for each indicator.

- **Inter-Cluster Coordination Group**

- The group should identify resources for conducting any joint inter-cluster exercises to collect inter-cluster outcome monitoring data.
- OCHA should identify a monitoring officer in charge of the overall coordination of the humanitarian response monitoring framework.
- At the inter-cluster level, OCHA must ensure the proper functioning of monitoring tools, storage of monitoring data, and production of the various reports.
- Pieces of training could be organised in-country for all humanitarian actors to familiarise themselves with response monitoring.

D. Summary

- The last stage of response monitoring is reporting in the Humanitarian Dashboard and the Periodic Monitoring Report (PMR). Monitoring findings will be analysed and presented with a set of recommendations for any corrective action.
- Periodic Monitoring Report (PMR) is a primary product based on analysis of the monitoring data to examine whether sufficient progress has been made overall in reaching strategic and cluster objectives
- The Humanitarian Dashboard is a concise report for internal and external use, presenting information in graphics on needs, response and gaps at the cluster level.
- This stage will require resources from cluster members, cluster coordinators, inter-cluster coordination groups, and HC and HCT.
- Cluster members will contribute to the results data collection through their own format and frequency
- Cluster Coordinators and Members should dedicate their time to identifying resources and ensuring the availability of adequate tools for data collection.

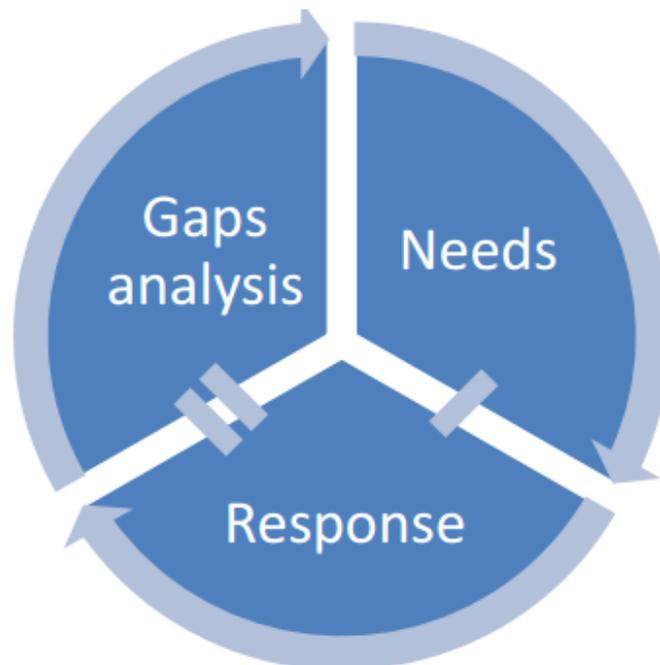
- Inter-Cluster Coordination Group will identify resources in terms of inter-cluster activities
- Meanwhile, there is no specific resources are required from the HC and HCT

4.4 Analyse gaps

A. Introduction

In general, a gap is a difference between the expected or needed response. The gap analysis concept in generic can be applied to multiple aspects in humanitarian response: operational capacity, activity or response, strategic and funding. Each of these can be further broken down based on criteria such as status (completed, ongoing, planned), the number of staff, response planning, and so on.

Figure 10: GAP analysis in Needs and Response



B. Humanitarian Gap Analysis

The purpose of gap analysis is quite straightforward: to identify a difference between the desired state and the actual state. Once identified, the organisation or community can determine if corrective action must be taken. Humanitarian gap analysis can be started by defining the standards name for the different types and the example of data used to create products.

Table 4: Humanitarian Gap Analysis

Gap Analysis Type	Gap Analysis Question/Data
Operational (can be in the form of capacity in transport, staff, and others)	The comparison between planned in the past and the current condition
Strategic	What has been done by each organisation, and what is the remaining gap?
Responses 1. Activities 2. Monitoring	<ul style="list-style-type: none"> ▪ Activities can be analysed through 3W tracking ▪ Monitoring can be analysed through their indicators (indicator-based)
Funding	The comparison between what was requested and how much has been committed
Reporting	<p>Gap analysis can be carried out with, but not limited to, the following questions:</p> <ul style="list-style-type: none"> ▪ Which clusters are reporting & which ones are not ▪ Organisations who are attending coordination meetings but not reporting activities (3W) ▪ Organisations who are reporting 3W activities but not attending meetings
Information/Product Availability	<p>Gap analysis can be carried out by collecting, but not limited to, the following questions:</p> <ul style="list-style-type: none"> ▪ Data that is not available but needed ▪ Appropriate products (by cluster) are available on the central website or agreed space

Some humanitarian gap analysis types have a connection with the other processes, such as:

Table 5: Connection between humanitarian gap analysis with other processes

Gap Analysis Type	Gap Analysis Question/Data
Operational (can be in the form of capacity in transport, staff, and others)	<ul style="list-style-type: none"> ▪ Internal staffing matrix ▪ Internal logistics tracking tools, etc.
Strategic	<ul style="list-style-type: none"> ▪ Strategic Response Plan ▪ Contingency Plan ▪ Common Humanitarian Action Plan
Responses (Activities and Monitoring)	<ul style="list-style-type: none"> ▪ 3W: Activities ▪ Monitoring Framework
Funding	Financial Tracking Service

Undertaking gap analysis with a cluster or organisation is the responsibility and domain of the respective cluster or organization. OCHA will aim to undertake inter-cluster, overall, and summary gap analysis. Inter-cluster would include analysis such as capacity vs scale of the emergency. Overall would include analysis such as funding status. Summary would include reporting and information/product availability analysis.

C. Summary

- Analyse gaps in humanitarian response can address the difference between the expected or needed response.
- Gap analysis aims to identify a difference between the desired state and the actual state.
- Several types of gap analysis can be done in humanitarian response.
- Gap analysis can be started by answering the agreed questions and collecting data needed for analysis

4.5

Element 5. Provide Timely Report

5.1. Update regular report

A. Introduction

Response monitoring can provide evidence for deciding what actions should be taken to address shortcomings, fill gaps and/or adjust the humanitarian response plan, contributing to a more effective and efficient humanitarian response in the short- and long term. The final stage in humanitarian response monitoring is reporting, which brings together that evidence base.

B. Periodic Monitoring Report

The Periodic Monitoring Report is the primary vehicle for displaying and analysing monitoring data generated at the strategic and cluster objective levels. As a form of response monitoring, reporting is not just presenting the results of the output and outcome indicators but also the joint analysis and the collective findings to determine the overall progress made towards meeting strategic and cluster objectives. Hence, the clusters and inter-cluster coordination group should provide an honest appraisal of the humanitarian response and remedial action by drawing upon all available information.

Figure 11: Periodic Monitoring Report



C. Reporting frequency

Each organisation's reporting frequency can differ based on its need and capacities, as they set its own schedule.

Figure 12: Example of Reporting Schedule

	2016												2017
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN
Humanitarian Response Monitoring Framework													
Humanitarian Dashboard				Jan-Mar			Jan-Jun			Jan-Sep			Jan-Dec
Periodic Monitoring Report				Jan-Mar			Jan-Jul						Yearly report (Jan-Dec)
						GHO			HNO		HRP	GHO	

The graph above illustrates a sample ERP reporting schedule, with quarterly Humanitarian Dashboards, two Periodic Monitoring Reports during the year, and a Yearly Report after the close of the cycle. Each report is cumulative, capturing results from the beginning of the humanitarian response plan to the reporting date.

The report schedule should be discussed and agreed upon by the HCT based on a proposal from the inter-cluster coordination group. When establishing a reporting schedule, consideration should be given to:

- Other documents produced during the year that would draw from findings in the monitoring report and the sequencing of these documents, such as the ones identified above
- Points in time where the findings from the monitoring report could influence key decisions

D. Review, Update and Revision

Using the periodic monitoring report, the HC/HCT will review the overall direction of the humanitarian response outlined in the Humanitarian Response Plan, deliberate on the findings and recommendations made by the inter-cluster coordination group and make evidence-based decisions to address major constraints, adjust responses, and where necessary update the Humanitarian Response Plan accordingly.

According to Humanitarian Response Planning guidance, if the HCT decides to revise the Humanitarian Response Plan based on monitoring information, this should be undertaken as a separate process. Other factors may trigger a revision or updating of the ERP, such as a substantial change in the scope or severity of a situation

E. Summary

- Humanitarian Reporting targets the need for timely and effective local reporting in crisis and response scenarios.
- The Periodic Monitoring Report is the primary vehicle for displaying and analysing monitoring data generated at the strategic and cluster objective levels.
- The clusters and inter-cluster coordination group should provide an honest appraisal
- The reports schedule should be discussed and agreed upon together, considering the other documents produced during the year and the influence of the monitoring report.
- A periodic monitoring report can help review the overall direction of the humanitarian response outlined in the Humanitarian Response Plan update and revise them.

5.2. Establish reporting mechanisms with partner agencies as an integral part of their reporting

A. Introduction

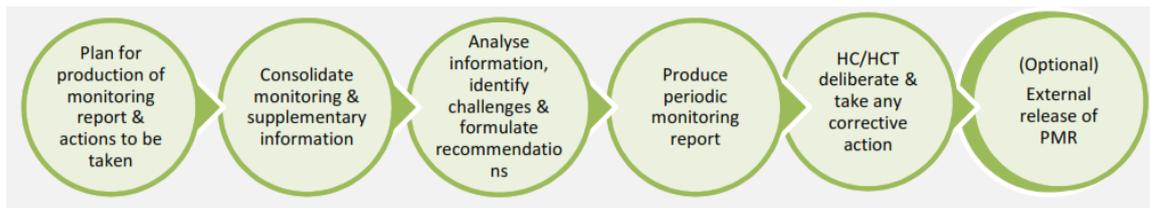
When a country prepares its Humanitarian Response Plan, it develops at the same time a Humanitarian Response Monitoring Framework that determines how the response plan's strategic and cluster objectives will be monitored throughout the year. The present document assumes the monitoring data collection in the country is happening as foreseen in the monitoring framework.

Since producing Periodic Monitoring Report needs resources from all partners, reporting mechanism should be established to ensure the involvement of each partner. Below explain the standards and key steps for reporting mechanism to develop the Periodic Monitoring Report.

B. Periodic Monitoring Report Mechanism

In general, the mechanism of monitoring report can be divided into six stages, including the responsibilities of partners in each stage:

Figure 13: Key steps for the Periodic Monitoring Report



- **Plan for report and actions to be taken**

Based on the report schedule in the Monitoring Framework, when the preparation of the Periodic Monitoring Report starts, the inter-cluster coordination group should discuss and agree upon the following items:

- A general timeline for producing the report from the consolidation of data to the analysis, creation of the report and the final delivery to the HC/HCT.
- A format for the report, along with the specific content, based on the proposed template.
- The data necessary for conducting analysis and the sources consider any disaggregation.
- Who will perform the analysis, and how will it be performed.

The proposed format and content may be presented to the HC/HCT for endorsement.

- **Consolidate monitoring data and supplemental information**

In coordination with the host (affected) government, the clusters and OCHA should compile and consolidate all response monitoring data and supplementary information in this stage. The information should be disaggregated as agreed upon earlier and should be as detailed or granular as possible to help explain any shortcomings in reaching targets for individual indicators.

- **Analyse information, identify challenges and formulate recommendations**

In the third stage, the roles from the cluster and inter-cluster coordination groups are needed:

Cluster:

- Hold an analysis session to review all compiled information and draw conclusions on the overall state of the cluster response.

- Analyse all gathered output and outcome indicator data, weighing each indicator's contribution to achieving the objective, and determining if the objective is being met as expected.
- Investigate why there is a gap, identifying the challenges faced in reaching the targets for indicators that are not 'on target.'
- Synthesize the challenges, make recommendations on corrective action to the cluster response strategy and objectives, and the HC/HCT on the country strategy and objectives.
- Presented the analysis in the form of a draft cluster page of the periodic monitoring report at the inter-cluster coordination group

Inter-Cluster Coordination Group:

- Hold an analysis session to review all compiled information and draw conclusions on the overall state of the humanitarian response.
 - Document any changes in the overall context, analyse the monitoring data, including indicators attached to cluster objectives and strategic objectives, weigh each indicator's contribution to achieving the strategic objectives and determine for each strategic objective whether it is being met as expected.
 - Investigate why there is a gap, identifying the challenges faced in reaching the targets for indicators that are not 'on target.'
 - Analyse the funding situation, synthesize any results from cluster coordination performance monitoring reports and look at any anticipated changes in the humanitarian situation.
 - Draw conclusions on the status of the overall humanitarian response, determining if it is on pace with funding received while taking into consideration any identified challenges.
 - Producing a set of recommendations for the HC/HCT on corrective action on the overall response strategy and objectives
- **Produce the periodic monitoring report**
OCHA will assemble a draft of the periodic monitoring report on behalf of the inter-cluster coordination group. The draft report will be circulated

to cluster coordinators for endorsement and the final version delivered to the HC/HCT, to support evidence-based decision-making.

- **HC/HCT deliberates and takes any corrective action**

The OCHA will assemble a draft of the periodic monitoring report on behalf of the inter-cluster coordination group. The draft report will be circulated to cluster coordinators for endorsement, and the final version delivered to the HC/HCT, to support evidence-based decision-making.

- **External release of the report**

Once the HC/HCT has decided on a course of action to address the recommendations presented, they may endorse an external version of the report for public release. In the optional external version of the report, the 'Recommendations' section will be replaced with 'Actions to be Taken', which will present the decisions made by the HCT.

C. Summary

- Establish reporting mechanism can ensure the involvement of each partner to get all of the resources.
- In general, the mechanism of monitoring report can be divided into six stages
- **Stage 1: Plan for report and actions to be taken**
Following the report schedule set out in the Monitoring Framework, when preparing a Periodic Monitoring Report, the inter-cluster coordination group should discuss and agree upon the general timeline, report format, data, and the analysis performer and form.
- **Stage 2: Consolidate monitoring data and supplemental information**
The cluster and OCHA should compile and consolidate all response monitoring data and supplementary information.
- **Stage 3: Analyse information, identify challenges and formulate recommendations**
The roles from the cluster and inter-cluster coordination groups are needed to hold an analysis session
- **Stage 4: Produce the periodic monitoring report**
OCHA will assemble a draft of the periodic monitoring report on behalf of the inter-cluster coordination group.

- **Stage 5: HC/HCT deliberates and takes any corrective action**
The OCHA will assemble a draft of the periodic monitoring report on behalf of the inter-cluster coordination group
- **Stage 6: External release of the report**
the HC/HCT should endorse an external version of the report for public release

5.3. Adopt standard format and scope of issues in a consistent manner

A. Introduction

The periodic monitoring report should include all available, relevant information a country deems necessary to analyse the context, report on achievements, identify challenges, and make recommendations. Since the template proposed is only indicative and may be changed, all stakeholders involved should adopt an agreed standard format and scope for the reporting report.

B. Periodic Monitoring Report Mechanism

The template in Periodic Monitoring Report consists of four sections that cover:

- Changes in the context covering a review of the context from an inter-cluster point of view
- Achievements to date cover a review of strategic objectives from an inter-cluster point of view
- Analysis of the overall achievements against funding and the challenges encountered
- Cluster Achievements covering a review of the cluster-specific context and cluster objectives The periodic monitoring report should include all available, relevant information a country deems necessary

The annotated PMR template includes explanations of the content for the different sections, tables and charts. Included in the annotation are suggested sources of information.

The Periodic Monitoring Report is first concerned with gauging how well the humanitarian community has met targets set out for output and outcome level indicators selected to measure strategic objectives, cluster objectives and activities. The report should use existing, additional information to supplement analysis and make concrete, targeted recommendations for action

Table 6: Information needed in PMR

Core Information	Supplemental Information
<ul style="list-style-type: none"> ▪ Cluster output indicators targets and results ▪ Cluster outcome indicators targets and results ▪ Inter-cluster outcome indicators target and results ▪ Perspective from the affected population (if collected) ▪ Funding data 	<ul style="list-style-type: none"> ▪ Changes in context: evolution of the humanitarian context, including political developments, need analysis and response capacity of organisations. ▪ Cluster Performance: ratings on the performance of the clusters against their core functions. ▪ Contingency/Preparedness Plans

The inventory of supplemental information above can be modified, removing elements that will not be available and including any relevant information for interpreting why objectives have not been met. Targets for specific indicators are not 'on track'.

For example, findings from an operational peer review may be included; conclusions from an evaluation; progress on the integration of cross-cutting issues (protection, accountability to affected populations, early recovery, etc.); or lessons learned exercise from an activated contingency or preparedness plan

C. Summary

- The periodic monitoring report should include all relevant information to analyse the context, report, identify challenges, and make recommendations
- The standard template in Periodic Monitoring Report consists of four sections that cover: change in the context; achievements to data; achievements analysis; and cluster achievements
- The inventory of supplemental information should be relevant for interpreting why objectives have not been met and targets for specific indicators are not 'on track'

4.6

Element 6. Manage Humanitarian Action Evaluations

6.1. Carry out a real-time evaluation (RTE) of an emergency operation or humanitarian response

A. Introduction

A real-time evaluation (RTE) aims to provide immediate (real-time) feedback to those planning or implementing a project or programme to make improvements. This feedback is usually provided during the evaluation fieldwork rather than afterwards. The ultimate intention is to improve the project or programme concerned through generating learning and recommendations.

B. Real-Time Evaluation in Humanitarian Response

Real-time evaluations are normally associated with emergency response or humanitarian interventions. As well as contributing to learning and improved performance, RTEs have another purpose, including:

- Demonstrate accountability to different stakeholders, including governments, donors, implementing partners and beneficiaries.
- RTEs enable adjustments to be made in a timely manner.
- Bridge the gap between monitoring and evaluation by identifying the strengths and weaknesses of an intervention on an ongoing basis.
- Check compliance with different standards such as codes of conducts or agency policies.

RTEs are most effective when used during the early stages of humanitarian response. This is because they can have the maximum influence at this stage. There are many circumstances in which this might be triggered:

- During a new humanitarian response in a country in which an agency has little or no operational experience;
- Where there is a sudden increase in the scale of a response;

- Where there are changes in the nature of an intervention;
- When a project or programme is about to enter transition or a new phase;
- Where there are concerns that issues (e.g. protection is not being addressed properly);
- Where monitoring data suggests there has been an unexplained deterioration in an area such as malnutrition or child mortality;
- When an agency needs to make decisions about whether or not to continue with an intervention, or whether to extend it; or
- Where there are unresolved issues that require new research or other kinds of investigation

Sometimes RTEs are discrete evaluations carried out at a specific point in time or carried out at regular intervals throughout an intervention, particularly if an agency is involved in a humanitarian setting over a long period. Even though RTEs are frequently carried out by individual agencies running a humanitarian response, joint RTEs may also be carried out by multiple agencies. Joint exercise in a humanitarian setting, an RTE can be much more powerful, enabling a joint learning opportunity between different actors. It can also enable mutual accountability across the humanitarian system

C. Real-Time Evaluation Implementation

There are a few features of RTEs that may be different to those in more conventional evaluations:

- RTEs carried out by individual agencies are generally carried out over short periods, such as 2-3 weeks, to provide real-time feedback that can be immediately actioned. Because they are usually carried out in humanitarian interventions, RTEs tend to be more rapid, flexible and responsive than traditional evaluation.
- In an RTE, there is often no baseline and no need (or time) to use complex methodologies of data collection and analysis, as it tends to rely on qualitative methods
- RTEs are generally participatory because they rely on interactions with multiple stakeholders, including intended beneficiaries.
- There is less focus on impact evaluation during an RTE and more on immediate lesson learning. It tends to make an RTE seem more like a monitoring exercise than an evaluation one.

- In an RTE, an evaluation report may be less important than normal. There is always a risk that any final report will be out of date by the time it is published, as events during humanitarian responses can move very rapidly

D. Summary

- A real-time evaluation (RTE) aims to provide immediate (real-time) feedback to improve the project or programme concerned through generating learning and recommendations.
- RTEs are most effective when used during the early stages of humanitarian response, as they can have the maximum influence at this stage.
- Multiple agencies can implement joint RTEs, enabling a joint learning opportunity between different actors and mutual accountability across the humanitarian system.
- RTEs in individual agencies are generally carried out in a short time to provide real-time feedback that can be actioned immediately.
- RTEs are generally participatory and tend to rely on qualitative methods
- RTEs blur the boundaries between monitoring and evaluation.
- The primary focus of an RTE should be on the recommendations made (and decisions acted on) whilst the evaluation is actually in progress

6.2. Improve operational decision-making

A. Introduction

Decision-making lies at the heart of effective humanitarian action. During a response, humanitarian staff are required to make a stream of decisions: whether, when and how to intervene; how to address technical, logistical, political and security constraints; and when and how to cease operations. Hence, humanitarian evaluations suggest that there is significant room to improve in this area.

B. Operational Humanitarian Decision

Operational humanitarian decisions can be categorised in several ways. For example, decisions can be grouped depending on:

- Whether they are more or less urgent
- Whether they are more or less stressful
- Whether they lead to smaller or larger consequences
- Whether they are made quickly or over a longer period of time
- Whether they are made by one person or jointly, by many
- The degree of uncertainty around them
- Whether they are routine to the decision-maker and relate to previous experience or are entirely new or unique situations.

Decisions can also be categorised by their content:

- A decision about response options: Decisions about how to respond to a particular problem, the delivery method, location of the response, and type of response intervention
- Decisions about targeting: Decisions as to who will receive assistance, how these criteria are determined, and how the individuals/households are identified
- Decisions about information: Decisions to obtain (or not obtain) more information, do (or not do) analysis or conduct an assessment.
- Decisions about working together: Decisions to work with, or not work with, another actor, and the nature of that relationship
- Decisions about go/no go and the response scale: Decisions to start, end, scale up or scale down a response.
- Staffing/resource allocation: Decisions about staff numbers, allocation to certain projects, use of specific skill sets/roles, hire national staff or bring in international staff, opening new roles or applying for surge staff

C. Inter-Agency Humanitarian Evaluation in Decision-Making

Inter-Agency Humanitarian Evaluation is an independent assessment of the results of the collective humanitarian response to a specific crisis or theme. IAHEs evaluate the extent to which planned collective results have been achieved and how humanitarian reform efforts have contributed to that achievement. IAHEs are designed to:

- Provide Humanitarian Coordinators (HCs) and Humanitarian Country Teams (HCTs) with independent and credible evidence of collective progress and further evidence for decision-making regarding course corrections.
- Contribute to the evidence base for decision-making and judgments about future humanitarian action, policy development and reform.

- Provide national governments and disaster management institutions with evaluative evidence and analysis to inform their national policies and protocols for crises involving international agencies and other actors
- Provide information to affected people about the outcomes of the response
- Provide the Member States of international Organisations, donors, and learning and evaluation networks with evaluative evidence of collective response efforts for accountability and learning purposes.

Methodological Approach

Teams of independent evaluation experts will conduct IAHEs. The evaluation will be carried out through analyses of various sources of information and through the cross-validation of data to ensure that the evaluation includes the views of diverse stakeholder groups. Several things need to be considered in IAHEs

- **Gender**
The evaluation will apply gender analysis in all phases. To facilitate this analysis, at least one team member should have qualifications in gender analysis.
- **Inclusiveness**
The evaluation methodology will integrate participatory processes, especially at the community level for all and consider the existence of disadvantaged groups. The process aims to assess the extent to which the differential needs, priorities, risks and vulnerabilities of different population groups have been identified and assessed in the response, and understand the processes and methodologies utilized to enhance the equitable and effective inclusion, access and participation in humanitarian activities and decision-making processes.
- **Accountability to affected people**
IAHEs will endeavour to gain their perspectives on the emergency response's quality, usefulness, and coverage and incorporate these views in the evaluation findings.
- **Ethical consideration**
Due diligence will be given to effectively integrating good ethical practices and paying due attention to robust ethical considerations in the conduct of any IAHE.
- **Relevance to context**

IAHEs will seek to encourage the active involvement of national evaluators (as stated above) and the participation of national governments throughout the evaluation process.

- **Application of Internationally established evaluation criteria**
IAHEs draw from evaluation criteria from NEG Norms and Standards for development programmes (relevance; efficiency; effectiveness; impact; and sustainability), and the Active Learning Network for Accountability and Performance (ALNAP) criteria for the evaluation of humanitarian action (coherence; coverage; and connectedness)

D. Summary

- Evaluation to improve decision-making is needed to ensure the effectiveness of humanitarian actions
- Operational humanitarian decisions can be categorised in several ways, such as their characteristics or content.
- Decisions based on their content can be divided such as:
 - Decisions about response options
 - Decisions about targeting
 - Decisions about information
 - Decisions about working together
 - Decisions about go/no go and the scale of response
 - Staffing/resource allocation:
- In conducting IAHEs, there are several things that need to be considered in evaluation analysis:
 - Gender
 - Inclusiveness
 - Accountability to affected people
 - Ethical consideration
 - Relevance to context
 - Application of Internationally established evaluation criteria



Self-assessment Checklist



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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



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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 that 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.

Please review the Unit Readings and complete the Self-assessment Checklist in this document. It may include verification questions about what you learned from the training content and material. It may also include competency questions about your knowledge and skills. Assessors may ask you what knowledge or skill will you 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. The key messages and transitions between your sentences and paragraphs must be clear. 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.

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



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Recommended readings

ALNAP (2009). *Real Time Evaluations of Humanitarian Actions*. Accessible [here](#)

ALNAP (2018). *Making operational decisions in humanitarian response: a literature review*. Accessible [here](#)

HPG (2019). *Mapping Local Capacities and Support for More Effective Humanitarian Response*. Accessible [here](#)

IASC (2006). *Guidelines for Flash Appeal*. Accessible [here](#)

IASC (2014). *Strategic Response Plan Guidance*. Accessible [here](#)

IASC (2015) *Emergency Response Preparedness (ERP)*. Accessible [here](#)

IASC (2015). *Humanitarian Response Monitoring Guidance*. Accessible [here](#)

IASC (2015) *IASC Reference Module for the Implementation of: The Humanitarian Programme Cycle Version 2.0*. Accessible [here](#)

IASC. (2015). *Multi-Sector Initial Rapid Assessment Guidance*. Accessible [here](#)

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

IASC (2015). *Periodic Monitoring Report Guidance*. Accessible [here](#)

IASC (2012) *The Humanitarian Programme Cycle*. Accessible [here](#)

ICVA (2015). *Partner Capacity Assessments of Humanitarian NGOs*. Accessible [here](#)

Internews (2014). *Reporting on Humanitarian Crises*. Accessible [here](#)

INTRAC (2017). *Real Time Evaluations*. Accessible [here](#)

UNCERF (2017). *CERF Guidance: Monitoring of CERF Allocations*. Accessible [here](#)

UN OCHA (2014). *Humanitarian Gap Analysis Purpose, Definition and Products*. Accessible [here](#)

UN OCHA (2018). *Inter-Agency Humanitarian Evaluations*. Accessible [here](#)

UN OCHA (2020). *2021 Humanitarian Programme Cycle-01 Step by Step Guide*. Accessible [here](#)

UN OCHA (2020). *2021 Humanitarian Programme Cycle-02 Humanitarian Needs Overview Template and Instruction*. Accessible [here](#)

UN OCHA (2020). *2021 Humanitarian Programme Cycle-03 Joint Inter-Sectoral Analysis Framework*. Accessible [here](#)

UN OCHA (2020). *2021 Humanitarian Programme Cycle-04 Humanitarian Response Plan Template and Instructions*. Accessible [here](#)

UN OCHA (2020). *2021 Humanitarian Programme Cycle-05 Response Analysis and Prioritization Guide*. Accessible [here](#)

UN OCHA (n.d). *Flash Appeal: A Quick Guidance*. Accessible [here](#)

UN OCHA (n.d). *ERP Costing Methodology Options*. Accessible [here](#)

WHO (n.d). *HC Guide Chapter 13: Resource Mobilization*. Accessible [here](#)

Learning resources

UN OCHA (2021) *Humanitarian Programme Cycle*. Accessible [here](#)

UNHCR (n.d.) *Humanitarian Programme Cycle (IASC)*. Accessible [here](#)

FEMA (n.d). *Resource Management Task 5: Demobilize*. Accessible [here](#)

Food Security Cluster (n.d). *Resource Mobilization*. Accessible [here](#)



Training Evaluation Sheet



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Training evaluation sheet

Name of Training

Competency unit title and number

ADM.COR.003.1
Programme Cycle

Manage

Humanitarian

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

The training objectives were clearly defined and met.

The training content was organized 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

THE AHA CENTRE

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