1st Edition

TRAINER'S GUIDE

CORE COMPETENCY UNIT

ADM.COR 003.1

Manage Humanitarian Programme Cycle

AHA CENTRE
ONE ASEAN ONE RESPONSE

ASCEND

ASEAN Standards and Certification for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

MANAGE HUMANITARIAN PROGRAMME CYCLE

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Trainer's Guide

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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.

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

The publication of this document is part of the "ASEAN Standards and Certification for Experts in Disaster Management (ASCEND) Toolboxes Development for Five (5) Professions" project.

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

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The ASCEND Programme and Toolbox Development:

Overview

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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 of 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 of responding to large-scale disasters showed that realising the OAOR can be challenging. Various responders from different countries, institutions, organisations, and companies seek to contribute to the overall response. Their goodwill is appreciated, and several provide much-needed assistance. But ASEAN and affected Member States sometimes found it challenging to determine what knowledge and skills responders have and how they can effectively contribute to national and regional efforts.

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

1.2 The objectives of ASCEND

- To enhance the capacity of the ASEAN countries in the implementation of ASCEND.
- To establish regionally recognised Competency Standards and assessment processes covering five professions in disaster management.

- To improve the capacity of the AHA Centre to serve as the ASCEND Secretariat.
- To promote understanding of the ASCEND Framework among the ASEAN Member States (AMS) and other ASEAN sectors in preparation for the inclusion of ASCEND into the ASEAN Mutual Recognition Arrangement (MRA).

1.3 Advantages and benefits of an ASCEND certification

For ASEAN

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

For AHA Centre

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

For disaster management professionals

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

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

1.4 The ASCEND Toolbox

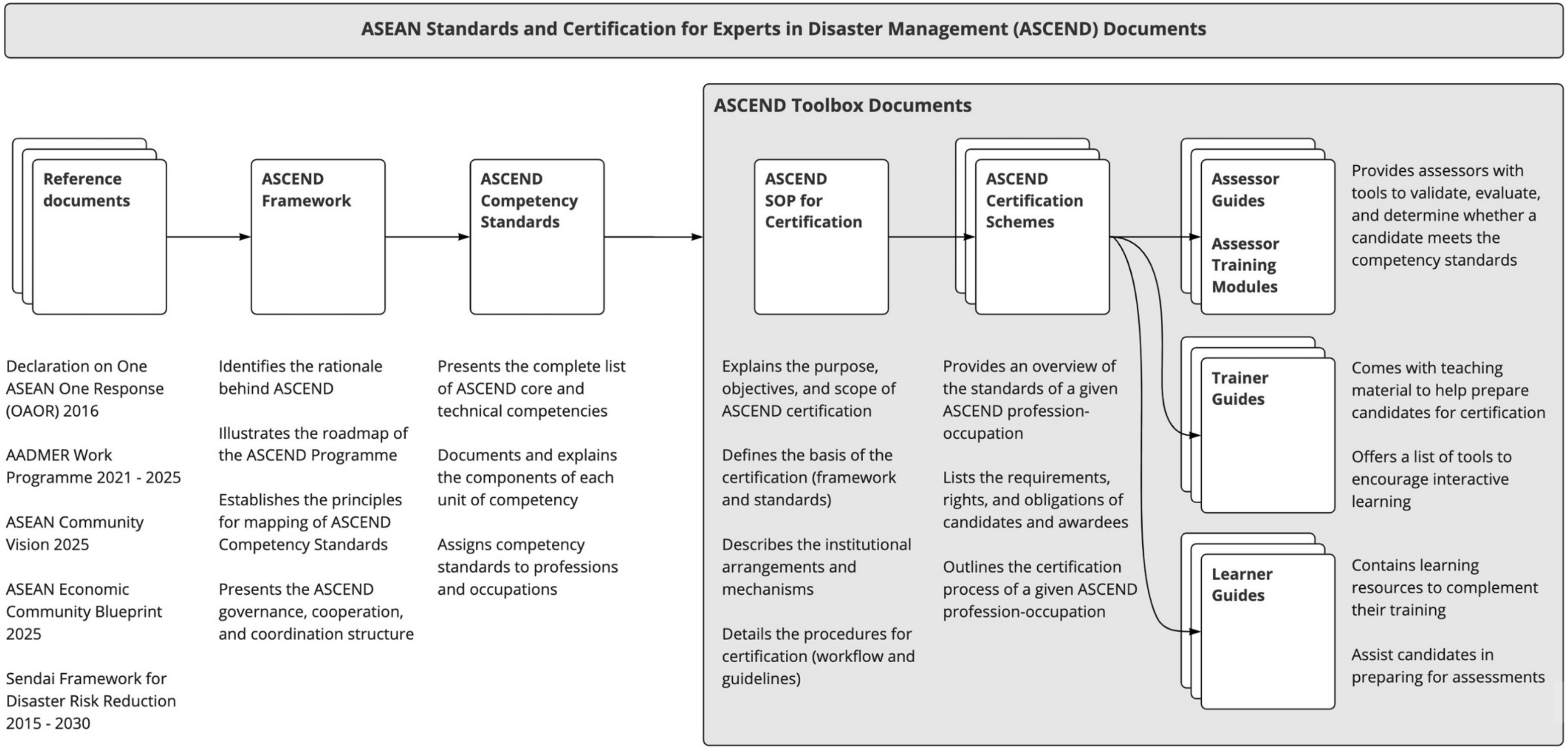
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards that contains forty-three (43) regionally recognised core and technical competencies in selected disaster management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



Competency-based Training (CBT):

Introduction for Trainers

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***Important:** Training is not a mandatory activity of the ASCEND certification process. Applicants or prospective candidates are expected to prepare themselves before the assessment by self-studying the Learner Guides provided to them when accepted for ASCEND certification.*

In case Authorised/Licensed National Certification Institutions decide to conduct training on material related to ASCEND, their trainers can use the contents of this guide to develop their courses or programmes. Candidates seeking certification may also use the "PowerPoint slides and presenter notes" section of this guide for self-study.

Competency-based learning and assessment

Competency is the characteristic and ability to use or apply 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.

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 training (CBT) is a teaching strategy that aims to develop the candidate's knowledge, skills, and attitudes to become qualified and competent to perform in a particular occupation. CBT builds on the candidate's experience and uses different modes of instruction to assist them in meeting the standards and performance criteria defined in a unit of competency.

What do trainers do?

A trainer is someone who structures and facilitates the training of candidates to develop or increase their ability to communicate or demonstrate that they are competent in a specific unit of competency.

The role of trainers is to:

- interpret the scope and adapt the ASCEND competency standards to fit the context of where the training is taking place,
- adjust the training method and delivery of material to cater to learner diversity and needs, and
- assist candidates in preparing for competency-based assessments with the learning resources available.

Using the trainer's guide

The material in this trainer guide is designed to assist trainers in conducting learner-centric activities that recognise prior experience, maximise engagement, teach for understanding, and build on learner strengths. The guide provides suggestions on how to prepare training sessions that enhance candidate participation and minimise disruptions during the session. It also offers a list of equipment and tools that trainers may use to encourage interactive learning and supplement traditional methods like lectures, case discussions, demonstrations, group exercises, simulation games, role-playing, and independent research. Finally, it includes a copy of PowerPoint presentation slides and presenter notes to guide trainers on what key messages to highlight during sessions.

Remarks: *Trainers also need to consider the diverse backgrounds (e.g., cultural, linguistic, social) and needs of candidates when planning and delivering the training. Trainers may have to adapt their training style to suit student preferences, use alternative activities for different levels of ability, and provide opportunities for various forms of participation.*

ASCEND Competency Standards

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

The 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. 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. Table 2 describes its main components.

Table 2: Components of the ASCEND Competency Standards

Component	Description
Unit title	Describes the critical work function to be performed in an occupation.
Unit number	A coding system to organise the units of competency. It also indicates the types of competency standards. • ADM.COR.000.0 are core competencies. These are general professional knowledge and skills related to international humanitarian principles and disaster management standards, including ASEAN mechanisms and procedures. • ADM.TEC.000.0 are technical competencies. These are specific knowledge and skills needed to perform effectively in work areas under their chosen disaster management profession and occupation.
Unit description	Provides information about the critical work function covered by the unit.
Elements	Presents the occupational tasks required to perform the critical work function in the unit.
Performance criteria	Lists the expected outcomes or results from the occupational tasks to perform and the standard required.
Unit variables	Advises on how to interpret the scope and context of this unit of competence.
Assessment guide	Outlines the evidence to gather and evaluate to determine whether the candidate is competent in the unit.
Linkages to other units	Explains the connection of the competency standard to other units of competency.

Critical aspects of assessment	Lists the types of evidence or demonstrated abilities assessors need to observe to determine the candidate's competency.
Context of assessment	Notes the settings or situations in which candidates need to demonstrate their ability during ASCEND assessments.
Resource implications	Identifies the resources needed to conduct the assessment.
Assessment methods	Describes the different assessment methods to assess the competency of candidates in the specific unit.
Key competencies	Presents the specific knowledge, skills, and attitudes related to the unit of competency that assessors need to evaluate to confirm whether the candidate for certification is qualified and competent.

3.3 Unit of Competency

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 AND PERFORMANCE CRITERIA	UNIT VARIABLE AND ASSESSMENT GUIDE
Element 1. **Conduct humanitarian assessment** 1.1 Collect data and information 1.2 Identify needs and capacities of an affected population, key priorities for intervention, and estimate resource requirements	**Unit Variables** The unit variables provide advice to interpret the scope and context of managing the humanitarian programme cycle. It relates to the unit as a whole and facilitates holistic management. This unit prescribes a series of actions, from assessment, through planning, resourcing and implementing, to monitoring and evaluation. **Real-Time Evaluation (RTE)** may include: • 360-degree assessment • Team evaluations • Performance reviews
Element 2. **Plan humanitarian response** 2.1 Prepare an emergency budget and request an allocation of initial resources. 2.2 Submit a detailed budget in order to create spending authority and be able to sign agreements with partners.	**Assessment Guide** The following skills and knowledge must be assessed as part of this unit: • Ability to conduct a humanitarian assessment, including multi- cluster/sector rapid needs assessment. • Ability to plan a humanitarian response, including identifying an emergency budget in detail, requesting an allocation of initial resources, and revising the operations plan.

2.3 Revise operations plan

Element 3.
Implement humanitarian response

3.1 Prepare an emergency budget and request an allocation of initial resources.
3.2 Mapping capacity and potential partners
3.3 Mobilise resources to implement operation plan
3.4 Demobilise resources

Element 4.
Carry out monitoring of humanitarian action

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

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

- Ability to identify partners in an objective, transparent and consistent manner, mapping the capacity of available current and potential partners and mobilise and demobilising resources.
- Ability to identify monitoring plan, collect, review, and analyse data.
- Ability to update regular reports, establish reporting mechanisms with partner agencies as an integral part of their reporting, adopt standard format, and cover agreed on issues consistently.
- Ability to manage real-time humanitarian action evaluation of an emergency operation or humanitarian response as well as improve the operational decision making

Linkages to other Units

This core unit underpins effective performance in all other units related to the Operational, Supervisory or Coordination Level. Combined training and assessment may be appropriate.

Critical Aspects of Assessment

Evidence of the following is essential:

- Demonstrated commitment to conduct a humanitarian assessment, including multi-cluster/sector rapid needs assessment.
- Demonstrated commitment to planning a humanitarian response, including identifying an emergency budget in detail, requesting an allocation of initial resources, and revising the operations plan.
- Demonstrated commitment to identify partners in an objective, transparent and consistent manner, mapping the capacity of available current and potential partners and mobilising and demobilising resources.
- Demonstrated commitment to identify monitoring plan, collect, review, and analyse data.
- Demonstrated commitment to update regular reports, establishing reporting mechanisms with partner agencies as an integral part of their reporting, adopting standard format, and covering agreed issues consistently.
- Demonstrated commitment to manage real-time humanitarian action evaluation of an emergency operation or humanitarian response and improve operational decision-making.

Element 6.

Manage humanitarian action evaluations

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

6.2 Improve operational decision-making

Context of Assessment

This unit may be assessed on/off the job

- Assessment should include practical demonstration of working effectively with colleagues and assess either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge
- Assessment must relate to the individual's work area or area of responsibility.
- Assessment, planning, implementation, monitoring, reporting, and evaluating in an emergency.

Resource Implications

Training and assessment to include access to a real or simulated workplace; and access to workplace standards, procedures, policies, guidelines, tools and equipment

Assessment Methods

The following methods may be used to assess competency for this unit:

- Case studies
- Observation of practical assessment performance
- Oral and written questions
- Portfolio evidence
- Problem-solving
- Role plays
- Third-party reports completed by a supervisor
- Project and assignment work

Key Competencies in this Unit

Level 0 = irrelevant, not to be assessed
Level 1 = competence to undertake tasks effectively
Level 2 = competence to manage tasks
Level 3 = competence to use concepts for evaluating

Key Competencies	Level	Examples
Collecting, organising, and analysing information	3	Access and record from a single source
Communicating ideas and information	3	Use positive communication techniques
Planning and organising activities	3	Identify the most appropriate way to respond to feedback
Working with others and in teams	3	Interact effectively with other people both on a one-to-one basis and in groups.
Using mathematical ideas and techniques	3	Simple tasks use mathematical ideas, such as number and space, and techniques, such as estimation and approximation, for practical purposes.
Solving problems	3	Apply conflict resolution and communication skills to resolve conflicts and/or misunderstandings
Using technology	3	Reproduce or present basic product or service

Preparing for Training Sessions:

Equipment, Material, and Tools

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4.1 Onsite training

Please refer to the checklist and table below when conducting onsite training.

Checklist Tick box (✓) when completed	**Training resource requirements** Equipment and material
☐	Secure a computer (desktop or laptop) installed with the latest Windows Operating Systems and Microsoft Office Apps (Word, PowerPoint, Excel).
☐	Gain access to a stable internet connection and printer, if needed.
☐	Reserve a conducive training facility with a dedicated workspace (large desk and chair with back support), projector, and black/whiteboards.
☐	Obtain a copy of the Trainee Guide, including PowerPoint (PPT) presentation and presenter notes. Test if the PPT presentation is working before sessions.
☐	Request a list of confirmed attendees (candidates) and their contact details.
☐	Send training invitations to all confirmed attendees through email. It includes a brief overview of the training, date, schedule, training venue, information about the trainer, email support, and a copy of the Trainee Manual (PDF version).
☐	Print out copies of the Trainee Manual, if needed.

4.2 Online training

Please refer to the checklist and table below when conducting online training (remote).

Checklist Tick box (✓) when completed	**Training resource requirements** Equipment and material
☐	Secure a computer (desktop or laptop) installed with the latest Windows Operating Systems and Microsoft Office Apps (Word, PowerPoint, Excel).
☐	Gain access to a stable internet connection.
☐	Purchase a licensed video conferencing account, if needed (e.g., Zoom Meetings, Webex).
☐	Reserve a dedicated workspace (large desk and chair with back support).
☐	Obtain a copy of the Trainee Guide, including PowerPoint (PPT) presentation and presenter notes. Test if the PPT presentation is working before sessions.
☐	Request a list of confirmed attendees (candidates) and their contact details.
☐	Send training invitations to all confirmed attendees through email. It includes a brief overview of the training, date, schedule, Zoom log-in details, information about the trainer, email support, and a copy of the Trainee Manual (PDF version).

The list below recommends apps and tools that trainers may find helpful when planning and delivering the training. Trainers need to register and create their accounts before using the apps and tools.

Apps and tools	**Description**
Zoom	Zoom is a software program that provides a multi-user platform for video and audio conferencing. It has built-in collaboration and presenter tools

	useful in planning and delivering online training sessions like calendar integration, group chat, screen sharing, breakout rooms, and whiteboard functions. https://zoom.us/
For collaboration, group exercises, lectures, and demonstrations.	
Lucidspark	Lucidspark is a virtual whiteboard where training attendees can come together to create, develop, and present their ideas. It can be used for brainstorming, group presentations, and organising notes. https://lucidspark.com/
Ziteboard	Ziteboard is a collaboration software ideal for discussing topics visually and online real-time tutoring. It works seamlessly on different devices (laptops, tablets, and mobile devices) and web browsers (Apple Safari and Google Chrome). https://ziteboard.com/
For activities that test student understanding (quizzes) and decision-making (simulation games)	
Kahoot	Kahoot is a game-based learning platform that allows users to generate multiple-choice quizzes for distance education. Users can create a learning game on any topic in any language, and they can host a live game and share it with users. https://kahoot.com/
Quiz It! Live	Quiz It! Live is an app similar to Kahoot that allows users to create and host live quizzes for groups. It also comes with automated timing, scoring, and marking. https://www.quizit.net/
For gathering feedback, ideas, or responses	
Google Forms	Google Forms is a survey administration software for collecting and organising different kinds of information. Responses are automatically gathered and neatly presented in charts, sheets, and more. https://www.google.com/forms/about/
Survey Monkey	Survey Monkey is the world's most popular free online survey tool. Similar to Google Forms, users can create, send, and edit questionnaires. https://www.surveymonkey.com/

Power Point Slides and Presenter Notes

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5.1 Instructions for using PowerPoint presenter

The PowerPoint **Presenter View** allows you to view your presentation together with the presenter notes on your computer's monitor, while attendees view the note-free presentation on another monitor. It allows you to move the slides, control the pace of the presentation, see the elapsed time of your presentation, and use a tool to draw on point or highlight parts of the presentation.

Connect your computer (desktop or laptop) to a projector. Double click on the PowerPoint presentation to open the file. In PowerPoint, click on the **Slide Show** tab and select the **Use Presenter View** checkbox. Choose which monitor to display Presenter View **ON**. Finally, select **From Beginning** or press f5.

For more information, visit the Microsoft PowerPoint help & learning website: https://support.microsoft.com/en-us/powerpoint

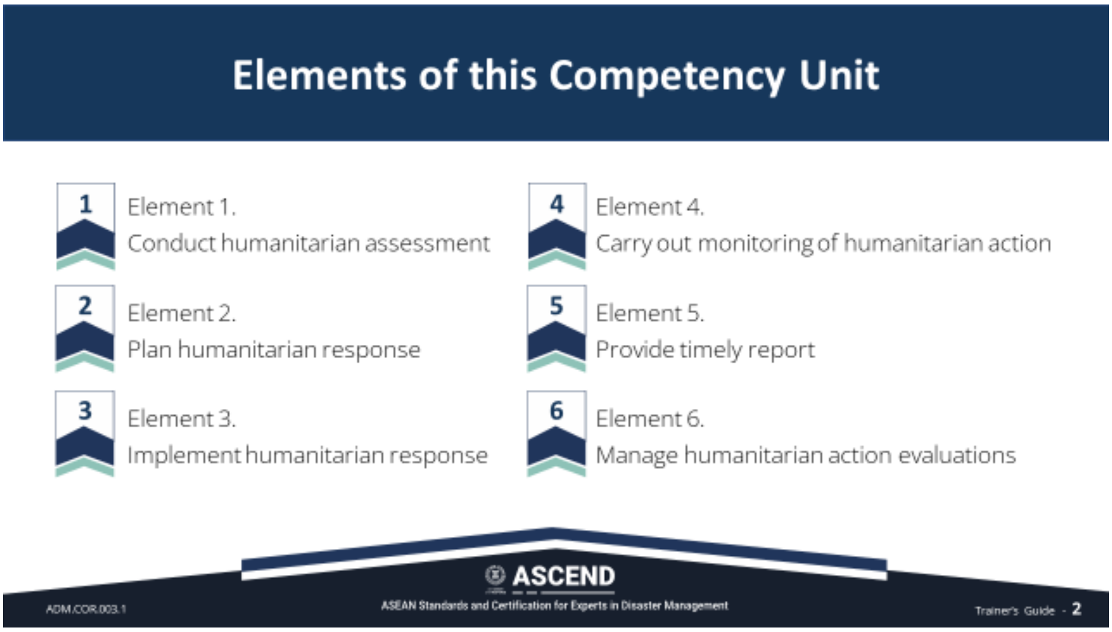
A video tutorial is available here:
https://support.microsoft.com/en-us/office/use-presenter-view-in-powerpoint-fe7638e4-76fb-4349-8d81-5eb6679f49d7

5.2 PowerPoint slides and presenter notes

Image 1: *Slide 1*

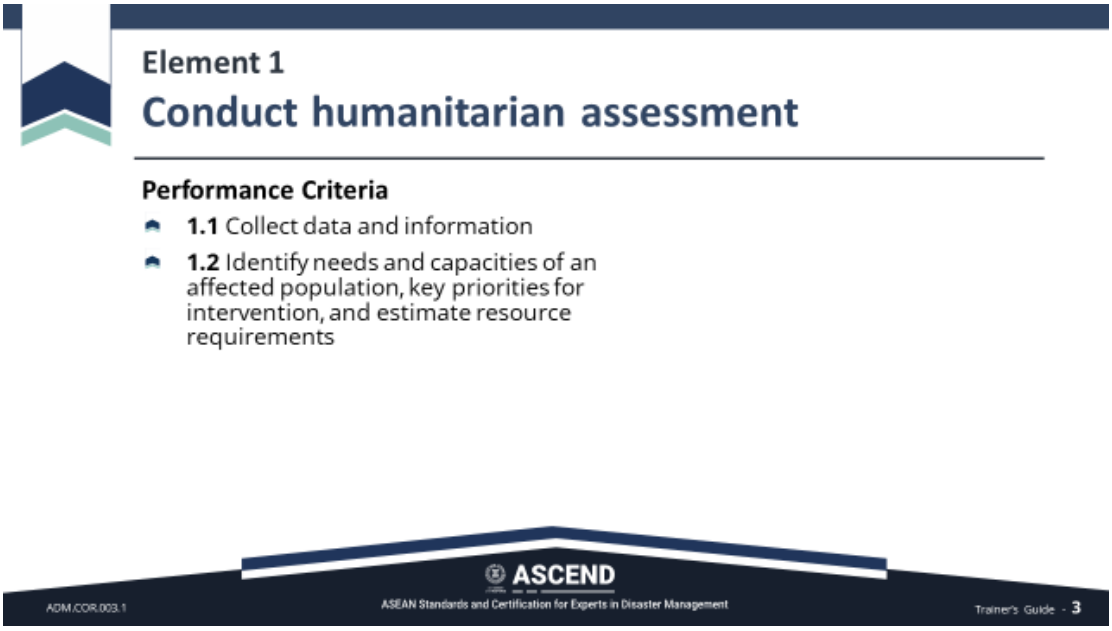
Slide No.	**1**
Trainer Notes	Trainer welcomes students to class. .

Image 2: Slide 2



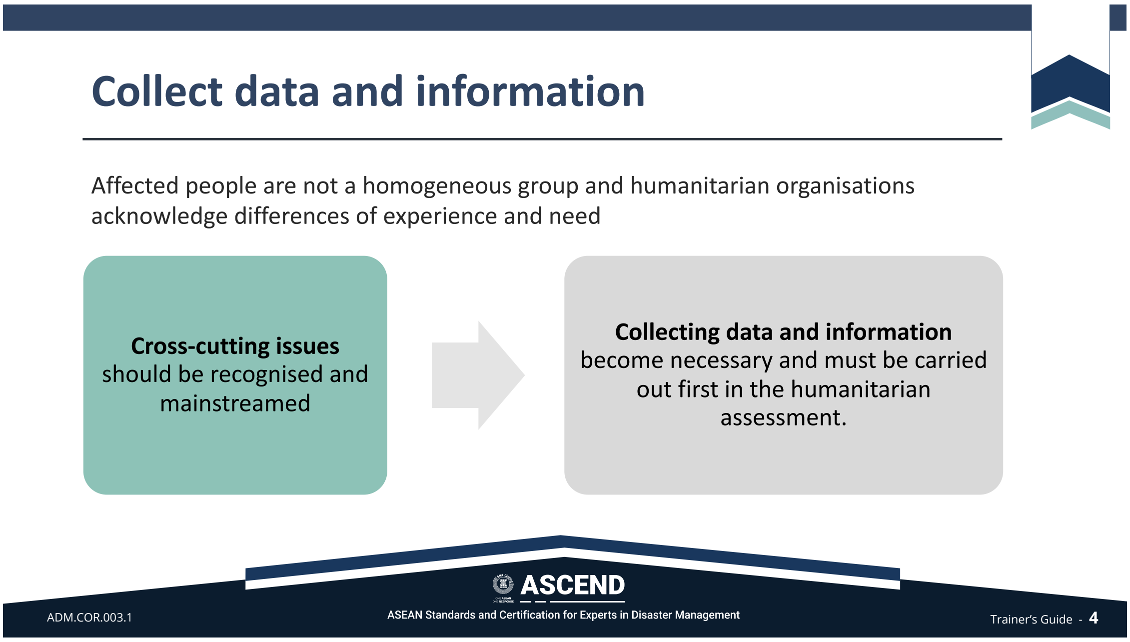
Slide No.	**2**
Trainer Notes	Trainer advises this Unit comprises six Elements, as listed on the slide explaining: • Each Element comprises a number of Performance Criteria which will be identified throughout the class and explained in detail • Participants can obtain more detail from their Learner's Guide • At times the course presents advice and information about various protocols. Still, where their workplace requirements differ from what is presented, workplace practices, standards, policies, and procedures must be observed.

Image 3: *Slide 3*



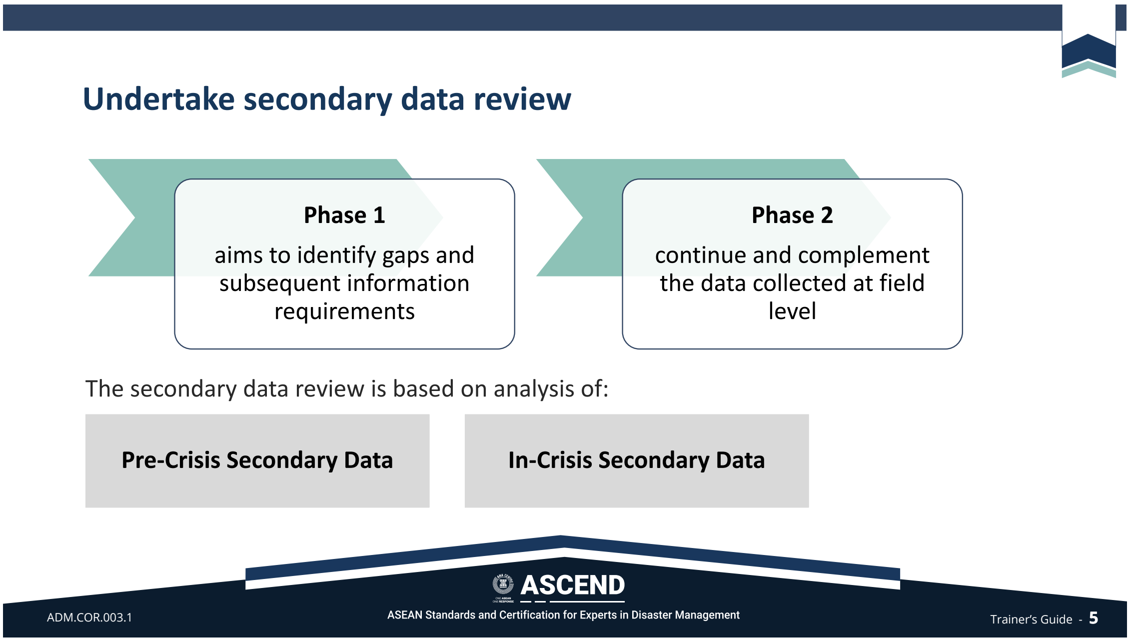
Slide No.	**3**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide. Assessments are a set of activities necessary to understand a given situation, including collecting, updating and analysing data pertaining to the population of concern (needs, capacities, resources, etc.) and the **state of infrastructure** and **general socioeconomic** conditions in a given location/area.

Image 4: *Slide 4*



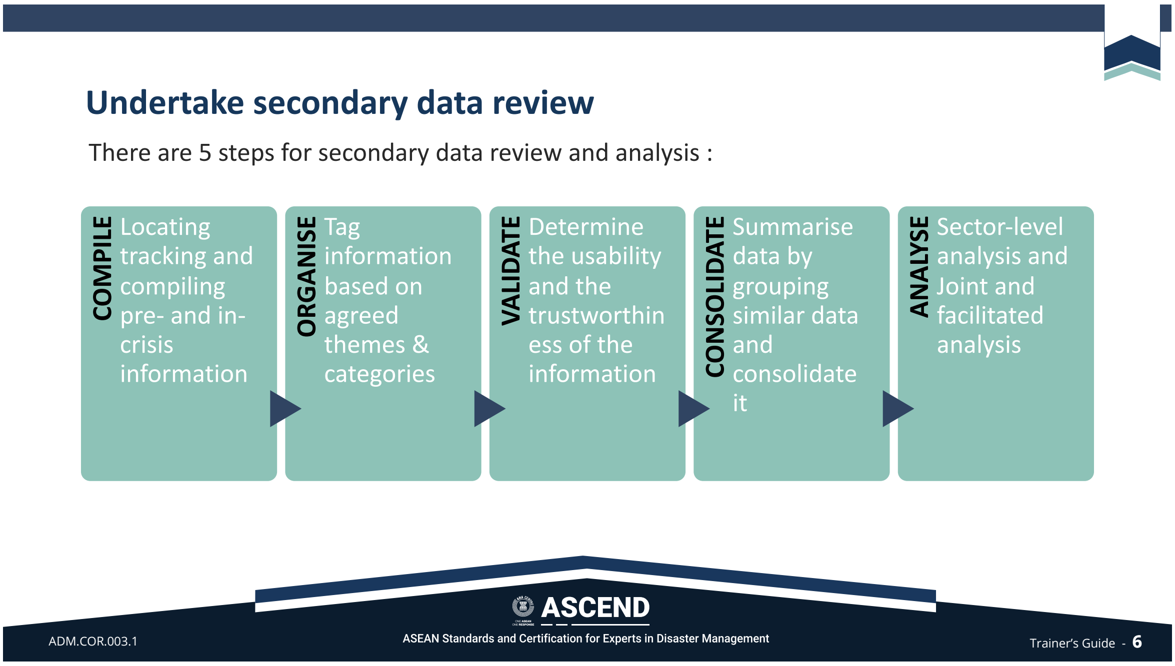
Slide No.	**4**
Trainer Notes	• Affected people are not a homogeneous group, and humanitarian organisations acknowledge differences of experience and need due to sex, gender, ethnicity, disability, age, and other social markers of exclusion. • These differences should inform the implementation of response. Cross-cutting issues such as gender, age, disability, and HIV/AIDS should be recognised and mainstreamed. • Collecting data becomes a critical element that must be carried out first in the humanitarian assessment.

Image 5: *Slide 5*



Slide No.	**5**
Trainer Notes	• 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. • **Pre-Crisis Secondary Data:** Provides background information and baseline for assessing and differentiating the disasters' impact • **In-Crisis Secondary Data** Provides an understanding of the effects of the current crisis; and help assess the impact of the disaster

Image 6: *Slide 6*



Slide No.	**6**

Trainer Notes

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:
- Design and implement data management procedures and standards (i.e. P-codes, tool for storing secondary data, assessment registry)

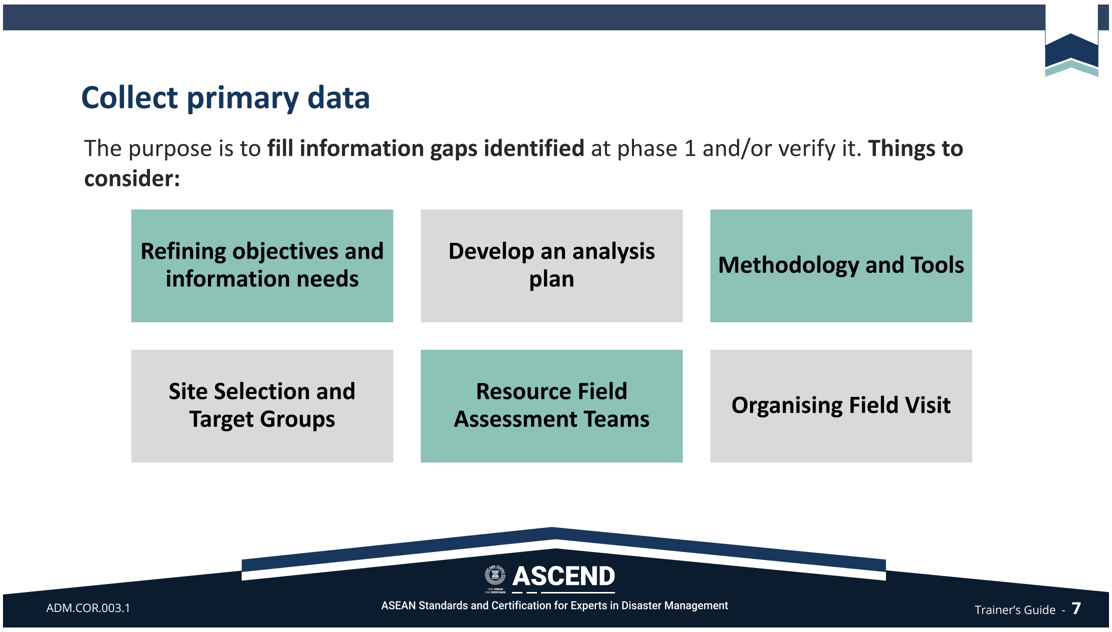
Validate
Determining the usability of the information (relevance and completeness) and the trustworthiness of the information (reliability and credibility).

Consolidate
Summarising 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

Image 7: Slide 7



Slide No. 7

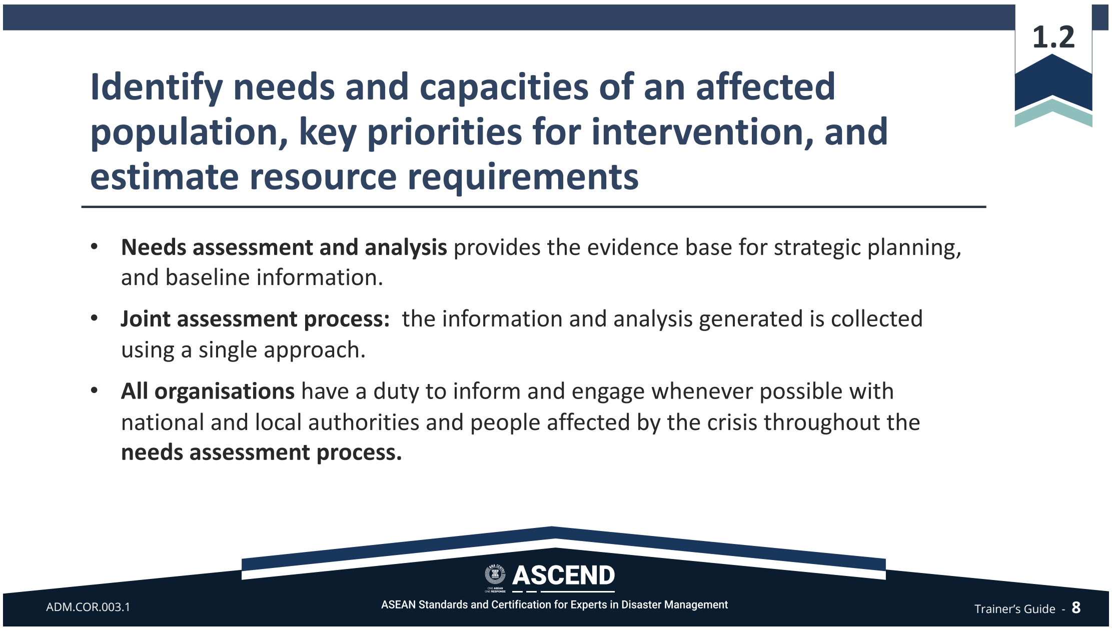
Trainer Notes

- the HC/HCT will decide whether to launch a phase 2 assessment, including a field assessment to collect primary data through visits and interviews
- The purpose is to fill information gaps identified at phase 1 and/or verify by ground trothing consolidated findings and priority humanitarian needs.

Several things need to be considered in collecting primary data:

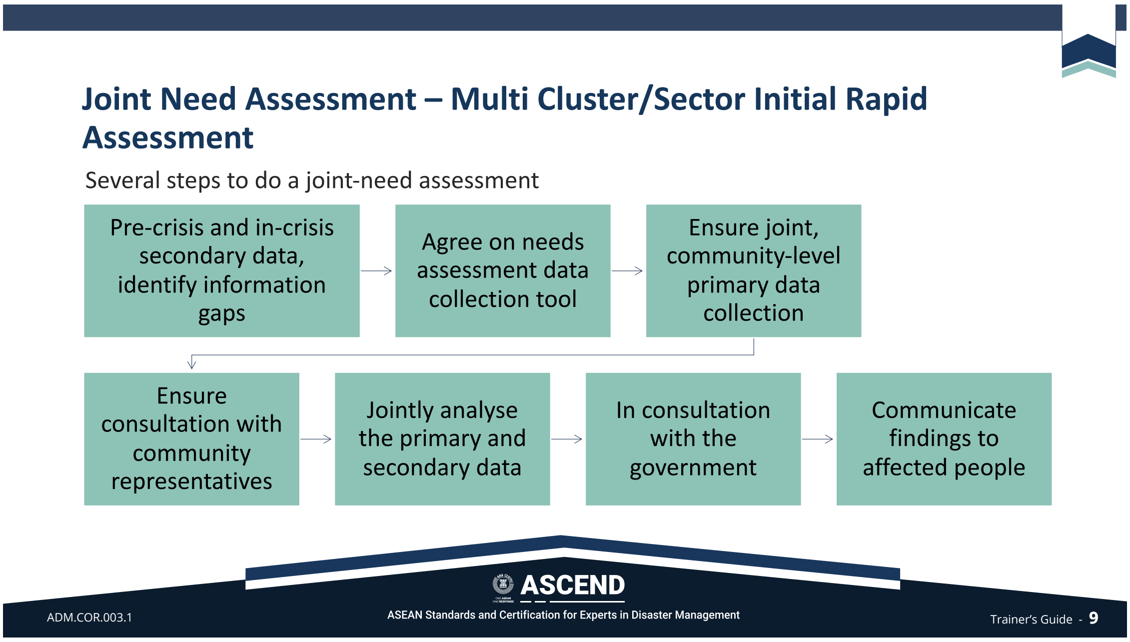
1. **Refining objectives and information needs:** to find a balance between breadth and specificity of objectives
2. **Develop an analysis plan** based on the revised and adapted MiRA framework, design analysis plan detailing
3. **Methodology and Tools:** including a variety of data collection tools, semi-structured questionnaires, and more structured questionnaires
4. **Site Selection and Target Groups** ensure that the assessment captures different types and levels of impact.
5. **Resource Field Assessment Teams:** should be decided based on the scope of the assessment undertaken, the volume of information to collect, the type of crisis and where the assessment takes place
6. **Organising Field Visit** to ensure teams aware of the site selection plan and the planned procedure

Image 8: *Slide 8*



Slide No.	**8**
Trainer Notes	• To enable inter-agency and inter-sectoral planning, it is essential to coordinate assessments so that they are conducted jointly or through a harmonised approach. • In a joint assessment process, the information and analysis generated are collected using a single approach and shared and available to all humanitarian stakeholders. No organisation is considered the owner of the data

Image 9: *Slide 9*



Slide No. 9

Trainer Notes

The Multi-Cluster/Sector Initial Rapid Assessment (MIRA) is a joint needs assessment tool that can be used in sudden-onset emergencies.

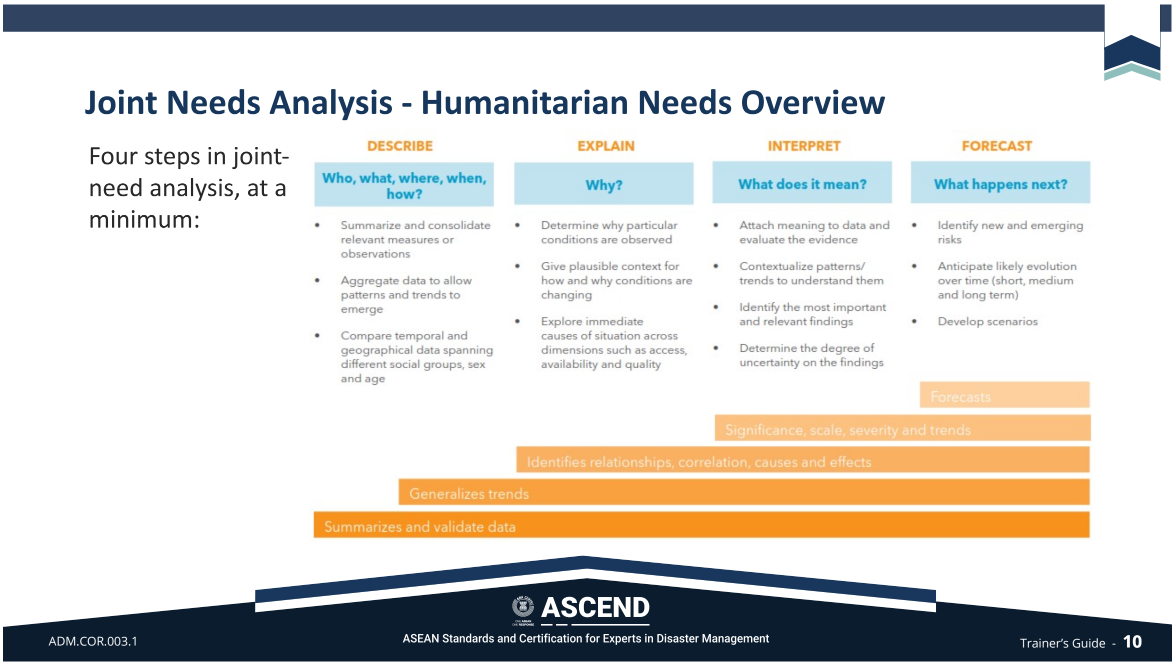
Joint need assessment purpose:

1. Identify needs as expressed by affected communities.
2. Determine key humanitarian issues based on several data sources.
3. Provide an analysis of the need to underpin humanitarian response plan
4. Identify gaps in needs assessments that need to be filled.

Several steps to do a joint-need assessment

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

Image 10: *Slide 10*



Slide No.	**10**

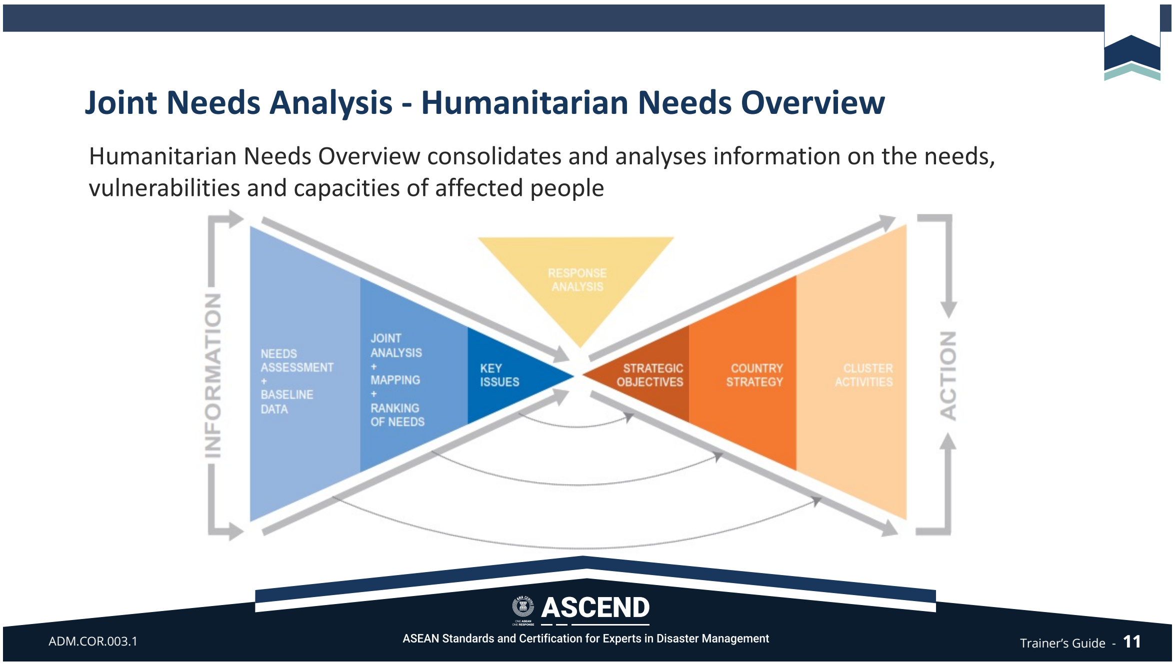
Trainer Notes

The development of a humanitarian needs overview is the first step in the implementation of the humanitarian programme cycle in a protracted crisis and is done ahead of strategic response planning

Purposes in HNO:

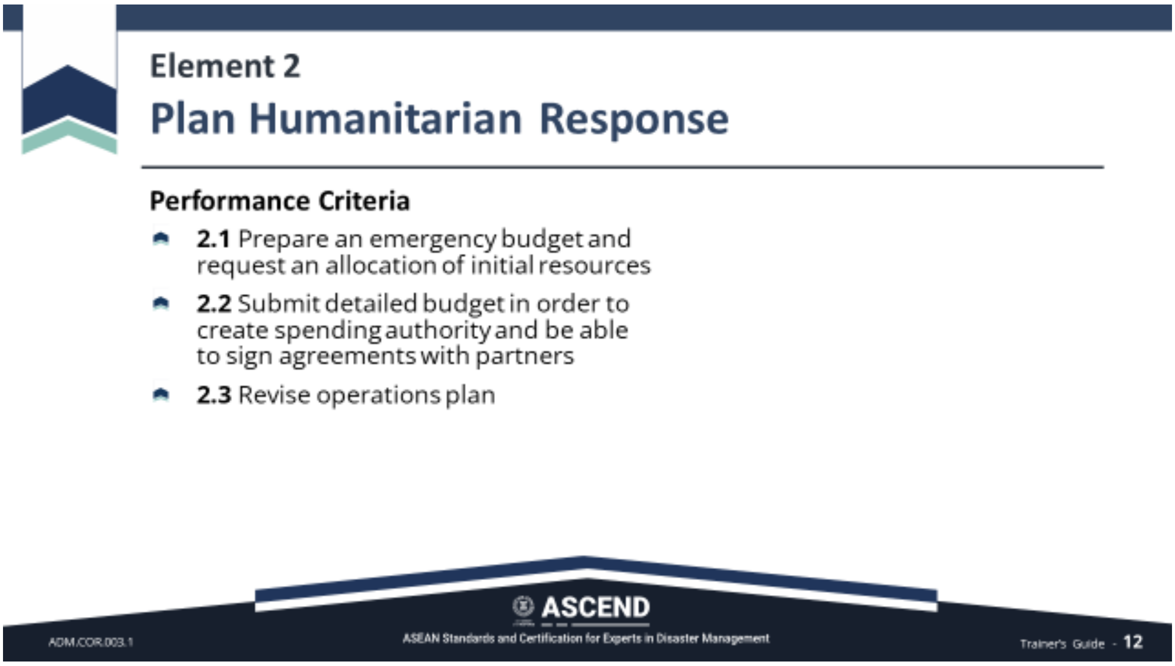
- To identify immediate emergency needs and key humanitarian issues based on multiple data sources.
- To analyse the severity and ranking of need to underpin the humanitarian response plan.
- To consolidate and analyse information to plan and identify gaps in needs assessments for better programming.

Image 11: *Slide 11*



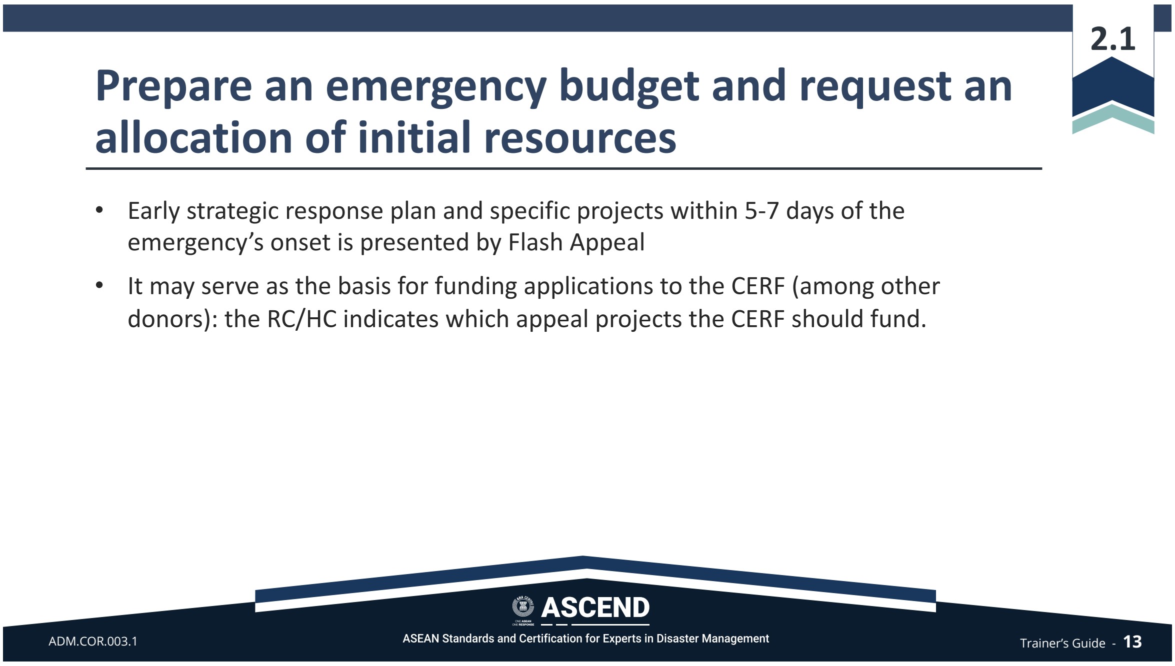
Slide No.	**11**
Trainer Notes	• Humanitarian needs overview initiated by the HC and HCT or national authorities and coordinated by OCHA. • Based on existing information (secondary data) derived from multi-cluster and sectoral assessments, monitoring data, survey results, and contextual judgment of humanitarian actors and local sources such as national authorities, community bodies and representatives from affected communities.

Image 12: Slide 12



Slide No.	**12**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide. Humanitarian response planning helps the humanitarian community in: • respond more effectively to the needs of people affected by a crisis – to focus activities and resources, • to ensure that organisations are working toward the same goals, and • to assess and adjust the humanitarian community's response to a changing environment

Image 13: Slide 13



Slide No.	**13**
Trainer Notes	The total funding requirement (or 'price tag') for the strategic response plan is derived through coordinated project planning. It should reflect all planned humanitarian action needed to reach the strategic objectives.

Strategic Response Plan will:

- outline what the HCT is trying to achieve where and will indicate what resources are required to implement it
- form the basis for monitoring the overall response to inform strategic and operational decision-making
- serve as a roadmap for humanitarian organisations to plan and prioritise activities, and design projects

Image 14: Slide 14

Flash Appeal

Tool for structuring a coordinated humanitarian response for the first three to six months of an emergency. Agencies included in making Flash Appeal:

Agencies	Roles
RC/HC	Production, content and document quality
Key humanitarian actors	Prepare consultation
Cluster and sector leads	Bring all into the working group
UN agencies, NGOs	Partnership and additional project
Government ministries	Partners in UN/NGO project

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Slide No.	14

Trainer Notes

Flash Appeal contains:

- an analysis of the context and humanitarian needs (citing whatever specific needs assessments are available),
- response plans (at the general strategic level as well as sector plans including specific proposed projects), and
- statements on roles and responsibilities

The roles of various agencies are needed in making Flash Appeal documents, including the following:

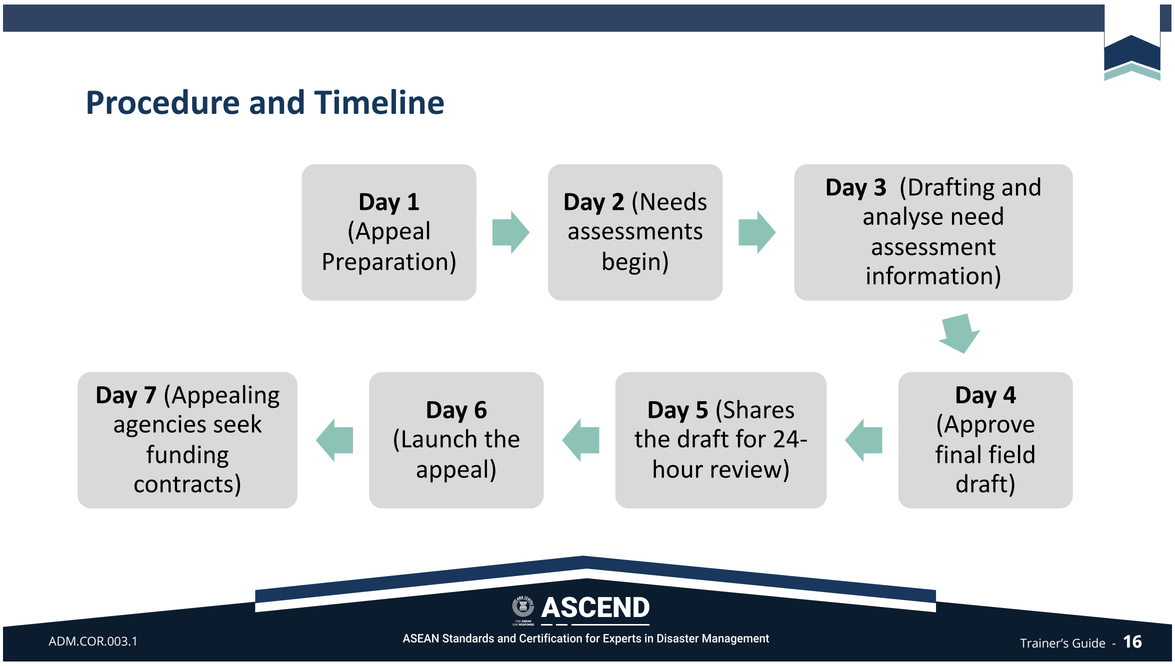
1. **The Resident Coordinator or Humanitarian Coordinator (henceforth "RC/HC"),** with support from OCHA, is responsible for the document's production, content, and quality.
2. The Flash Appeal is prepared in consultation with key humanitarian actors, which may include **government officials, donors, UN agencies, the International Committee of the Red Cross (ICRC), members of the International Federation of the Red Cross and Red Crescent Societies (IFRC), NGOs,** and other relevant actors.
3. **Cluster and sector leads** have a key role in bringing all organisations working significantly in the sector into the working group, leading and coordinating the development of response plans, writing them up for the appeal document, and leading the vetting of projects within their sector or area of activity.

4. The Flash Appeal may include UN agencies, international organisations, and NGOs project**s.** (Note: it may include project partnerships with the Red Cross or Red Crescent National Society of the country of operation
5. **Government ministries** cannot appeal for funds directly in a flash appeal but can be partners in UN or NGO projects.)

Image 15: Slide 15

Slide No.	**15**
Trainer Notes	**Purpose of Strategic Response Planning** 1. To provide an initial joint analysis of the situation. 2. To build broad support for the direction of the response. 3. To briefly outline priority actions and initial funding requirements (based on estimations). 4. To highlight the plan for the scale-up of the response. 5. To ensure that contextual, institutional and programmatic risks to achieving the collective response priorities are identified.

Image 16: *Slide 16*



Slide No.	**16**

Trainer Notes

FA should be issued within the shortest possible time and in any event not longer than one week after the crisis

Day 1 (Appeal Preparation)

- The RC/HC, in consultation with IASC CT, assigns one organisation to lead and coordinate the response, and an appeal focal point in the field
- The government of the affected country is consulted

Day 2

- Needs assessments begin
- Report relevant sector leads.
- Each cluster or sector group meets at the national level to map capacity and assign roles and responsibilities within the sector or activity area.
- The IASC CAP SWG telecoms coordinate any HQ-level issues.

Day 3

- HC's team drafts general sections of the appeal document
- RC/HC decides on appeal duration and communicates it
- Organisations in each cluster/sector analyse needs assessment information, agree on general response strategy, and review and select their members' proposed projects
- Cluster/sector leads coordinate and facilitates consensus-building on project inclusion, draft response plan section,

incorporate the selected projects into the response plan section, and forward to OCHA.
- OCHA compiles these with general sections to produce assembled appeal drafts.

Day 4
RC/HC and country team approve the appeal's final field draft and send it.

Day 5 of the emergency
- The CAP Section shares the draft with IASC agency headquarters for 24-hour review.
- The OCHA desk officer incorporates (the same day if possible) any comments received by the deadline.

Day 6 of the emergency
- The CAP Section style-checks and formats the document registers appeal projects on the Financial Tracking Service, publishes the document, and prints copies by 13h00.
- After 13h00, the appeal is officially launched through a donor meeting in the field and/or at headquarters or a press release.

Day 7 - After the launch
- Appealing agencies seek funding contracts directly from donors and update on funding received
- IASC CT continues in-depth needs assessments, monitors response implementation, and plans appeal revision (if needed).

Image 17: Slide 17

2.2

Submit detailed budget in order to create spending authority and be able to sign agreements with partners

- The Central Emergency Response Fund (CERF) is a stand-by fund established by the United Nations funding
- A CERF allocation consists of an overarching strategy supported by a group of projects
- The CERF acts as a donor, and the flash appeal is the strategic plan and list of projects that CERF (and other donors) should fund

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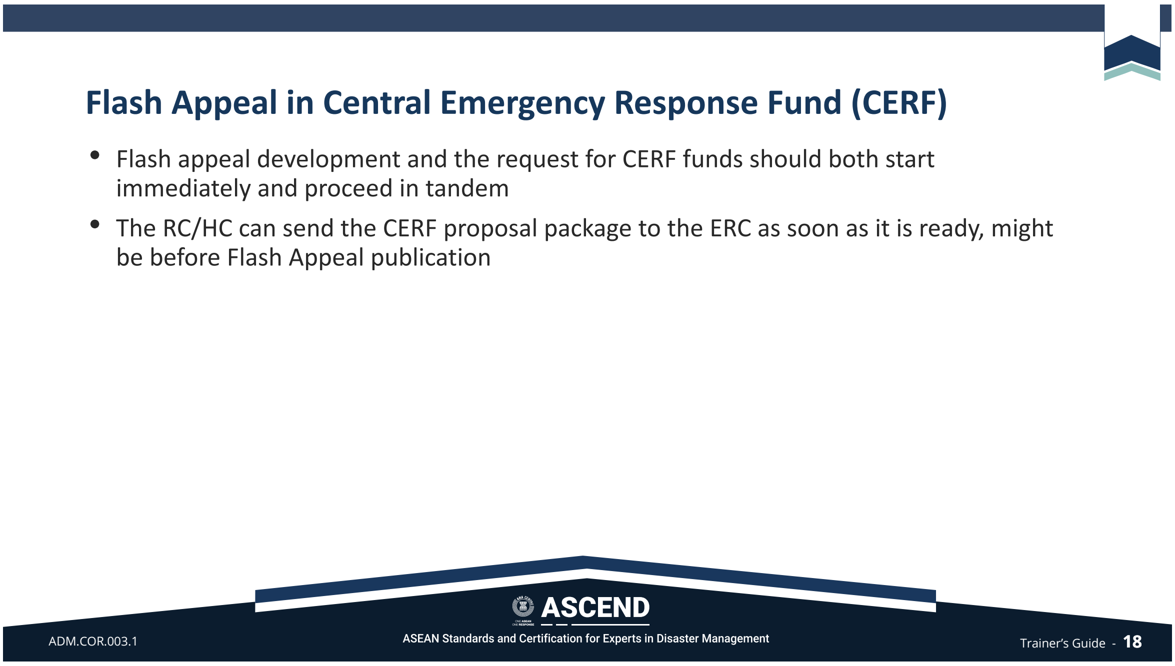
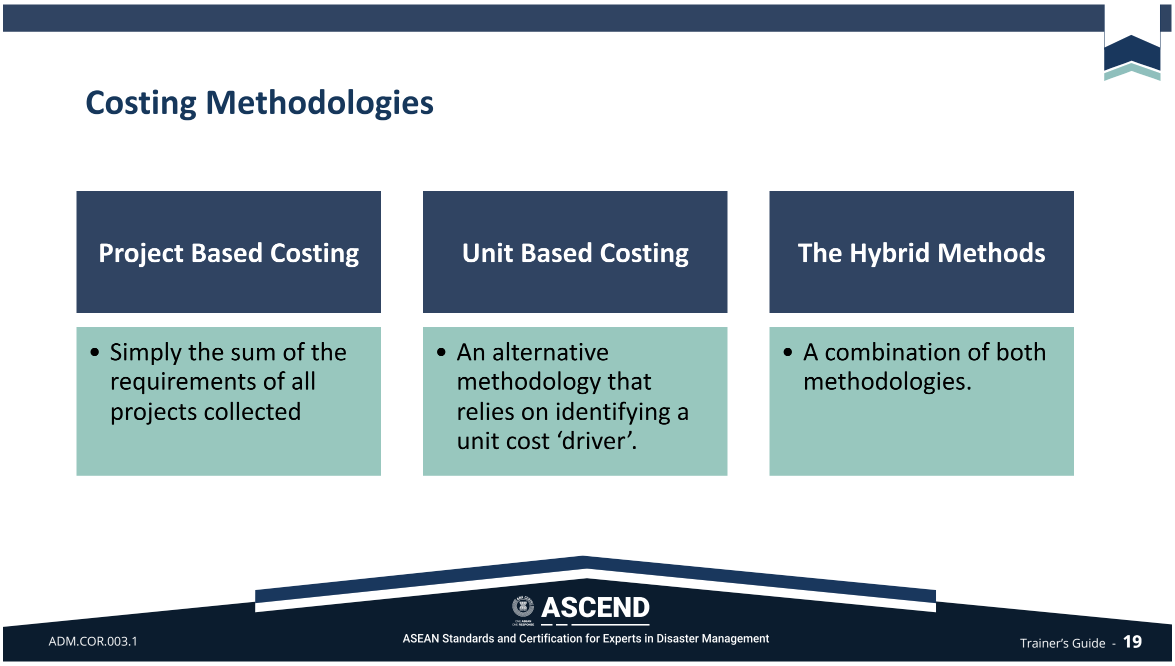
Slide No.	**17**
Trainer Notes	The Central Emergency Response Fund (CERF) is a stand-by fund established by the United Nations funding to support a joint strategy for life-saving humanitarian action, based on prioritised needs, to respond to a new or suddenly deteriorating crisis or provide a response to underfunded emergencies. Flash appeals are necessary to form a coordinated strategic response framework and obtain funding after and beyond the CERF (which cannot fully fund the humanitarian response in most situations).

Image 18: *Slide 18*



Slide No.	**18**
Trainer Notes	Flash appeal development and the request for CERF funds should both start immediately and proceed in tandem **to ensure that the earliest CERF-funded actions form part of a coordinated response** In addition to its primary role, a strategic response plan is also an advocacy tool that can be used in support of resource mobilisation

Image 19: *Slide 19*



Slide No.	**19**

Trainer Notes

Costing Methodologies are methods that can be used to calculate the financial requirements to fulfil the objectives of an annual or multiyear HRP:

1. **Project-Based Costing: the sum of the requirements** of all projects collected through the collaborative project planning process submitted by different agencies, based on standard UN/ NGO cost categories or are based on activities, outputs or outcomes developed by clusters.
2. **Unit-Based Costing:** an activity, an outcome or a standard service being delivered at a certain cost. 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 scop**e.
3. **The Hybrids Methods:** establishes financial requirements **using Unit based costing and follows with detailed project planning** at a later stage to provide more detail to the initial calculations or to give visibility to participating organisations

Image 20: *Slide 20*

Slide No.	**20**

Trainer Notes

The Flash Appeal 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.

To get the funding, the Flash Appeal should be developed following the given structure:

1. **Crisis Overview:** provide an evidence-based explanation of the magnitude and severity of the crisis and the priority needs of the affected population.
2. **Main Humanitarian Need:** contain existing information, and field observations suggest that the most immediate threats to life are based on the situation analysis.
3. **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.
4. **Response Strategy:** reflect agreed inter-sector (joint) response priorities, ideally over specific timeframes, and give an overview of the planned response and underlying considerations.
5. **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.
6. **Project List:** Optionally for the partner to prepare summaries of their projects if coordinated project planning is undertaken.

Image 21: Slide 21

2.3

Revise operations plan

There is usually 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).

Revision of Flash Appeal

Revision of the FA should only be considered in the following cases:

Improved needs analysis	The initial FA was issued for a period that was shorter than 90 days	Initial plan was issued with cluster/sector requirements only

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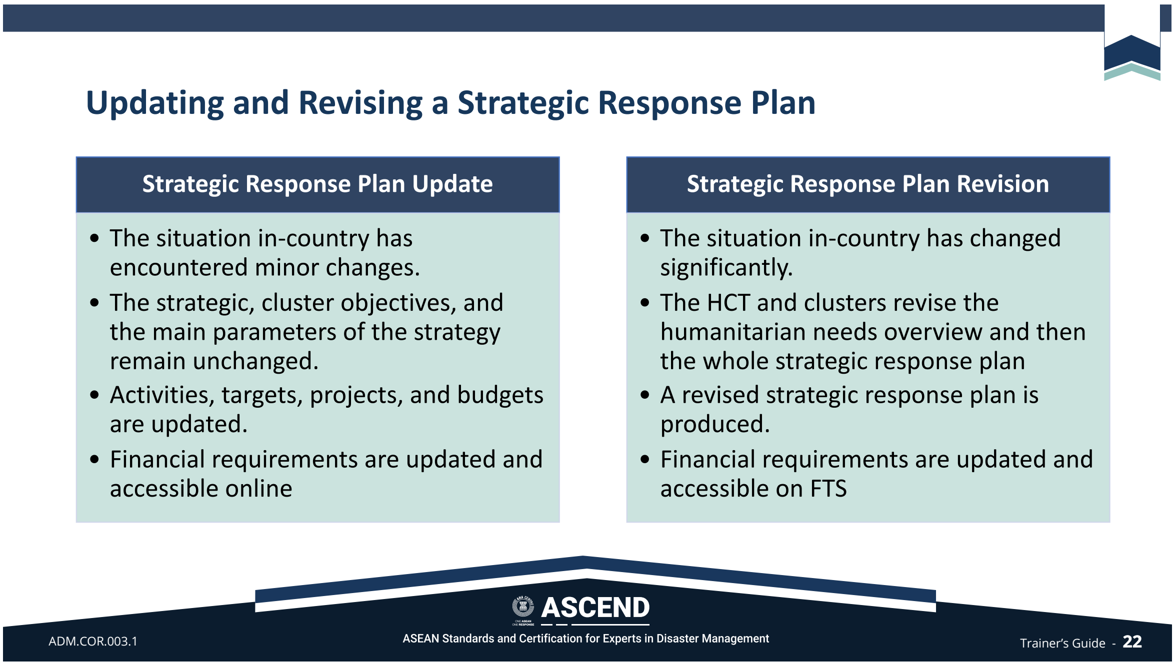
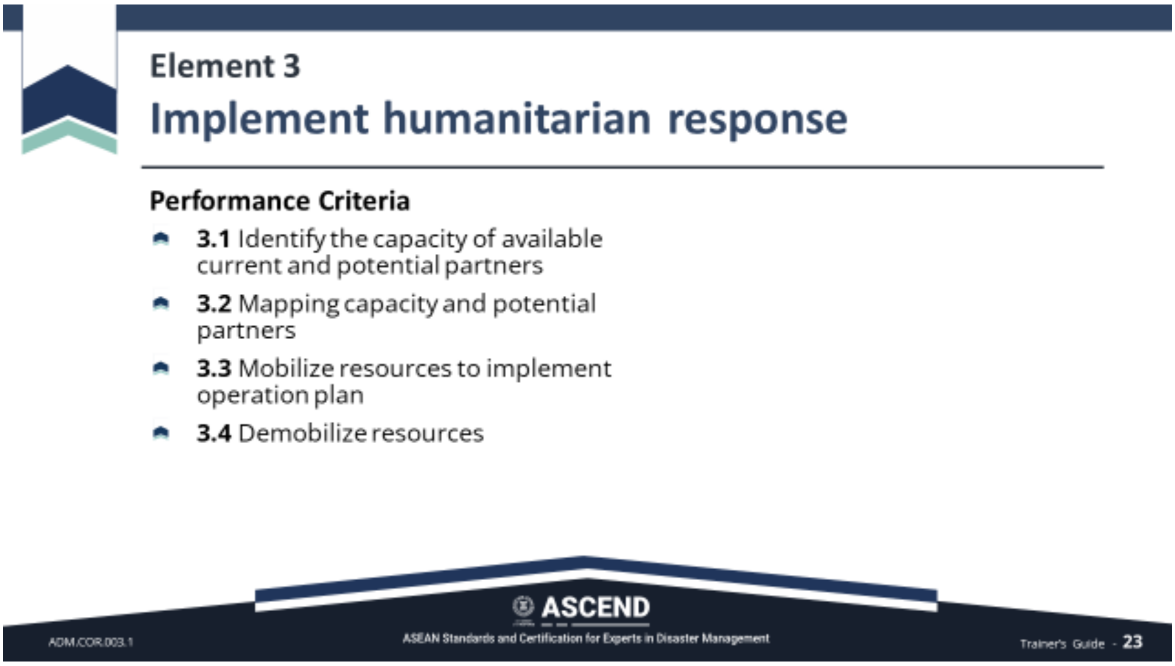
Slide No.	**21**
Trainer Notes	Because the appeal's first edition has to be issued fast, it is inevitably based on early estimates and best guesses, focusing on urgent humanitarian needs plus any early recovery projects that can be assessed and implemented during this early phase of a crisis. Analysis shows that a Flash Appeal revision usually does not generate higher funding levels. • Improved needs analysis indicates a need to review and update the response considerations and activities (i.e. planning figures, access, priorities) • The initial FA was issued for a period that was shorter than 90 days, and the HCT decided to extend the duration to 90 days for operational reasons • Suppose the initial plan was issued with cluster/sector requirements only. In that case, the HCT may decide to replace these sector requirements with actual projects via OPS after the launch of the FA to give more visibility to participating partners and support the coordination of the plan. If the content of the FA did not change, the FA might simply include a short note indicating the update of projects with a link to the project catalogue. There is no need to revise the plan.

Image 22: *Slide 2*



Slide No.	**22**
Trainer Notes	During the year, changes in the humanitarian 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 humanitarian community will need to update or revise its strategy in such cases. The HCT should decide if and when necessary and choose one of the two options.

Image 23: *Slide 23*

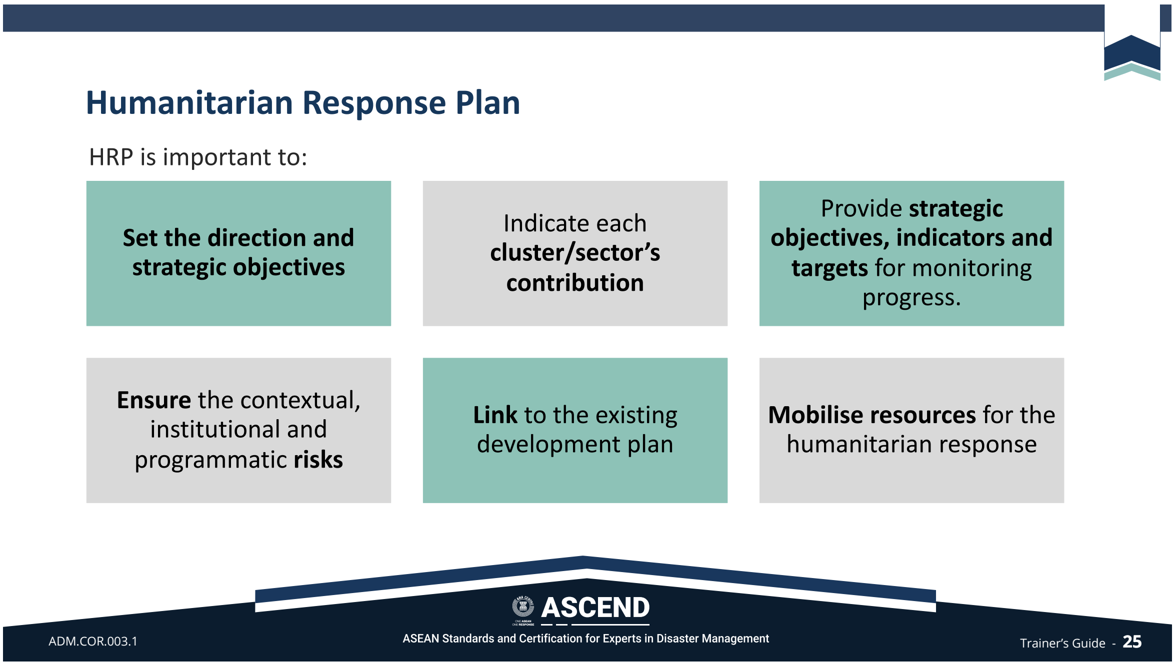


Slide No.	**23**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide.

Image 24: *Slide 24*

Slide No.	**24**
Trainer Notes	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.

Image 25: *Slide 25*



Slide No.	**25**

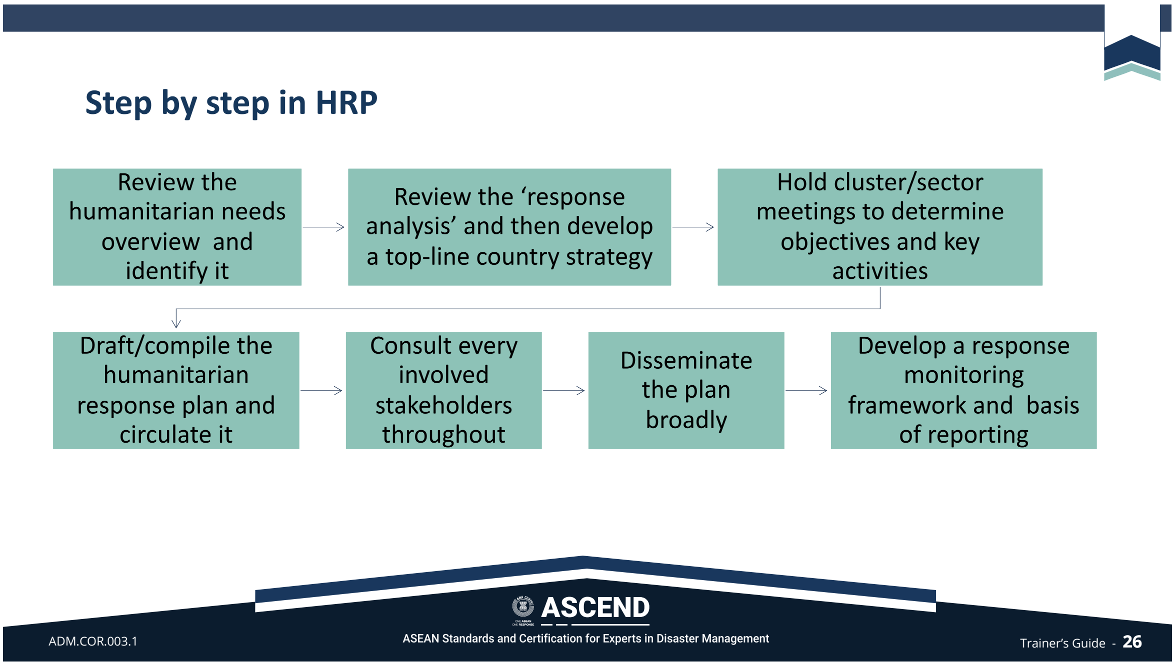
Trainer Notes

In the case of a **sudden onset crisis** where a flash appeal is issued, a humanitarian response plan is **typically completed/revised within 30 days** of the issuance of the flash appeal and builds on the initial planning undertaken.

There are several purposes in developing HRP:

- 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 mobilise resources for the humanitarian response

Image 26: *Slide 26*



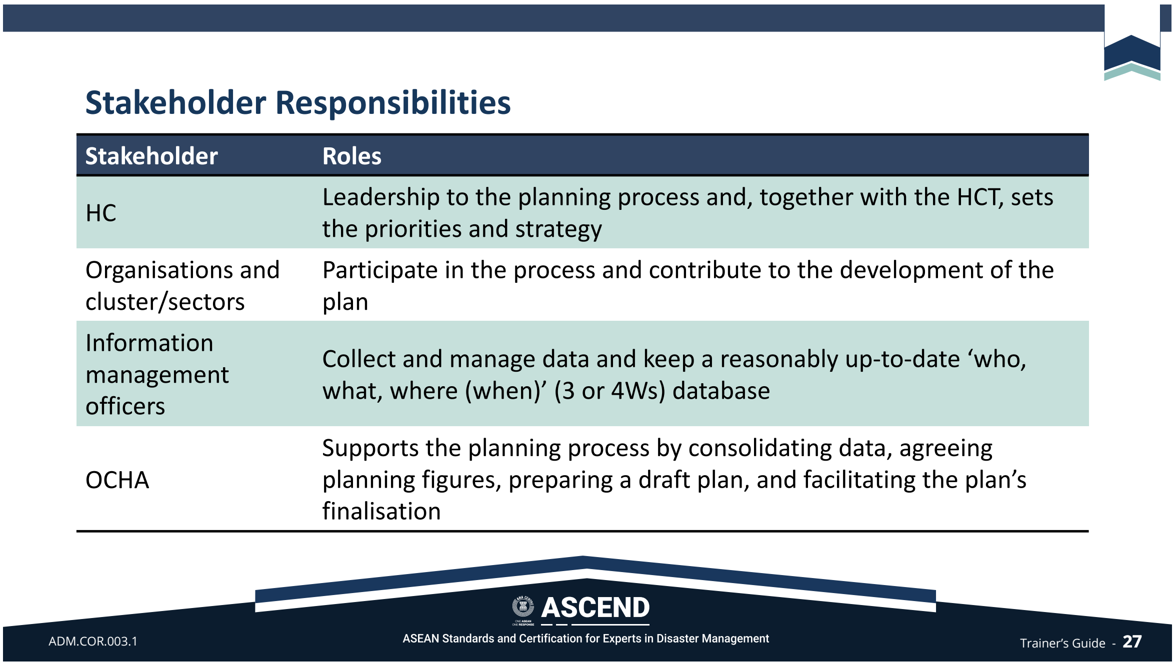
Slide No.	**26**

Trainer Notes

Several things that need to be done to identify the capacity:

1. Review the humanitarian needs overview (or the MIRA report, 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.
2. 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.
3. 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.
4. Draft/compile the humanitarian response plan and circulate it to the HC and HCT for validation.
5. Consult government, development actors, civil society and affected people throughout.
6. Disseminate the plan broadly to ensure its use in each organisation's programming and fundraising.
7. Use the strategic objectives and indicators to develop a response monitoring framework and report results in the periodic monitoring report.

Image 27: *Slide 27*



Stakeholder	Roles
HC	Leadership to the planning process and, together with the HCT, sets the priorities and strategy
Organisations and cluster/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
OCHA	Supports the planning process by consolidating data, agreeing planning figures, preparing a draft plan, and facilitating the plan's finalisation

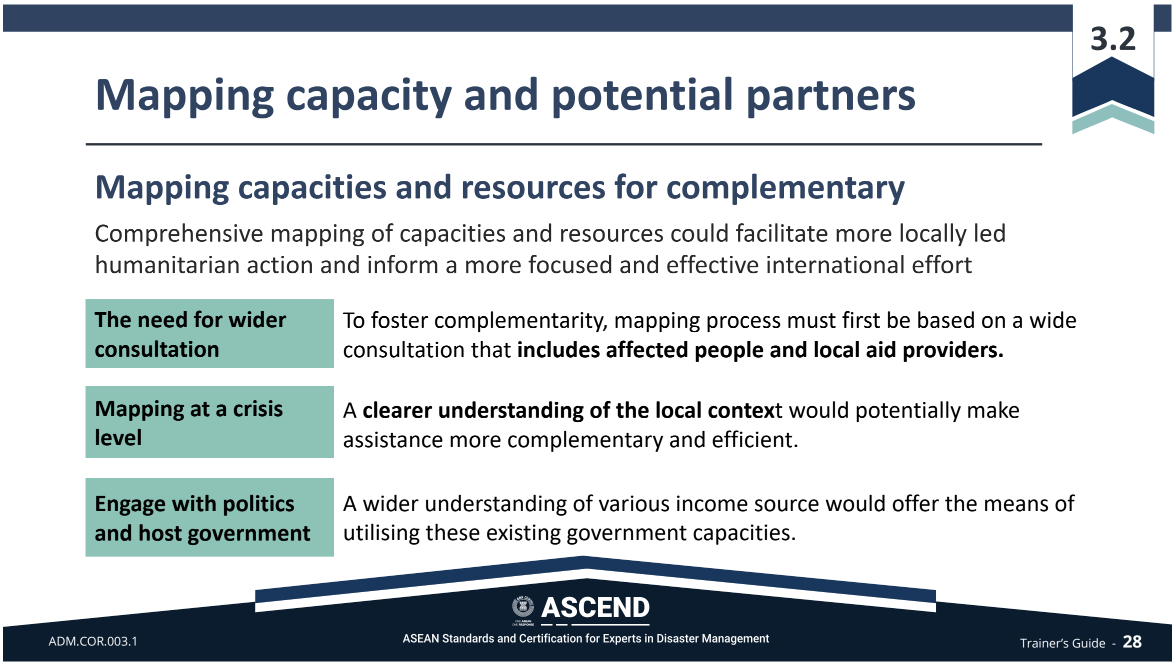
Slide No.	**27**

Trainer Notes

Several stakeholders involved in implementing humanitarian response:

1. **The HC** provides leadership to the planning process and, **together with the HCT,** sets the priorities and strategy and ensures that the cluster response plans comply with that strategy.
2. **Organisations and clusters/sectors**: participate in the process and contribute to the plan's development.
3. **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.
4. **OCHA:** will support the planning process by consolidating data, agreeing on planning figures, preparing a draft plan, and finalising the plan. If present, an inter-cluster coordination group supports these efforts. Humanitarian responders at the subnational level should be engaged throughout.

Image 28: *Slide 28*



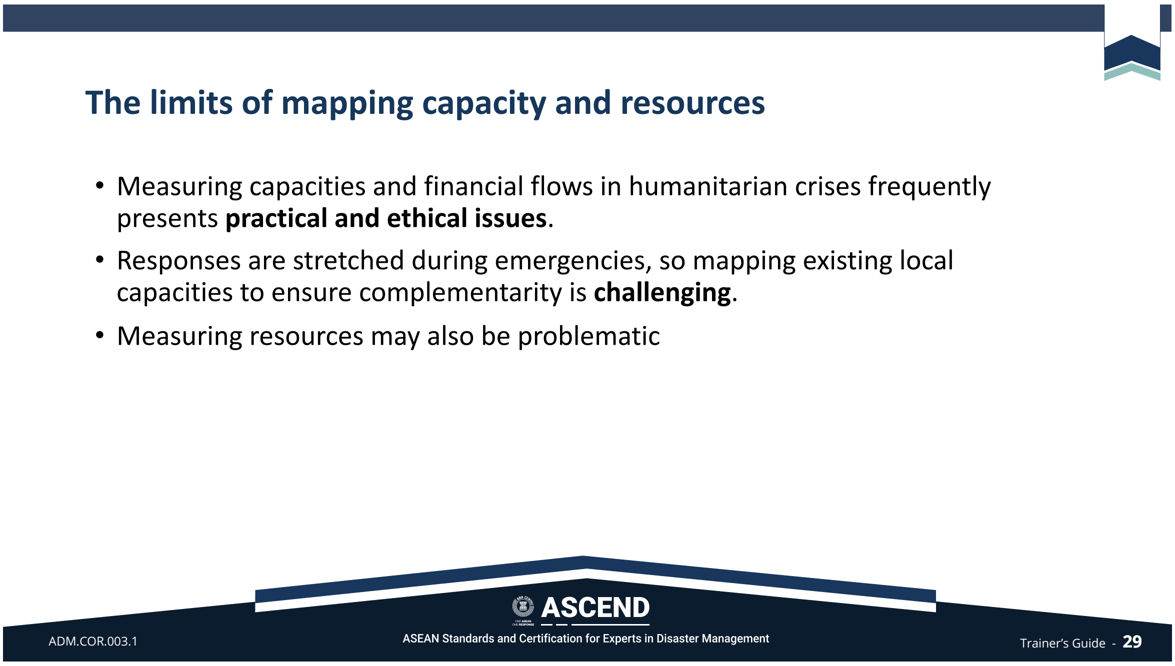
Slide No.	**28**

Trainer Notes

Respective capacities of local and international aid providers would first require **more robust engagement** with these actors more comprehensively.

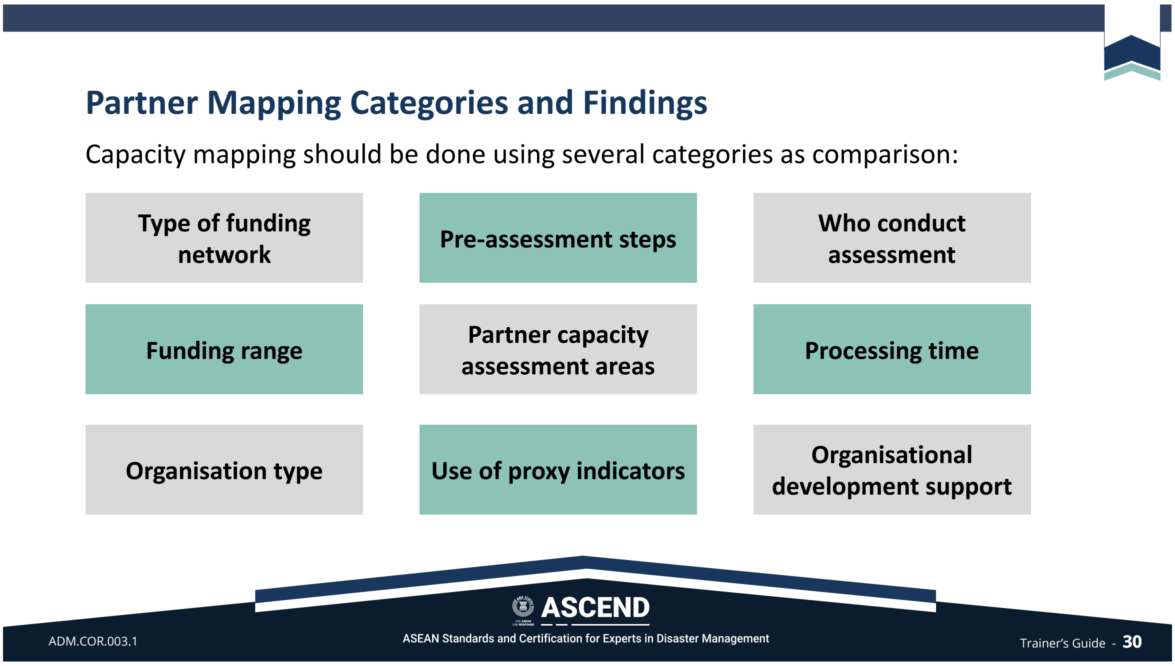
- **The need for wide consultation**
  A mapping process that fosters complementarity must first be based on a comprehensive consultation that includes affected people and local aid providers. It should start from the point of contributions to relieving humanitarian suffering but should not be limited to formal organisations
- **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 and advocating for more local responses, and highlighting essential resource flows that occur as an unintended consequence of humanitarian responses.
- **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. A broader understanding of various income sources has identified social security payments as a critical source of support. A complementary approach would offer the means of utilising these existing government capacities.

Image 29: Slide 29



Slide No.	**29**
Trainer Notes	• Mapping the activities of those risking their safety to organise and deliver assistance could compromise these actors if such information was not treated sensitively. • Measuring resources may also be problematic since the private sector donations and faith-based giving may be more suitable candidates to **explore further the broader flows of resources provided during a crisis** to understand who benefits. • 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.

Image 30: *Slide 30*



Slide No. **30**

Trainer Notes

1. **Type of funding network**: Name or type of the funding framework, whether pooled, agency-specific, partner agreement, global or country-specific funding.
2. **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.
3. **Organisation type**: This part will be the organisation's target for funding. It can be INGOs, NGOs, UN agencies, government agencies or private service providers. The more different organisations involved, the more generic Partner Capacity Assessment (PCAs).
4. **Pre-assessment steps**: This includes the steps that a donor may take before an actual organisational PCA is conducted. This could include registration, due diligence procedures or the development of risk management frameworks or a combination.
5. **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 wholly depends on the country context and outcomes of pre-assessments leading to risk ratings of partners.
6. **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.
7. **Who conducts assessment?** Distinguishes whether this is done by the agency itself or through a third party. Typically, the agency

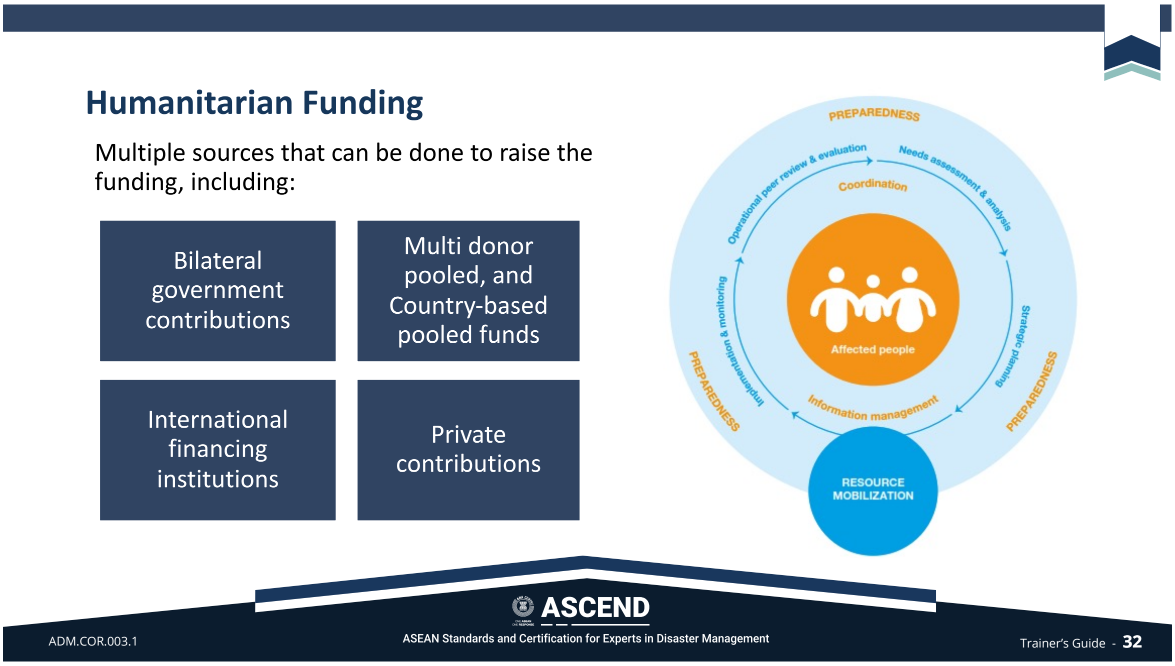
conducted assessments require in-country capacity and familiarisation with the context, including physical verification visits. In other cases, only a third party may be possible or desired for impartiality reasons or due to the security situation.

8. **Processing time:** Average processing time covers the period from initiating contact between an NGO and a potential donor until an actual funding decision is made. It does not generally include the time period between approving and releasing funding, which may take considerably longer.
9. **Organisational development support**

Image 31: *Slide 31*

Slide No.	**31**
Trainer Notes	Resource mobilisation 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.

Image 32: Slide 32



Slide No.	**32**

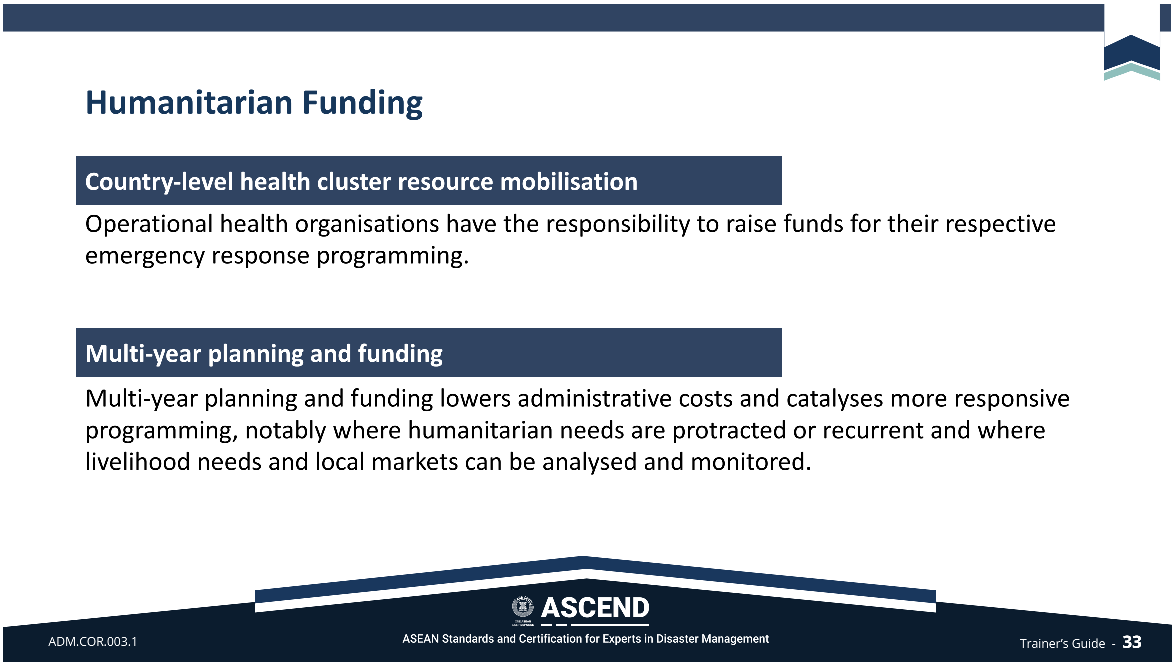
Trainer Notes

Effective humanitarian response and ensuring positive health outcomes for crisis-affected populations require substantial funding. Multiple sources 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.

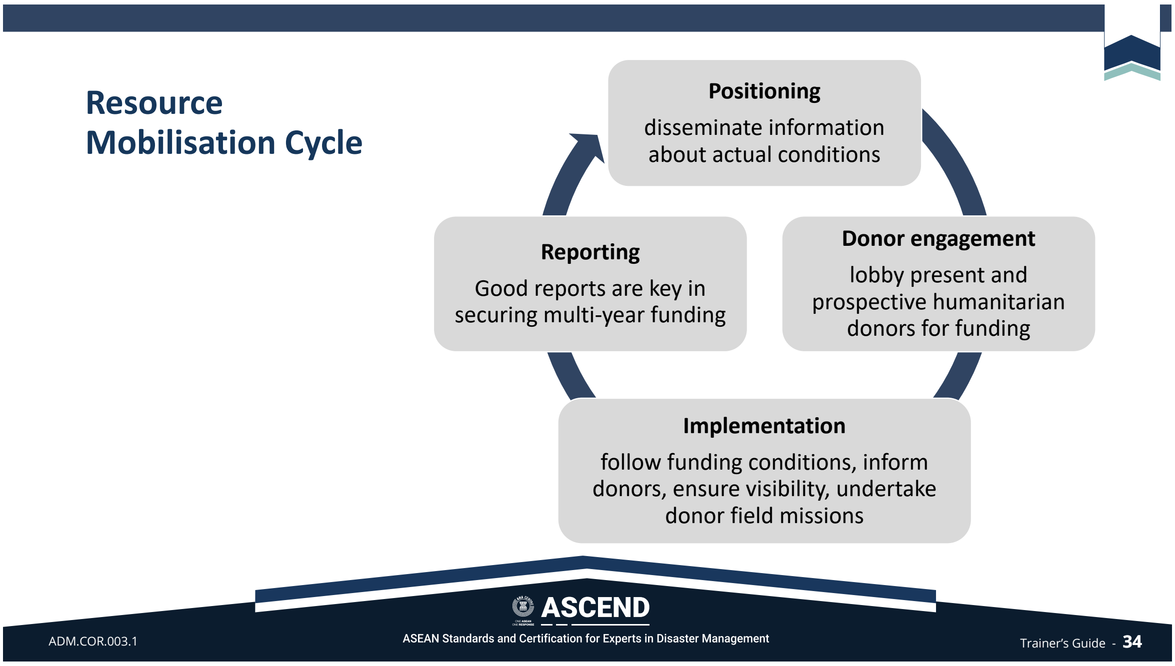
Resource mobilisation has its own allocated phase in the humanitarian response plan.

Image 33: Slide 33



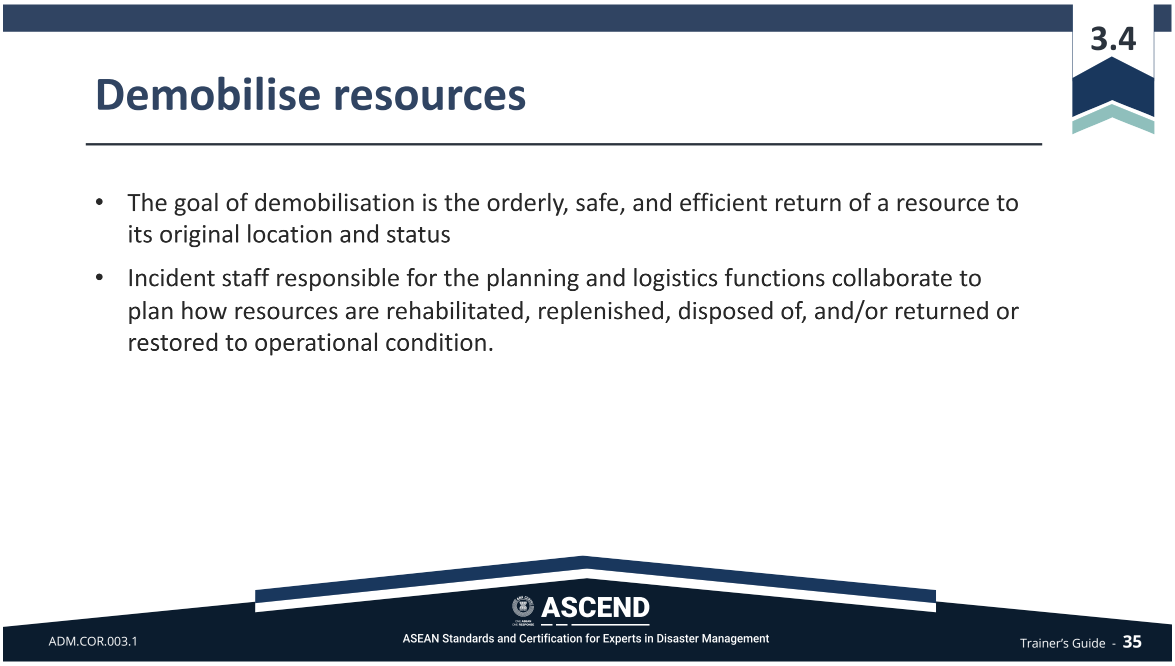
Slide No.	**33**
Trainer Notes	• After the humanitarian country strategy has been developed, the health cluster response plan will be determined and reflect the total funding requirement for the health cluster. • The financial requirements for each cluster and participating agency in the humanitarian response plan are summarised at the end.

Image 34: *Slide 34*



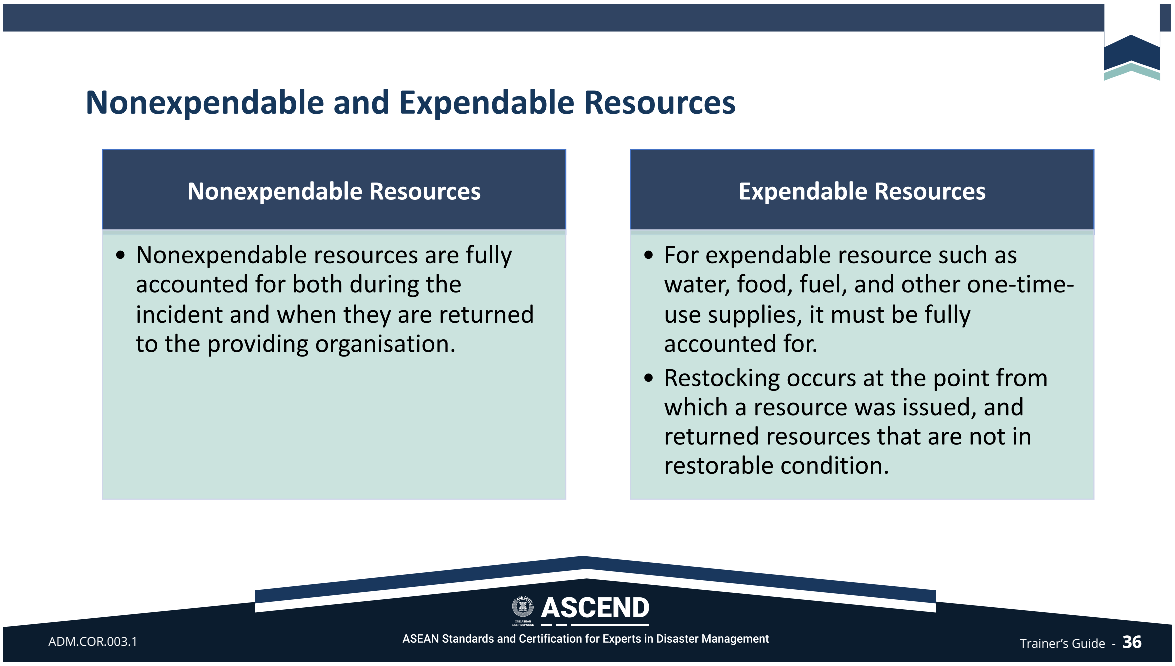
Slide No.	**34**
Trainer Notes	After a sudden onset disaster, the more prominent humanitarian donors tend to make significant funding decisions within 72 hours of sudden onset emergencies, usually in response to a flash appeal and through bilateral engagement. Generally, there are 4 stages in the resource mobilisation cycle.

Image 35: *Slide 35*



Slide No.	**35**
Trainer Notes	Once resources are no longer needed on an incident, those responsible for resources should demobilise them. The resource requestor and provider may agree to reassign a resource rather than demobilise it.

Image 36: *Slide 36*



Slide No. 36

Trainer Notes

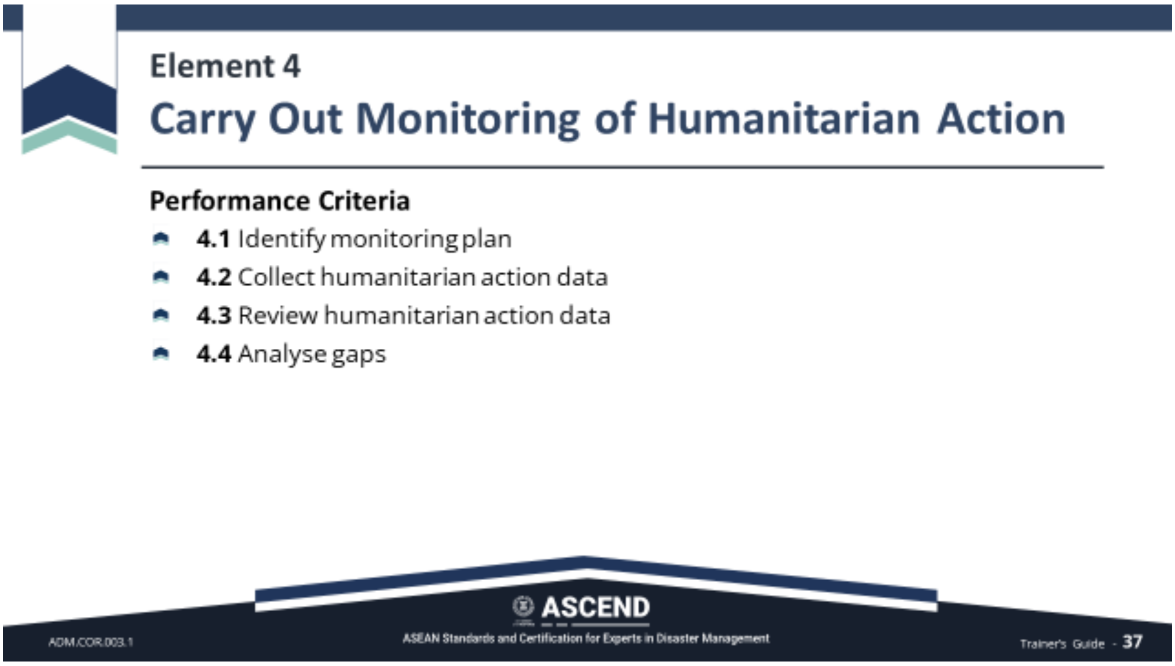
Nonexpendable Resources

- Resources are fully accounted for during the incident and when they are returned to the providing organisation. They need to be restored to full functional capability and readies for the subsequent 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. The incident management organisation bears the costs of expendable resources, as authorised in financial agreements executed by preparedness organisations.

Image 37: *Slide 37*



Slide No.	**37**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide.

Image 38: *Slide 38*

4.1

Identify monitoring plan

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.

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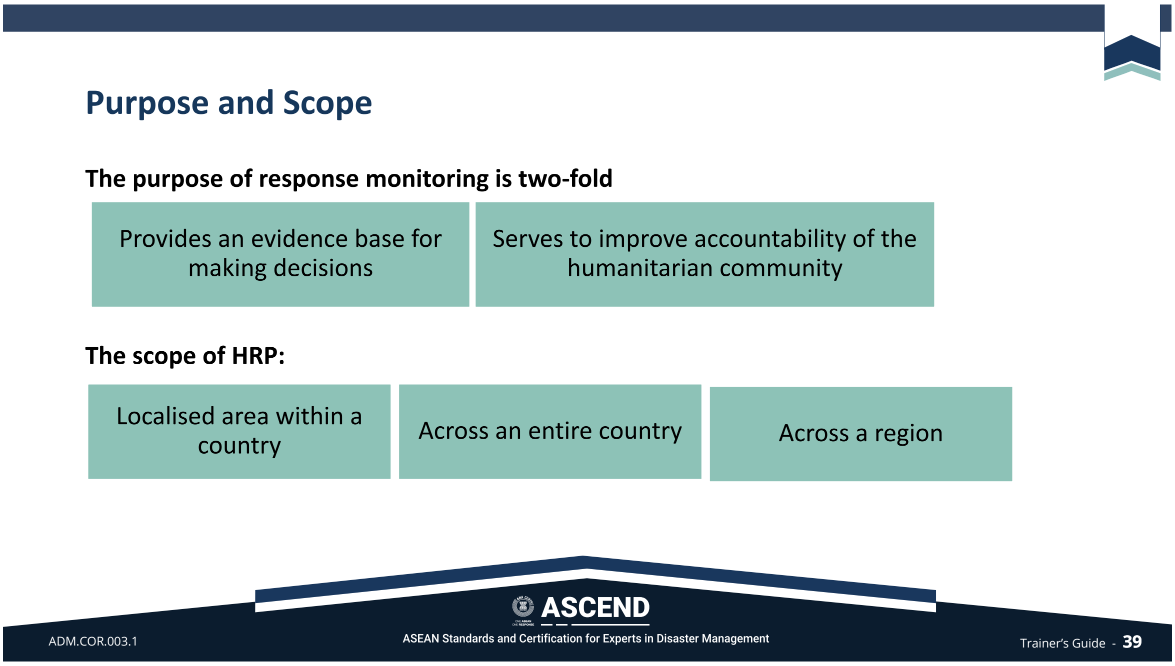
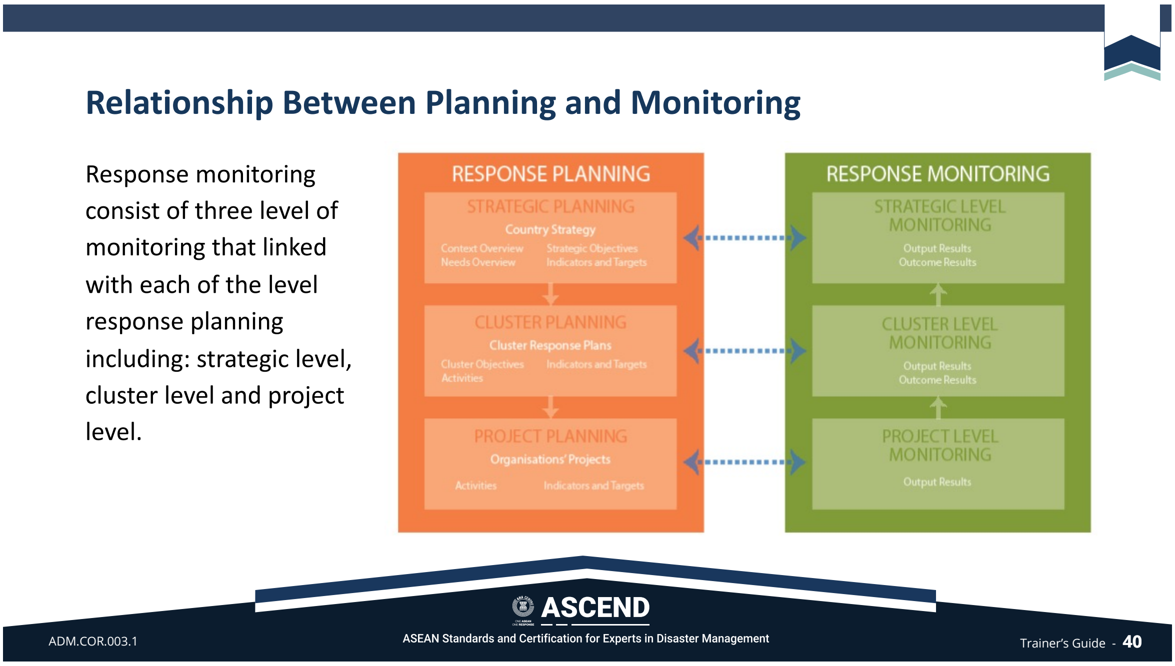
Slide No.	**38**
Trainer Notes	Humanitarian response monitoring is a continuous process that records the aid delivered to an affected population as well as the achieved results against the objectives set out in the HRP Response monitoring focuses on three links in the results chain: 1. Inputs refer to the financial, human and material resources that go into projects. 2. Outputs refer to the delivery of goods and services to a targeted population. 3. 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).

Image 39: *Slide 39*



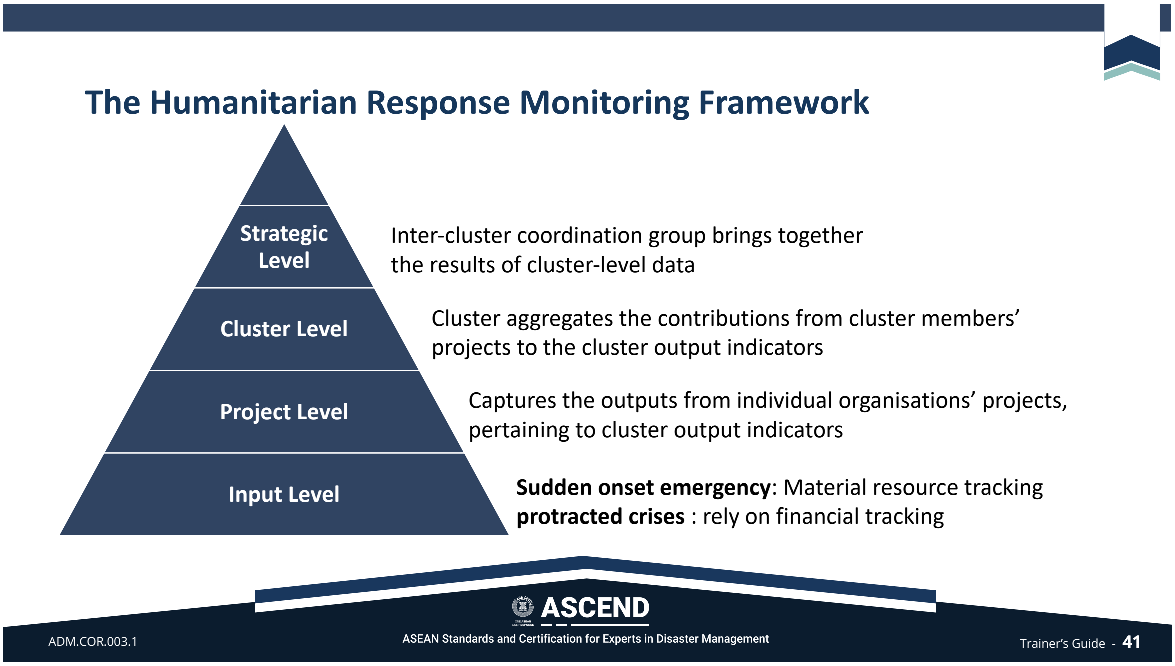
Slide No.	**39**
Trainer Notes	1. **Policies and strategies include a clear commitment to coordination and collaboration with others, including national and local authorities, without compromising humanitarian principles** ensure that the commitment to coordination is included in organisational policies and resourcing strategies 2. **Work with partners is governed by clear and consistent agreements that respect each partner's mandate, obligations and independence and recognise their respective constraints and commitments.** Need a clear and shared understanding of each other's organisational mandate, and mutual roles and responsibilities

Image 40: *Slide 40*



Slide No.	**40**
Trainer Notes	Strategic response planning and response monitoring are two distinct elements of the humanitarian programme cycle that have strong linkages at three stages in the HRP 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

Image 41: Slide 41



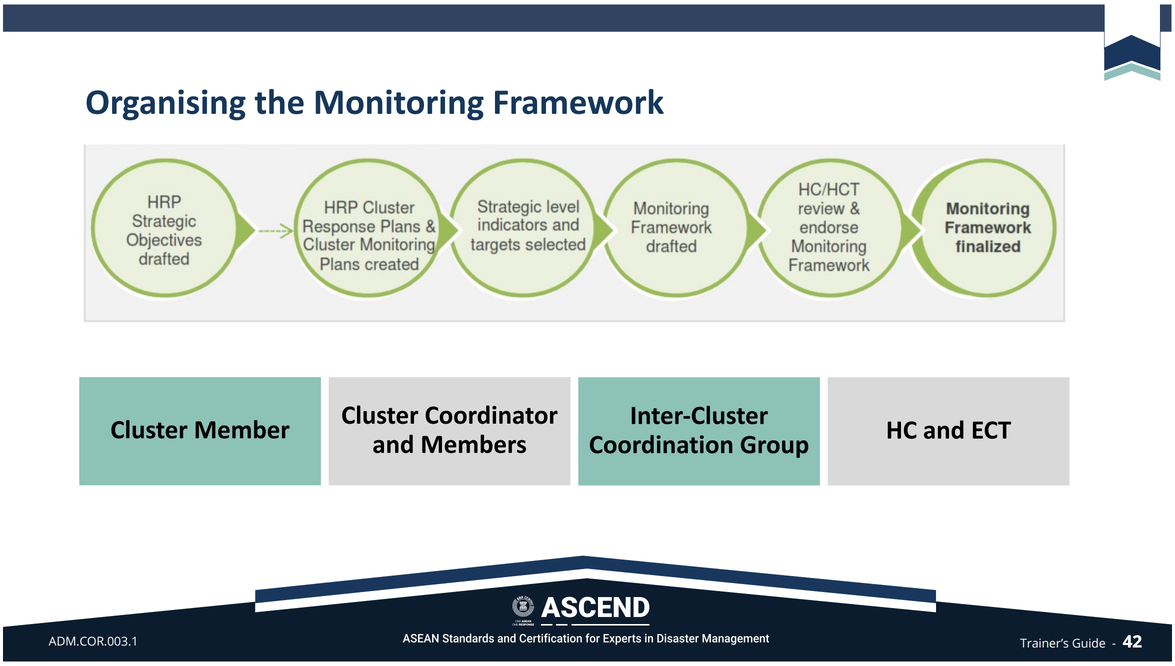
Slide No.	**41**

Trainer Notes

Humanitarian Response Monitoring Framework is a set of practices that facilitates the collection and analysis of data on the collective humanitarian response throughout the year. The framework has four levels linked to the results chain, each specific purpose.

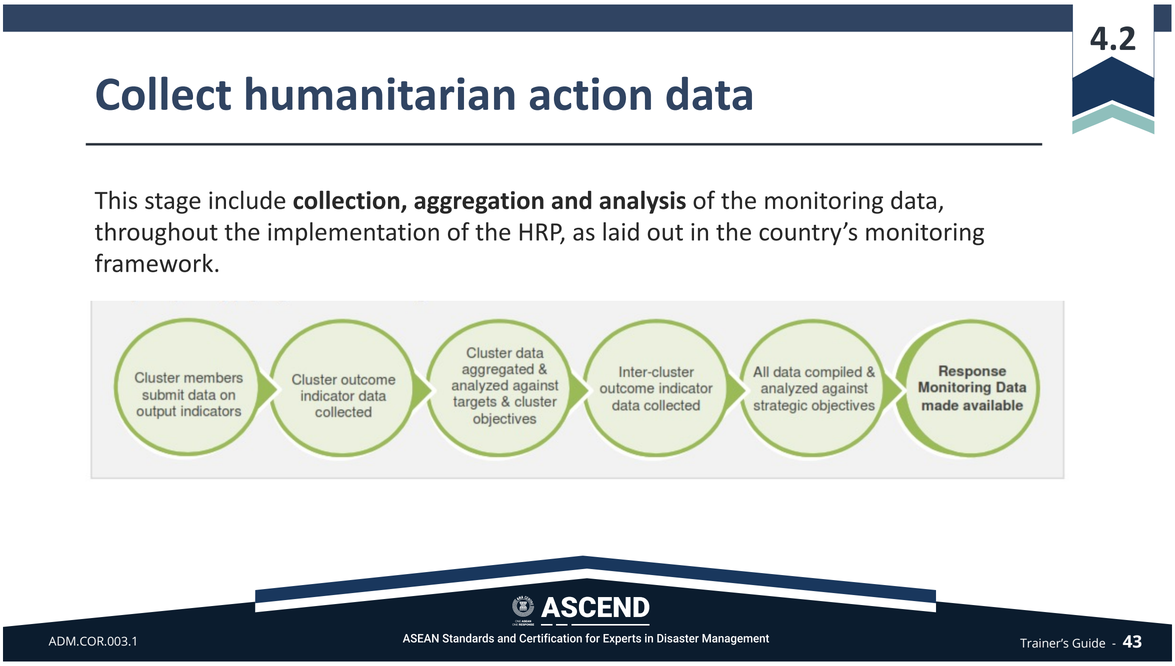
1. The materials (inputs) that go into cluster member projects during implementation are aggregated at the cluster level. The input level will only rely on financial tracking for protracted crises, as human and material resources derive from it. Material resource tracking is conducted only in the first phase of a sudden-onset emergency.
2. The project level captures the outputs from individual organisations' projects about cluster output indicators.
3. 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.
4. 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.

Image 42: *Slide 42*



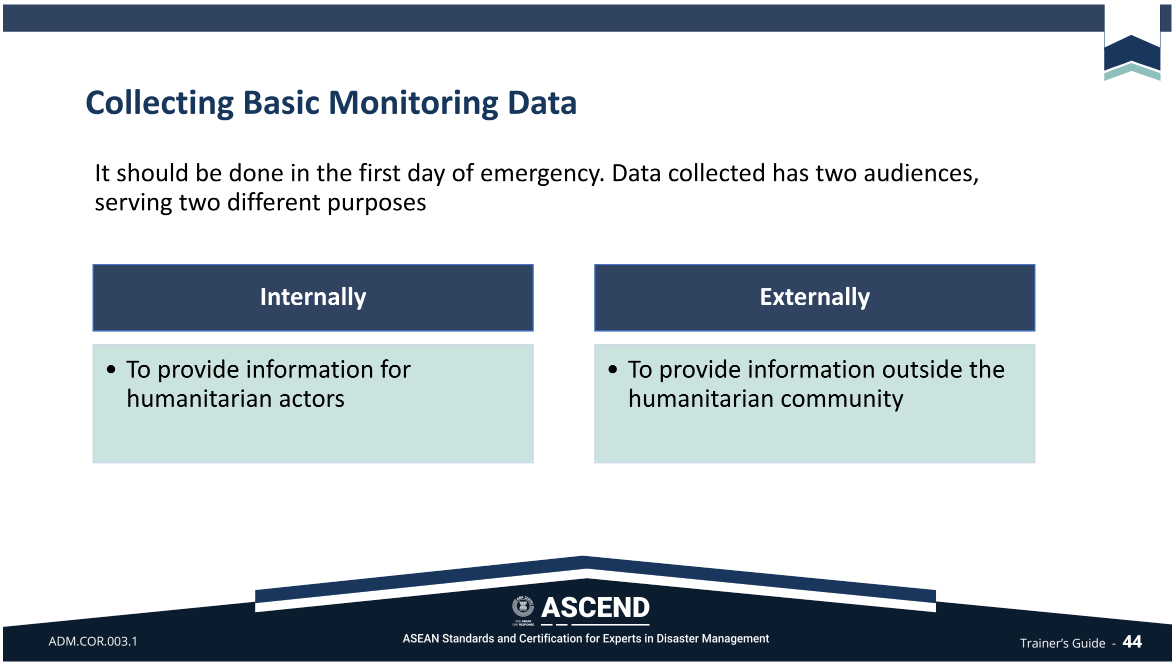
Slide No.	**42**
Trainer Notes	**The monitoring framework** is a set of practices, performed by all humanitarian actors, that facilitates the collection and analysis of data on the collective humanitarian response along the year, for producing reports with critical findings at scheduled intervals, to 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 HRP In organising monitoring framework**:** 1. **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. 2. **The inter-cluster coordination group** does the same for the indicators and targets attached to the strategic objectives. 3. **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.

Image 43: Slide 43



Slide No.	**43**
Trainer Notes	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.

Image 44: *Slide 44*



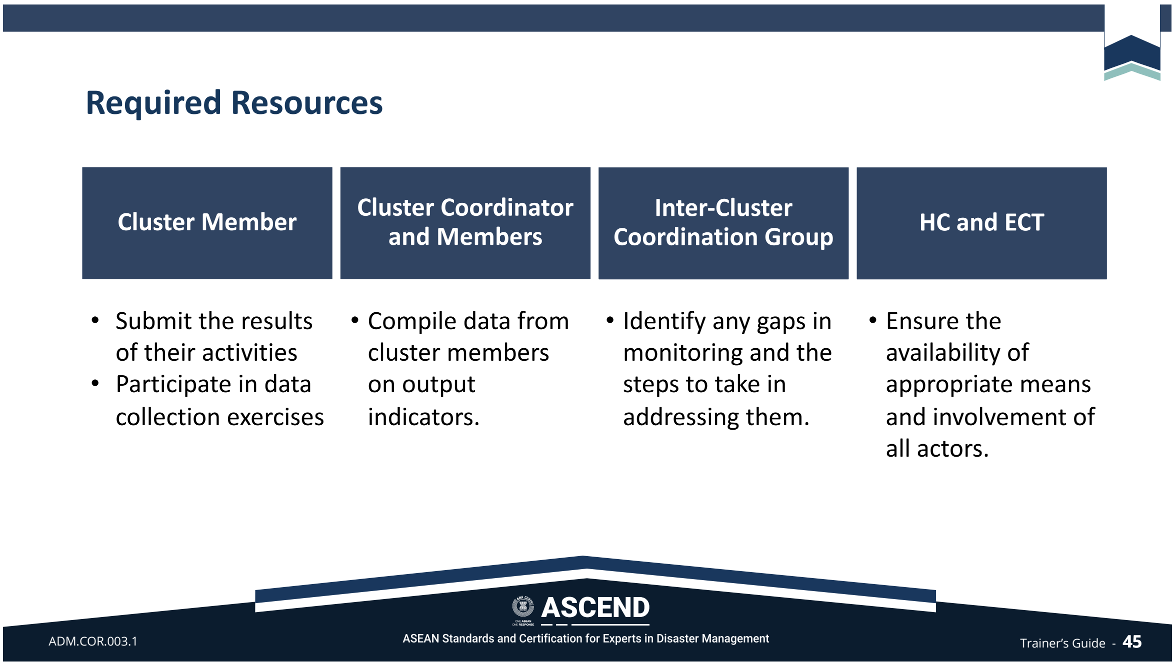
Slide No.	**44**

Trainer Notes

1. **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.

2. **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

Image 45: Slide 45



Slide No.	**45**

Trainer Notes

Cluster Members

- 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 Coordinators and Members

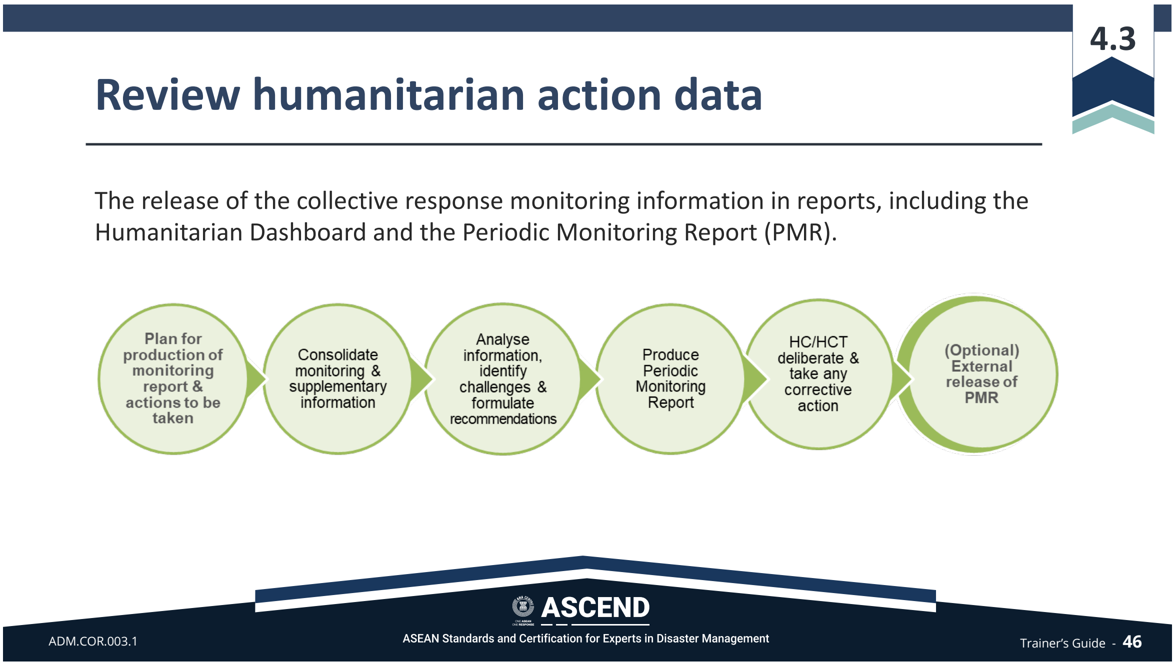
- Data on outcome indicators will be gathered at the cluster level through the mechanisms agreed upon in the preparation of the monitoring framework.
- The cluster coordinator will consolidate the aggregated output results and measured outcome results, facilitating analysis in the cluster to track progress against the targets set out in the cluster response plan.

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.

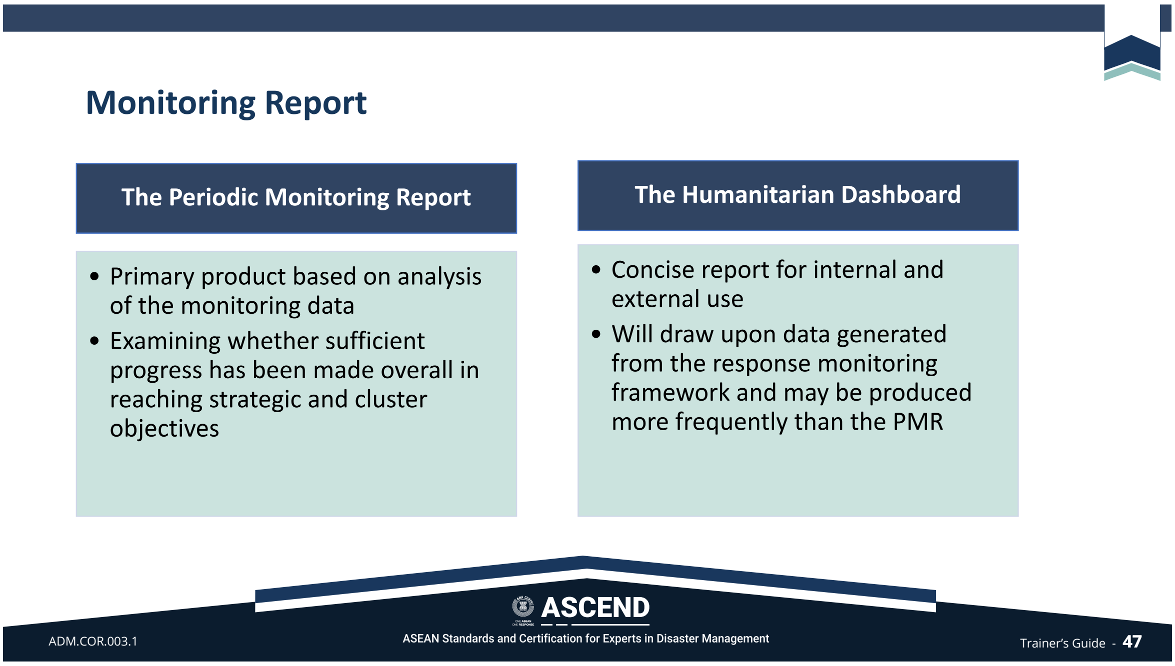
- The group will analyse all gathered data by looking at the progress made from the beginning of the ERP to the reporting date.
- The inter-cluster monitoring information will be shared with clusters for feedback and then made available for use by the humanitarian community. They will be the base for the production of the PMR

Image 46: *Slide 46*



Slide No.	**46**
Trainer Notes	• Reporting will be the last stage of response monitoring • Monitoring findings will be analysed and presented with a set of recommendations for any corrective action.

Image 47: Slide 47



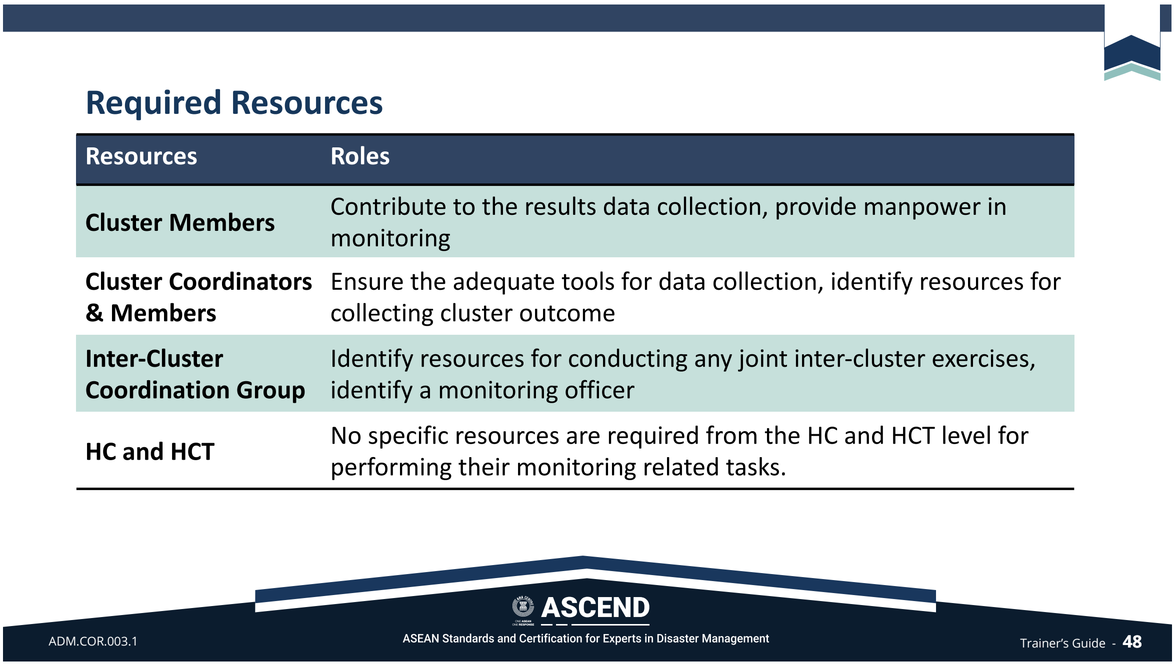
Slide No.	**47**

Trainer Notes

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 HRP. At the level of the whole HRP, two types of reports should be considered:

1. Periodic Monitoring Report (PMR) 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,
2. 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.

Image 48: *Slide 48*



Required Resources

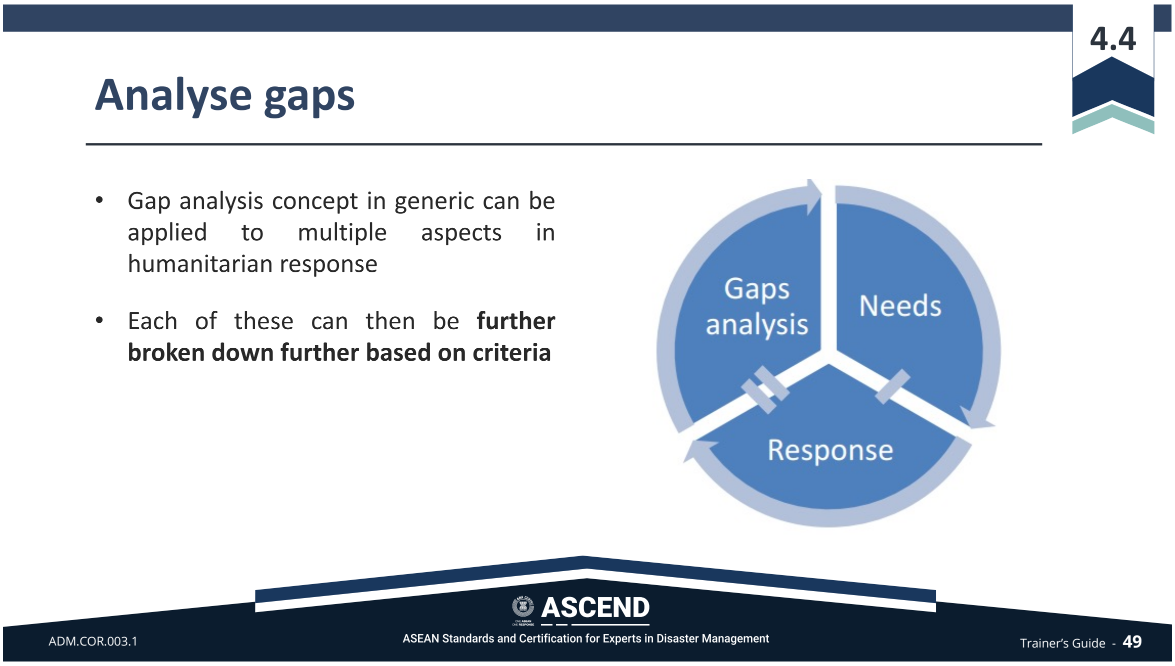
Resources	Roles
Cluster Members	Contribute to the results data collection, provide manpower in monitoring
Cluster Coordinators & Members	Ensure the adequate tools for data collection, identify resources for collecting cluster outcome
Inter-Cluster Coordination Group	Identify resources for conducting any joint inter-cluster exercises, identify a monitoring officer
HC and HCT	No specific resources are required from the HC and HCT level for performing their monitoring related tasks.

Slide No.	**48**
Trainer Notes	A monitoring framework without adequate resources would remain a declaration of intentions that could not be fulfilled. Once designed, the monitoring framework requires resources to be provided at different levels. Below is an inventory of the minimum resources required for successfully preparing and applying the monitoring framework

Required Resources

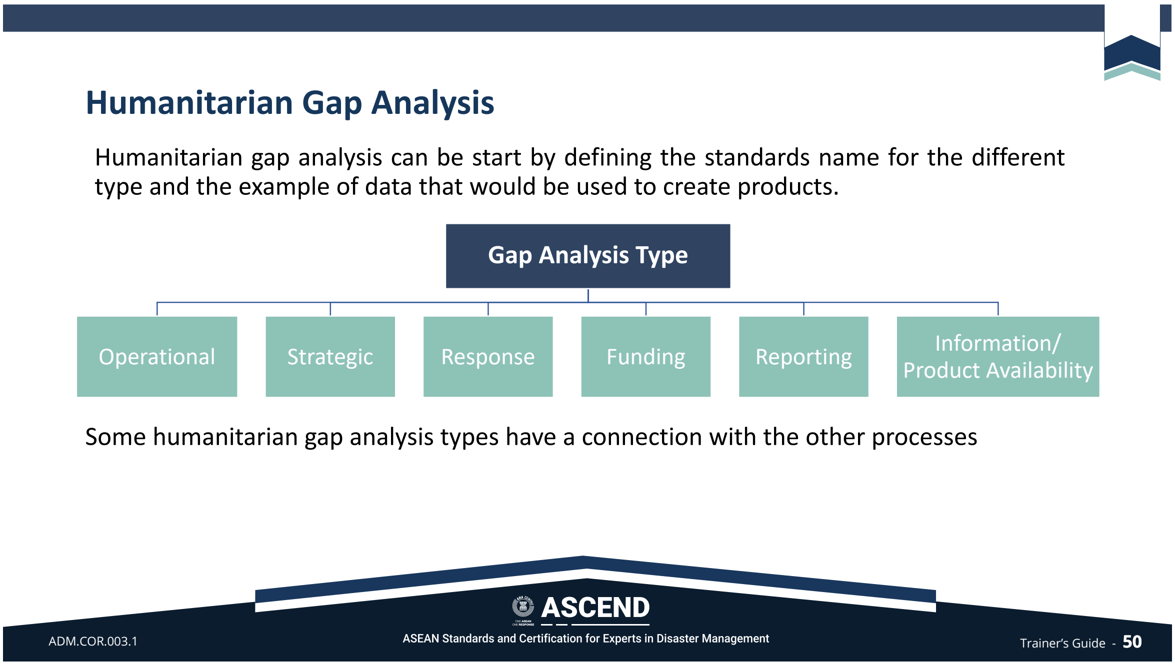
- Cluster members will contribute to the results data collection through their own format and frequency
- Cluster Coordinators and Members should dedicate their time to identifying resources and ensuring the availability of adequate tools for data collection.
- Inter-Cluster Coordination Group will identify resources in terms of inter-cluster activities
- Meanwhile, there is no specific resources are required from the HC and HCT

Image 49: Slide 49



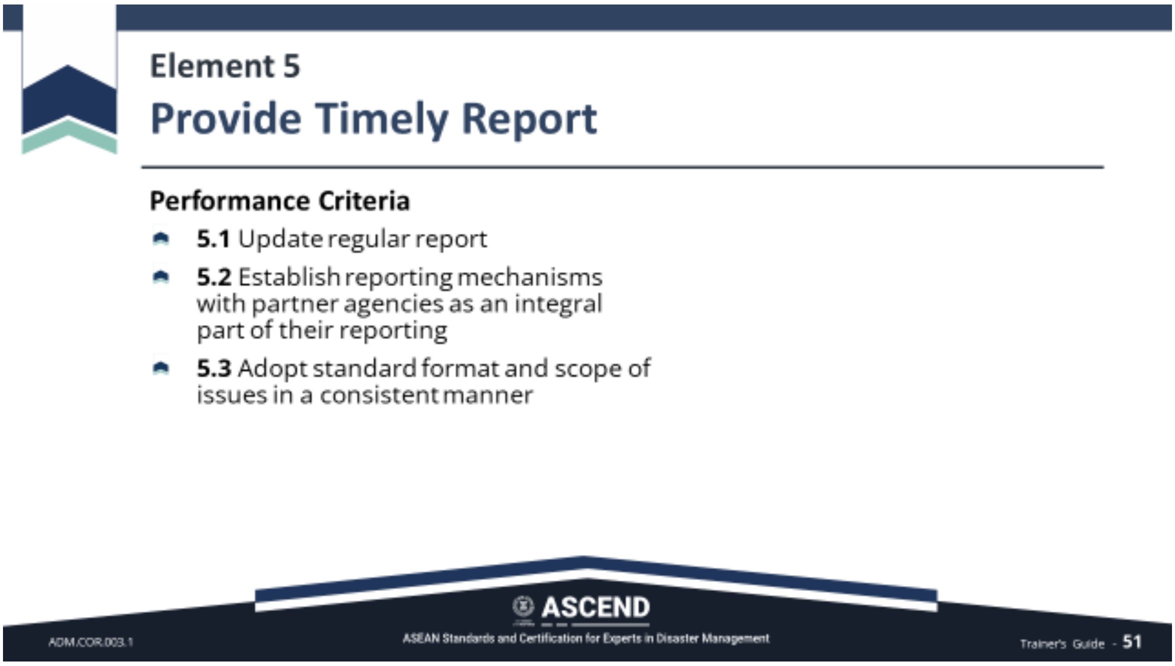
Slide No.	**49**
Trainer Notes	• In general, a gap is a difference between the expected or needed response that occurs • Aspects in humanitarian response: operational capacity, activity or response, strategic and funding • Criteria such as status (completed, ongoing, planned), number of staff, response planning, and so on

Image 50: *Slide 50*



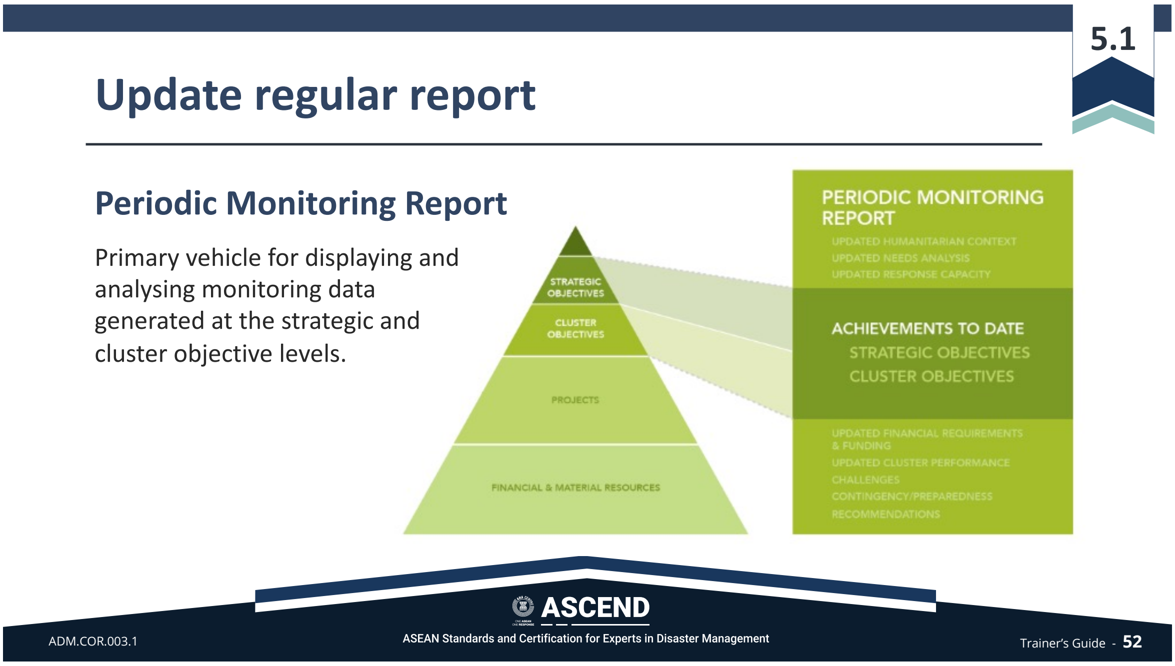
Slide No.	**50**
Trainer Notes	The purpose of gap analysis is relatively straightforward: attempt to identify a difference between the desired state and the actual state

Image 51: *Slide 51*



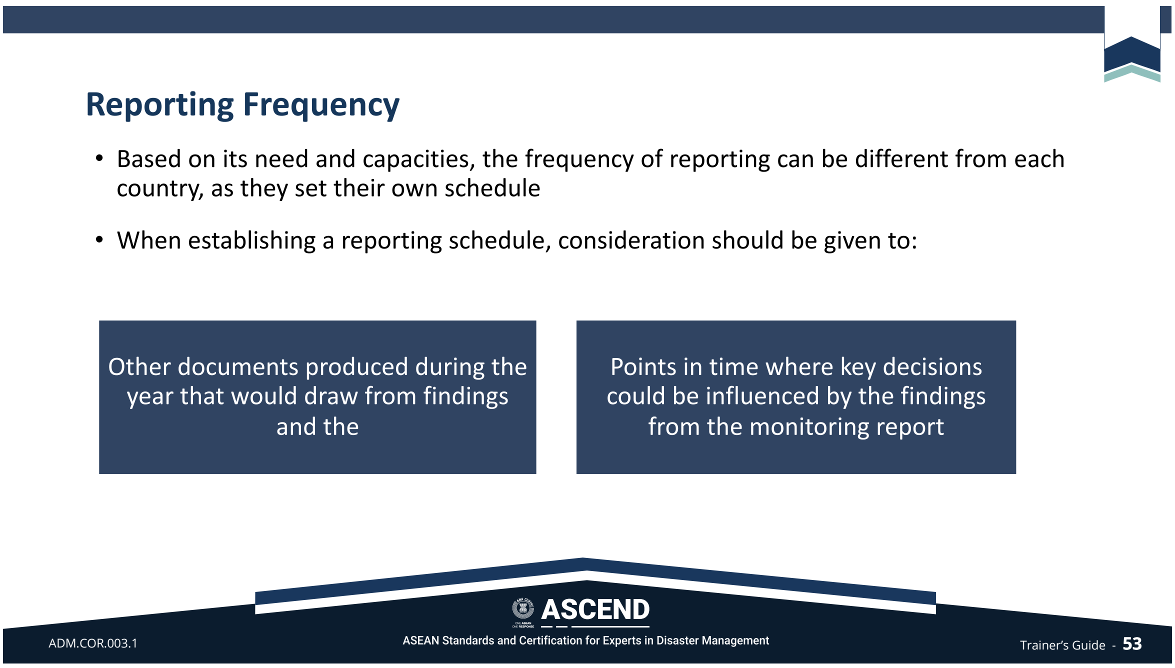
Slide No.	**51**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide.

Image 52: Slide 52



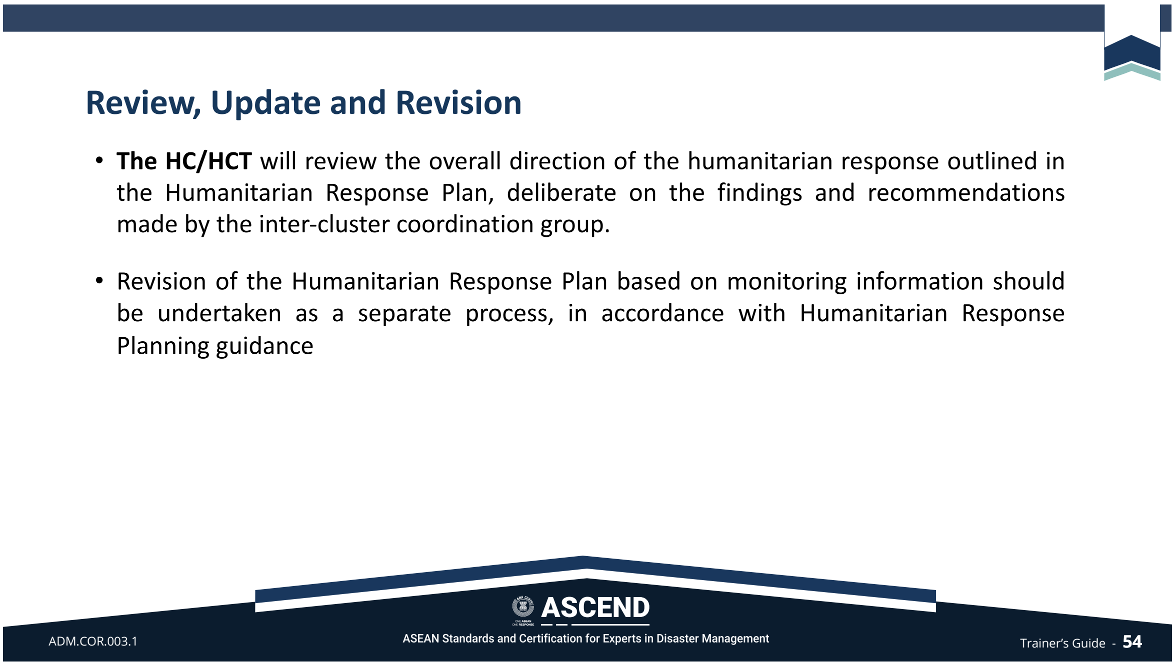
Slide No.	**52**
Trainer Notes	Response monitoring can provide an evidence-based decision about what actions should be taken to address shortcomings, fill gaps and/or adjust the humanitarian response plan, contributing to a more effective and efficient humanitarian response in the short- and long term.

Image 53: Slide 53



Slide No.	**53**
Trainer Notes	The reports 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 critical decisions

Image 54: *Slide 54*

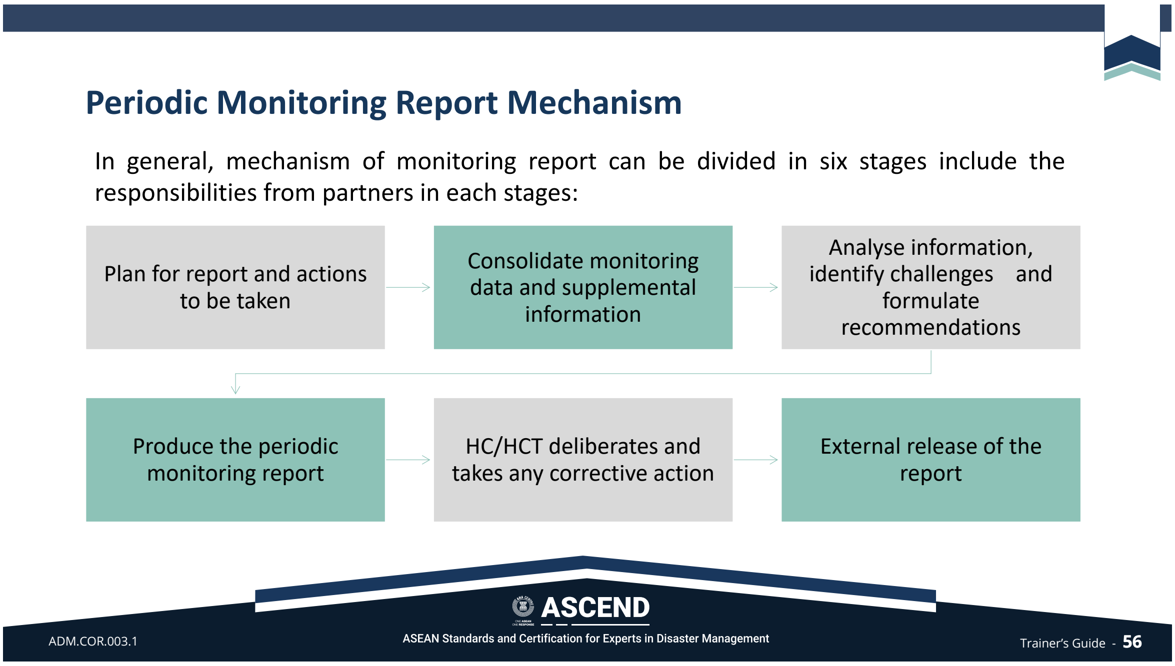


Slide No.	**54**
Trainer Notes	Periodic monitoring reports can help review the overall direction of the humanitarian response outlined in the Humanitarian Response Plan update and revise them.

Image 55: *Slide 55*

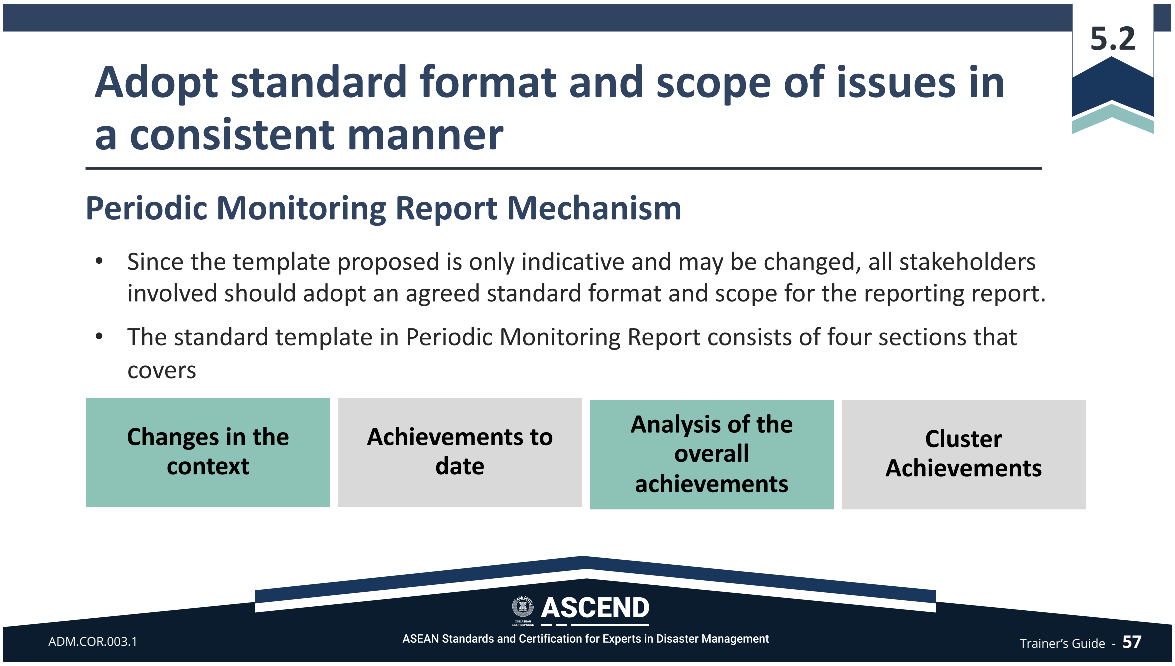
Slide No.	**55**
Trainer Notes	When a country prepares its Humanitarian Response Plan, it develops at the same time a Humanitarian Response Monitoring Framework

Image 56: Slide 56



Slide No.	**56**
Trainer Notes	• **Stage 1: Plan for report and actions to be taken** Following the report schedule set out in the Monitoring Framework, when the times come to prepare 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 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.

Image 57: *Slide 57*

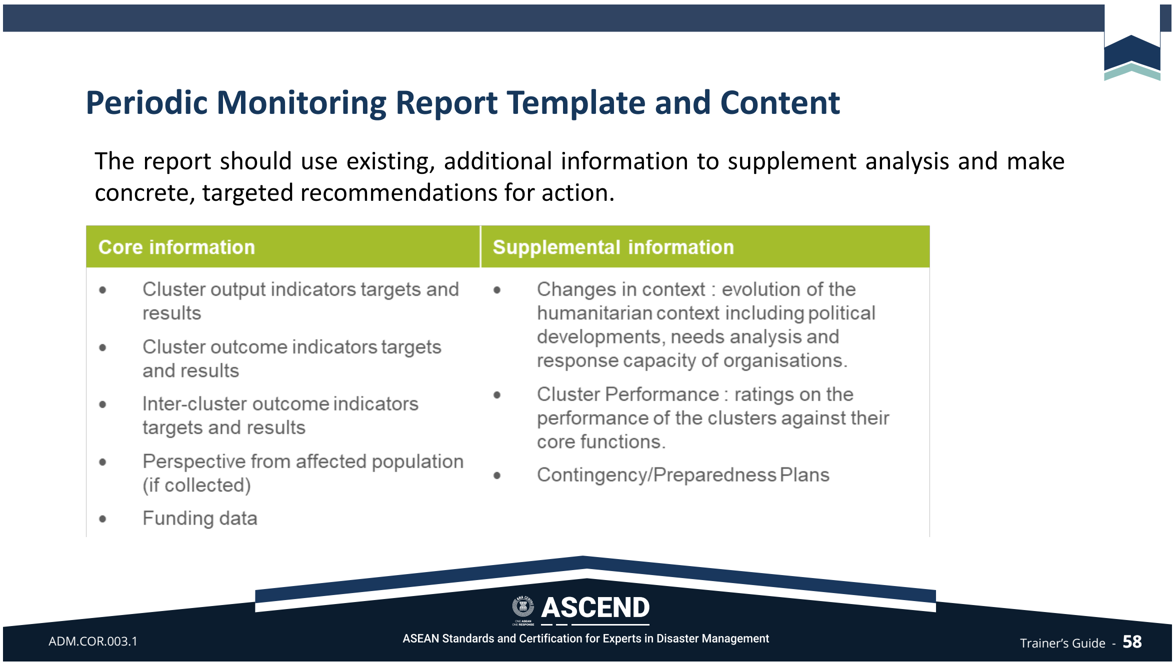


Slide No.	**57**

Trainer Notes

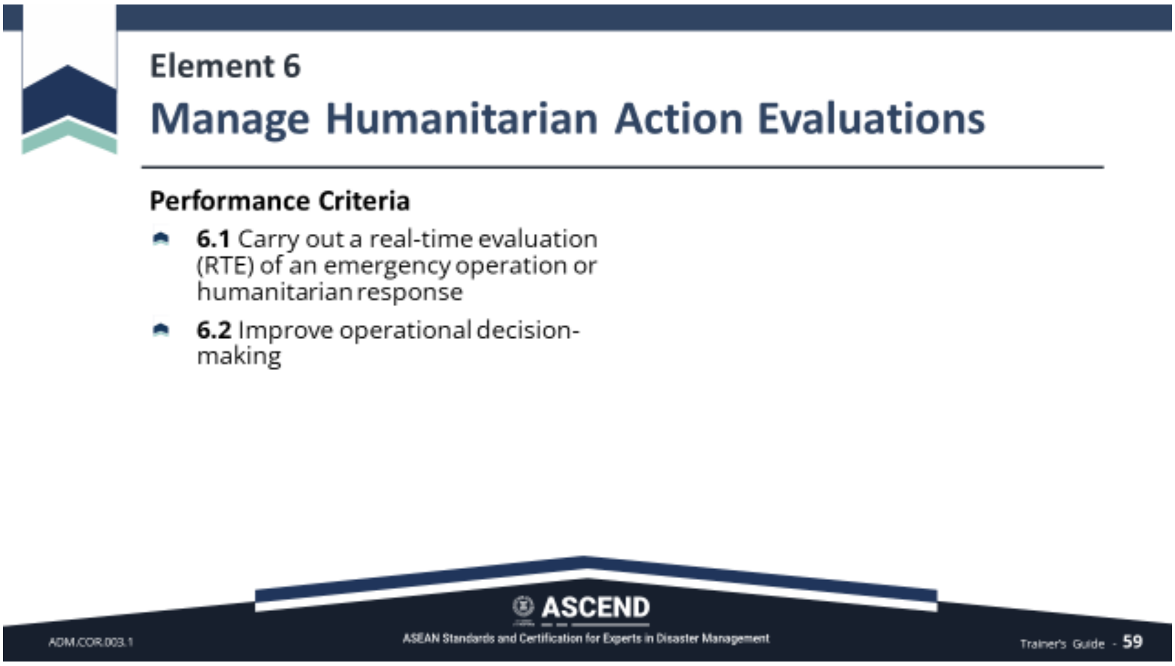
- The periodic monitoring report should include all relevant information to analyse the context, report, identify challenges, and make recommendations
- The standard template in Periodic Monitoring Report consists of four sections that cover:
  1. Changes in the context covering a review of the context from an inter-cluster point of view
  2. Achievements to date covering a review of strategic objectives from an inter-cluster point of view
  3. Analysis of the overall achievements against funding and the challenges encountered
  4. 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

Image 58: Slide 58



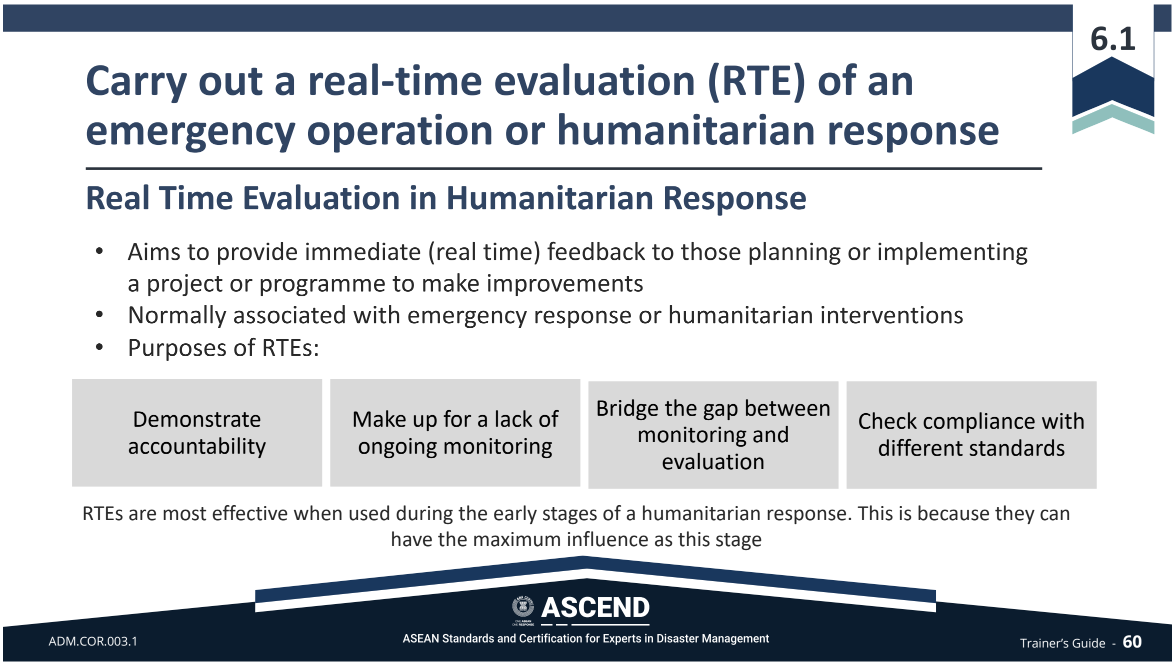
Slide No.	**58**
Trainer Notes	This is a sample inventory of core information and supplemental information for performing analysis and producing the report based on the template. The inventory of supplemental information above can be modified, removing elements that will not be available and including any relevant information for interpreting why objectives have not been met. Targets for specific indicators are not 'on track'.

Image 59: Slide 59



Slide No.	**59**
Trainer Notes	Introduce topic Trainer identifies the Performance Criteria for this Element, as listed on the slide.

Image 60: *Slide 60*



Slide No. **60**

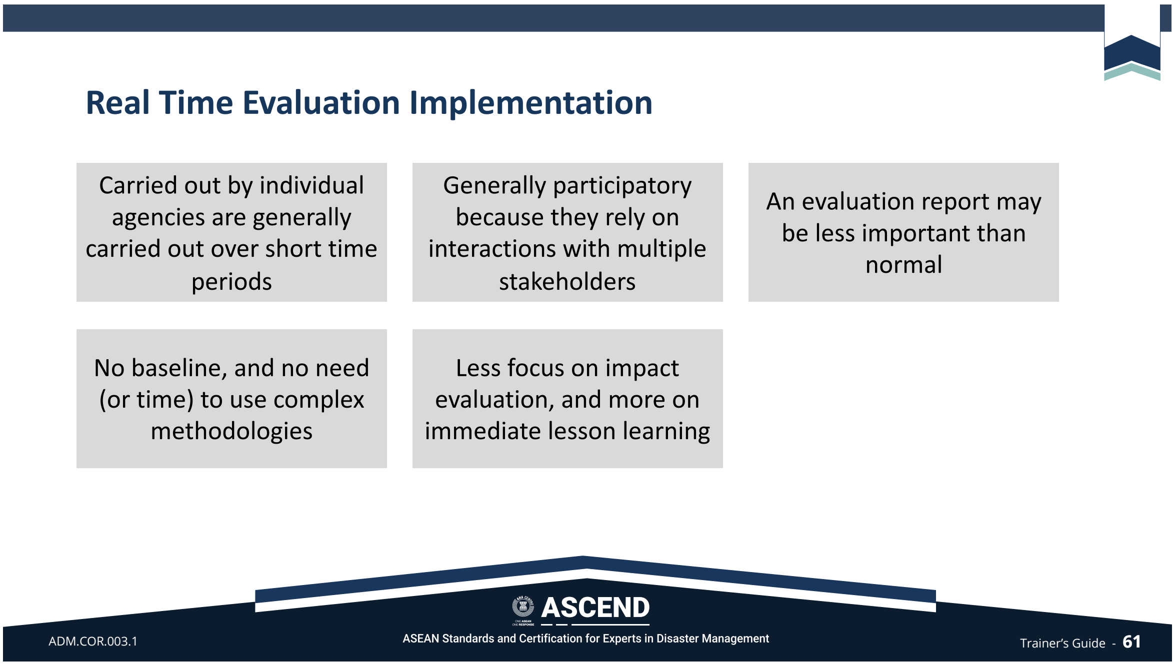
Trainer Notes

As well as contributing to learning and improved performance, RTEs have another purpose, including:

1. Demonstrate accountability to different stakeholders, including governments, donors, implementing partners and beneficiaries.
2. To some extent – they make up for the lack of ongoing monitoring in a project or programme because they enable adjustments to be made in a timely manner.
3. Bridge the gap between monitoring and evaluation by identifying the strengths and weaknesses of an intervention on an ongoing basis.
4. Check compliance with different standards such as codes of conducts or agency policies.

Even though RTEs are most effective when used during the early stages of humanitarian response, there are many circumstances in which RTEs might be triggered

Image 61: *Slide 61*



Slide No.	**61**

Trainer Notes

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 actioned immediately. Because they are usually carried out in humanitarian interventions, RTEs tend to be more rapid, flexible and responsive than more traditional kinds of 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 and more on immediate lesson learning during this. 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.

Image 62: Slide 62

Slide No.	**62**

Trainer Notes

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.

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

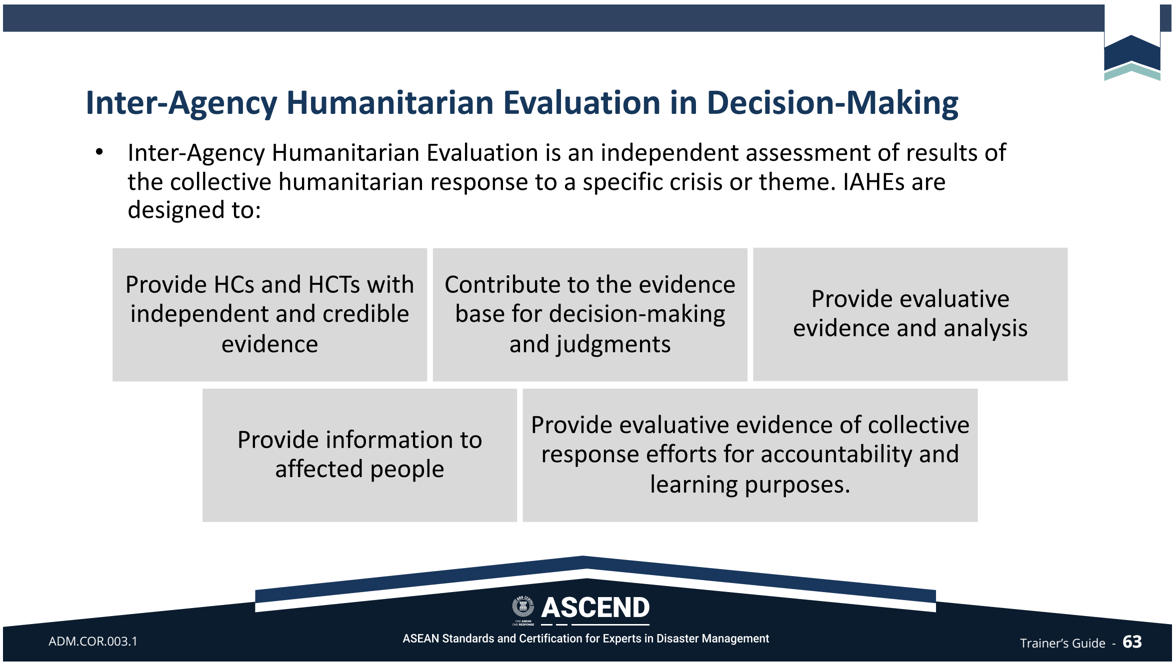
1. Whether they are more or less urgent
2. Whether they are more or less stressful
3. Whether they lead to smaller or larger consequences
4. Whether they are made quickly or over a more extended period
5. Whether they are made by one person or jointly, by many
6. The degree of uncertainty around them
7. 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.

1. **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
2. **Decisions about targeting**: Decisions as to who will receive assistance, how these criteria are determined, and how the individuals/households are identified
3. **Decisions about information**: Decisions to obtain (or not obtain) more information, do (or not do) analysis or conduct an assessment.

4. **Decisions about working together**: Decisions to work with, or not work with, another actor, and the nature of that relationship
5. **Decisions about go/no go and the response scale**: Decisions to start, end, scale up or scale down a response.
6. **Staffing/resource allocation**: Decisions about staff numbers, allocation to certain projects, use specific skill sets/roles, hire national staff or bring in international staff, open new roles or apply for surge staff.

Image 63: *Slide 63*



Slide No. 63

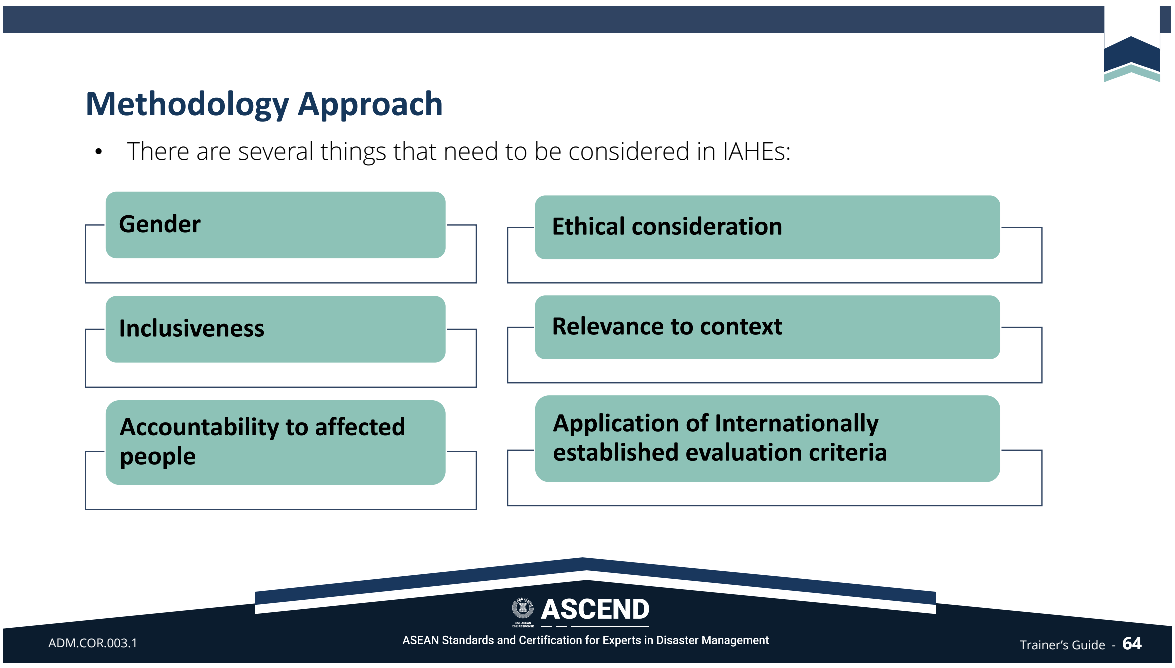
Trainer Notes

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:

1. 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.
2. Contribute to the evidence base for decision-making and judgments about future humanitarian action, policy development and reform.
3. Provide national governments and disaster management institutions with evaluative evidence and analysis to inform their national policies and protocols for crises involving
4. international agencies and other actors
5. Provide information to affected people of the outcomes of the response
6. Provide Member States of international organisations, donors, and learning and evaluation networks with evaluative evidence of collective response efforts for accountability and learning purposes.

Image 64: Slide 64



Slide No. 64

Trainer Notes

IAHEs will be conducted by teams of independent evaluation experts. 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 is inclusive of the views of diverse stakeholder groups

1. **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.
2. **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 utilised to enhance the equitable and effective inclusion, access and participation in humanitarian activities and decision-making processes.
3. **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.
4. **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.

5. **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.

Image 65: *Slide 65*

Slide No.	**65**
Trainer Notes	Close presentation and thank the participants.

ASCEND

ONE ASEAN ONE RESPONSE

ASEAN Standards and Certification for Experts in Disaster Management

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