

2nd Edition

**LEARNER'S
GUIDE**



TECHNICAL COMPETENCY UNIT



**ADM.TEC
022.2**

Deliver Strategic Direction
on WASH



ASCEND

ASEAN Standards and Certification
for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

DELIVER STRATEGIC DIRECTION ON WASH

ADM.TEC.022.2

Learner's Guide



ONE ASEAN ONE RESPONSE

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 ensure disasters across the region are met with competent disaster management professionals in order to reduce the loss of life, respond effectively, recover more quickly, and decrease risks throughout the ASEAN region wherever possible. Note: In cases of extraordinary, diminished capacities, non-certified persons may be utilised at the discretion of the AMS in compliance with local governance/rules/laws.



- To establish a guide for certification of disaster management professionals across ASEAN Member States. The disaster management professionals will be certified in a competency-based assessment to perform tasks across all strategic components of AADMER, i.e. risk assessment and awareness, prevention and mitigation, preparedness and response, and recovery.
- To ensure disaster management professionals can work interchangeably and cooperatively both in their home country and in all AMS.

1.3

Advantages and benefits of an ASCEND certification

For ASEAN

The ASCEND certification enables ASEAN Member States to efficiently manage emergencies and disasters by fostering a regional network of competent professionals. It equips ASEAN countries to recognise the expertise of incoming assisting teams if needed. Simultaneously, it streamlines resource mobilisation for assisting countries while upholding the ASEAN Standards.

For the AHA Centre

Given ASEAN's rapid development and vulnerability to natural hazards, there is a pressing need for a skilled workforce of disaster management professionals. The ASCEND certification can bridge the existing knowledge and skills gaps, promoting stronger cooperation and interoperability among disaster managers in the region.

For disaster management professionals

The ASCEND certification serves as a valuable credential for disaster management professionals, providing evidence of their expertise and qualifications. It also helps organisations to determine the capabilities of certificate holders in performing critical job functions of specific occupations in the disaster management sector.



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.

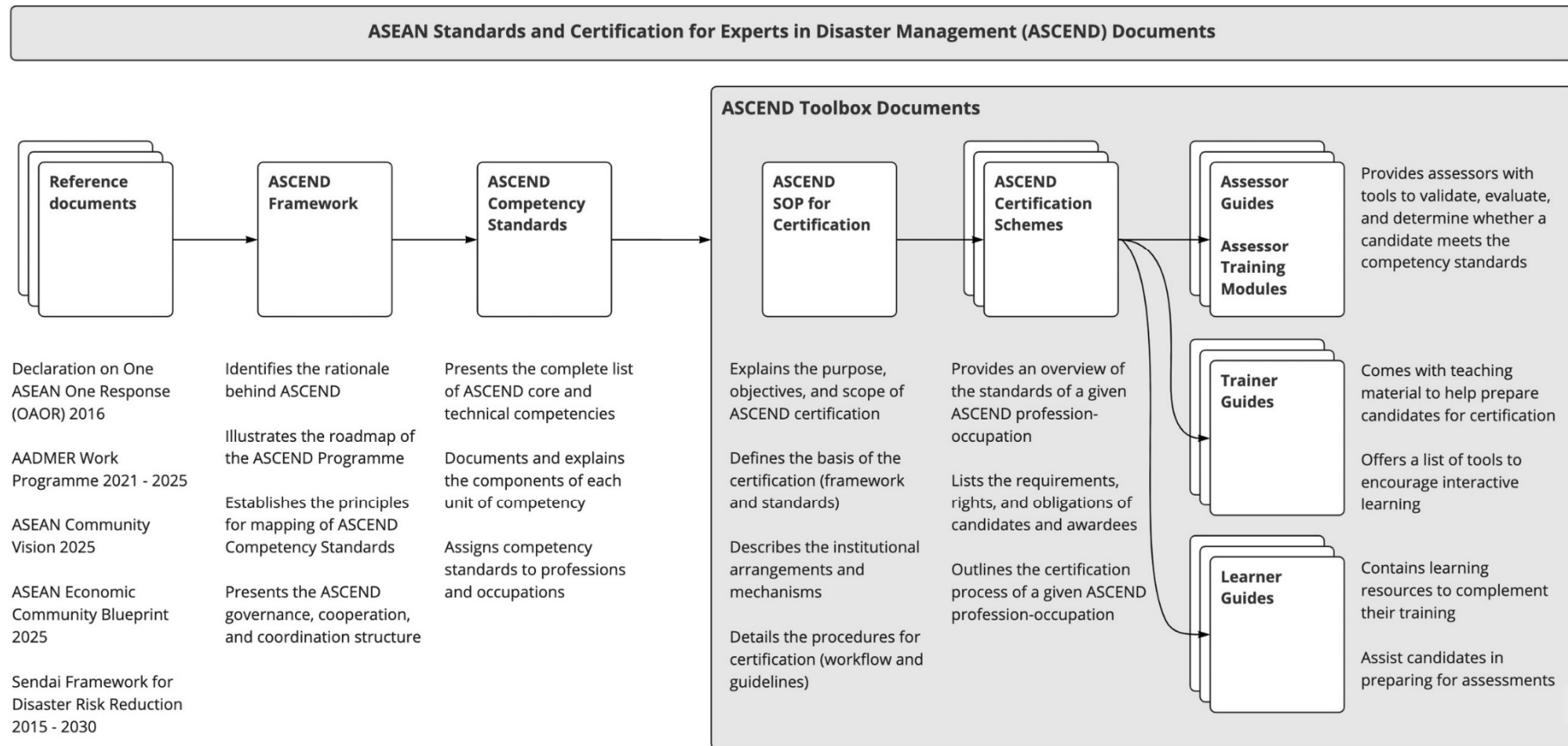
Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of a standard operational procedure (SOP), 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





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

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



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

Table 2: Components of the ASCEND Competency Standards

Component	Description
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 : **Deliver Strategic Direction on WASH**

Unit number : **ADM.TEC.022.2**

Unit description : This unit deals with skills and knowledge required to lead, manage and monitor a WASH project in any emergency setting.

Element 1.

Lead emergency WASH programmes

Performance Criteria

- 1.1 Oversee geographically dispersed teams to ensure coherent and consistent programming
- 1.2 Provide technical and policy advice on WASH sectoral response and its strategies, planning, implementation and monitoring
- 1.3 Incorporate broader organisational policy/advocacy issues into programme design and planning
- 1.4 Provide joint technical leadership and coordination with colleagues from other sectors in emergency response programmes
- 1.5 Develop response strategies, plans and capacities to reach target population with culturally appropriate and gender-sensitive interventions
- 1.6 Identify coping mechanisms of the affected people
- 1.7 Promote community engagement, and as appropriate, for participation in planning, construction, operation and maintenance, as well as monitoring and evaluation of WASH facilities and services

Element 2.

Design an effective and efficient WASH monitoring strategy and plan

Performance Criteria

- 2.1 Develop context-specific WASH indicators
- 2.2 Identify appropriate means of verification and data source
- 2.3 Develop monitoring work plan
- 2.4 Produce internal and external reports



Element 3.

Represent and advocate on WASH issues to the related stakeholders

Performance Criteria

- 3.1 Lead country level WASH coordination and implementation strategy
- 3.2 Establish effective links with other clusters or sectoral coordination platforms that are relevant to the WASH programming
- 3.3 Consolidate WASH programme data for presentation to the country-level WASH Cluster
- 3.4 Lead to policy advocacy at the national level
- 3.5 Provide support to technical staff on advocacy at the sub-national and local level

Element 4.

Establish partnership with key partners on WASH

Performance Criteria

- 4.1 Conduct stakeholder analysis
- 4.2 Develop WASH partnership strategy, including to increase capacity to response
- 4.3 Identify the right partners to support WASH programme implementation
- 4.4 Manage partner contracts and relations
- 4.5 Perform capacity building measures for partners according to the organisation's needs



3.4

Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
AADMER	ASEAN Agreement on Disaster Management and Emergency Response
AAP	Accountability To Affected Populations
ACDM	ASEAN Committee on Disaster Management
ADB	Asian Development Bank
AGP	ASEAN Guiding Principles
AHA Centre	ASEAN Coordinating Centre for Humanitarian Assistance on disaster management
AMS	ASEAN Member States
AQRF	ASEAN Qualifications Reference Framework
ASCEND	ASEAN Standards and Certification for Experts in Disaster Management
ASEAN	Association of Southeast Asian Nations
CBA	Competency-Based Assessment
CCRF	Comprehensive Refugee Response Framework
CFW	Cash for Work
CHS	Core Humanitarian Standard
CLA	Cluster Lead Agency
CPMS	Child Protection in Humanitarian Action



CTK	Coordination Tool Kit
EPI	Expanded Programme on Immunization
ERC	Emergency Relief Coordinator
FGD	Focus Group Discussion
GCR	Global Compact on Refugee
GIS	Geographic Information System
GOPP	Goal-Oriented Project Planning
GWC	Global WASH Cluster
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HIV	Human Immunodeficiency Virus
HWTSS	Household Water Treatment And Secure Storage
KAP	Knowledge Attitudes and Practices
KNFA	Korean National Fire Agency
IASC	the Inter-Agency Standing Committee
IM	Information Management
INEE	Inter-Agency Network for Education in Emergencies
INGO	International Non-Governmental Organization
IOM	International Organization for Migration
ISIMM	IDP Sites Integrated Monitoring Matrix
MEAL	Monitoring, Evaluation, Accountability and Learning



MHM	Menstrual Hygiene Management
MIF	Monitoring Information Flow
MRA	Mutual Recognition Arrangement
NFI	Non-Food Items
NGOs	Non-Governmental Organizations
OAOR	One ASEAN One Response
OCHA	Office of the Coordination of Humanitarian Affairs
PQASSO	Practical Quality Assurance System for Small Organisations
PSEA	Protection Against Sexual Exploitation and Abuse
PTSD	Post-Traumatic Stress Disorder
RC	Resident Coordinator
RCM	Refugee Coordination Model
SAG	Strategic Advisory Group
SGBV	Sexual and Gender Based Violence
SGDs	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
SOP	Standards Operating Procedures
ToR	Term of Reference
UNCT	UN Country Team
UNDP	United Nations Development Programme



UNDAC	UN Disaster Assessment and Coordination
UNHCR	United Nations High Commissioner for Refugees
UNICEF	the United Nations International Children's Emergency Fund
WASH	Water, Sanitation and Hygiene
WCC	Wash Cluster Coordination
WHO	World Health Organisation





Unit Readings and Activities



ONE ASEAN
ONE RESPONSE

ASCEND

**4.1**

Element 1. Lead emergency WASH programmes

1.1 Oversee geographically dispersed teams to ensure coherent and consistent programming

A. Introduction

Large-scale and rapid-onset disasters may simultaneously affect multiple locations. Various emergency operations in different settings may coincide. It is the task of managers of these operations to ensure that activities do not conflict or duplicate each other. WASH programmes should be both coherent and consistent.

To do this, managers need to understand the operations planning cycle of WASH programmes:

- Planning (Assessment and Design)
- Resource Allocation
- Implementation and Coordination
- Monitoring and Reporting
- Evaluation

B. Coherent programming

WASH managers have to design programmes that align with local and national plans. WASH programmes should support ongoing efforts and build on existing resources. It should also be applicable to different settings (e.g., urban, rural, camps).

The following information is needed for designing strategies for WASH programmes:

- disaster impact on the affected community
- baseline WASH situation
- WASH coverage
- WASH gaps
- agreed levels of short, medium, and long-term strategies for water supply
- excreta management
- solid waste management



- hygiene promotion
- disease vector control

Coherent programming refers to the integrated design and coordinated implementation of multiple measures to achieve specific goals. Coherent programming also means that plans and activities align with relevant policies, rules, and regulations. Coherent programmes allow different stakeholders (e.g., local communities, private sector) to work together to meet urgent humanitarian needs that contribute to shared long-term goals.

These are some of the existing standards that ensure programme development considers vulnerable groups and supports critical sectors:

- Minimum Standards for Child Protection in Humanitarian Action (CPMS): Alliance for Child Protection in Humanitarian Action;
- Minimum Standards for Education: Preparedness, Response, Recovery: Inter-Agency Network for Education in Emergencies (INEE); Humanitarian Inclusion Standards for Older People and People with Disabilities: Age and Disability Consortium.

C. Consistent programming

Humanitarian assistance programmes take place in a range of contexts. Several factors affect the design and implementation of these programmes:

- The socio-political-historical-economic-cultural context
- The differences and diversity among individuals and community
- The status of operational resources and logistical infrastructures
- The availability of standards and indicators

Standards are based on existing data and humanitarian experience. They highlight best practices that have gained widespread acceptance. They are generally accepted because they reflect inalienable human rights. Standards usually provide the key actions, indicators, and guidance notes like the [Sphere Handbook \(2018\)](#).



Table 3: *The standards, key actions, key indicators, and guidance notes*

The standards	Key actions	Key indicators	Guidance notes
The standards are broad and qualitative in scope, expressing the bare minimum that must be met in every crisis (e.g., The Core Humanitarian Standard or CHS)	Key actions outline practical steps that must be taken to meet the Minimum Standard. In this case, the practitioner should choose the most applicable one to the scenario.	Key indicators act as indicators of whether or not the criteria are being met. There usually be a tool to monitor the process over time and compare them to the standards.	Guidance notes are additional information to support the implementation of key actions according to the standards.

Source: Sphere (2018)

E. Summary

- Large-scale and rapid-onset disasters may simultaneously affect multiple locations. Various emergency operations in different settings may coincide.
- It is the task of managers of these operations to ensure that activities do not conflict or duplicate each other. WASH programmes should be both coherent and consistent.
- Coherent programming refers to the integrated design and coordinated implementation of multiple measures to achieve specific goals. Coherent programming also means that plans and activities align with relevant policies, rules, and regulations.
- Coherent programmes allow different stakeholders (e.g., local communities, private sector) to work together to meet urgent humanitarian needs that contribute to shared long-term goals.
- Standards are based on existing data and humanitarian experience. They highlight best practices that have gained widespread acceptance. They are generally accepted because they reflect inalienable human rights.



1.2 Analyse logistics data and information

A. Introduction

There are several technical and policy issues to address before implementing WASH programmes. Being aware of them and addressing them as early as possible can help reduce or manage operational problems.

B. Technical issues and considerations in WASH activities

Technical WASH issues revolve around immediate and medium-term water, sanitation, and hygiene needs of populations affected by emergencies. See table below.

Table 4: Technical issues in WASH activities

WASH Activities	Technical issues involved
Hygiene promotion	Hygiene kit distribution, handwashing facilities
Water supply	Emergency water source selection, water safety plans, water trucking, operation & maintenance of water supply, water treatment
Excreta management	Open defecation fields, shallow trench latrines, communal deep trench latrines, shallow family latrines, bucket latrines, packet latrines, and handwashing facilities
Solid waste management	Collection and transport, solid waste disposal, recycling
Vector control	Modify vector breeding and feeding sites caused by WASH activities

C. Policy issues consideration in WASH activities

Policy frameworks that integrate human rights concerns with WASH activities are widely available. The UN General Assembly and the Human Rights Council in 2010 adopted [Article 11 of the International Covenant on Economic, Social, and Cultural Rights](#). In 2015, the UN established [the 2030 Agenda for](#)



[Sustainable Development](#), specifying these rights in Goal 6: “Ensure availability and sustainable management of water and sanitation.” In 2018, the [Global Compact on Refugee \(GCR\)](#) and the [Comprehensive Refugee Response Framework \(CRRF\)](#) tackled many WASH concerns in humanitarian contexts.

Many stakeholders have their policies regarding humanitarian response, including WASH activities. The UNHCR has a [Global Public Health Strategy](#) at the global level, including a Global WASH Strategy. In comparison, [UNICEF \(2016\)](#) develop the Accountability Framework for Sustainable Services for WASH.

The policies that shape WASH activities differ from one context to another at the country level. Managers need to work closely with national authorities, local communities, and other stakeholders from different sectors when designing and implementing WASH responses.

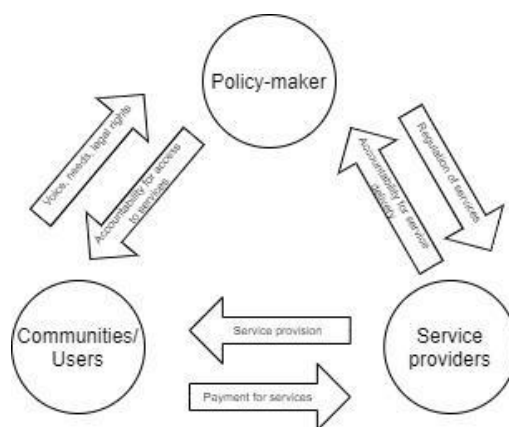


Figure 2: Accountability Framework for Sustainable Services (UNICEF, 2016)

D. Cash transfer programming

Cash transfer programming is a type of response that provides mechanisms for crisis-affected people who do not have enough money to purchase essential goods available on the market. This program allows them to cover their short- and/or long-term needs. Cash transfer sometimes also occurs in the form of vouchers. The specific advantage of the cash transfer programme (e.g. compared to in-kind assistance) is that the community can obtain goods and services of their choice--directly from the local markets or other providers available.



There are at least six types of cash transfer programming.

Table 5: Five types of cash transfer programming

Types of cash transfer	Description
Unconditional cash transfers	Usually for the early emergency response for affected people to provide basic needs to support livelihood and productive activities
Conditional cash transfer	Given specific needs (e.g. rebuild the house, plant seeds, etc. - examples include voucher)
Voucher	Specific value of voucher where affected people can exchange with certain services or goods
Cash for work (CFW)	Payment for work on community or public works with wages that could cover basic needs
Cash for training	Payment for made to a specific group to participate in a specific training (e.g. mother with children under 2 or 5 participate in training related to nutritional knowledge)
Social assistance transfers	Regular cash transfer for longer-term vulnerability or destitute households, usually supported by the government agencies politically

Managers need to be aware of when to implement the cash transfer programme. The decision should be based on the assessment done by the humanitarian actors. Essential aspects in assessment to identify the need for cash transfer programming are:

- Market Assessment and analysis to identify the market available to provide needs;
- The capacity of WASH teams to implement and monitor the cash transfer programme;
- Security environment, vulnerabilities, and risks;
- The risks of corruption and ways to minimize them; and
- Food security situation.

The assessments are vital for managers as a decision-making tool in deciding the response. Managers should be concise that there are circumstances where in-kind assistance fits more than the cash transfer programme. For example: when goods are not available in the local market, there is an absence of appropriate security, a high risk of corruption, insufficient team capacity, and increasing environmental risks.



Moreover, WASH managers should be able to answer: what are the outcomes of the cash transfer programme? If the outcomes cannot be stated clearly, the programme may not be appropriate in such a condition.

E. Activity

WASH policies differ from one country to another. Do you know the relevant WASH-related policies of your country?

Answer Box

F. Summary

- There are several technical and policy issues to address before implementing WASH programmes. Being aware of them and addressing them as early as possible can help reduce or manage operational problems.
- There are several technical and policy issues to address before implementing WASH programmes. Being aware of them and addressing them as early as possible can help reduce or manage operational problems.
- The policies that shape WASH activities differ from one context to another at the country level. Managers need to work closely with national authorities, local communities, and other stakeholders from different sectors when designing and implementing WASH responses.



1.3 Incorporate broader organisational policy/advocacy issues into programme design and planning

A. Introduction

Developing organisational policies and conducting advocacy efforts go hand-in-hand. Humanitarian programmes, including, WASH have to address both policy and advocacy concerns because these affect organisational performance and programme outcomes.

B. Organisational policy and advocacy

Organisational policy refers to courses of actions chosen by an organisation among available alternatives to guide and determine present and future decisions and positions of public interests or social concerns. Organisational advocacy refers to the act of speaking on behalf of or in support of persons, groups, places, or things in alignment with organisational policies.

For example, when an organisation establishes a policy to prioritise the needs of vulnerable groups, its staff can define vulnerable groups broadly. However, members of vulnerable groups have different needs. Children include boys, girls, and children with disabilities. Women are not only women but also pregnant women. Advocacy efforts shed light on these issues and help humanitarian organisations address these specific needs.

C. Linkages between organisational policy and advocacy and program design and planning

Programme design and planning are essential because poorly designed and planned programmes rarely succeed. Much of the design and planning of programmes have to do with matching the humanitarian organisation's capacity, the WASH programme objectives, with the humanitarian needs it seeks to address.

Situations and conditions in post-disasters contexts tend to change over time. Therefore, programme designs and plans must be adaptable to remain appropriate and relevant.



An adaptive approach to planning emphasises:

- Formulation of long-term policies and strategies rather than targets
- A good balance between planning and implementation activities
- Regular monitoring and evaluation to spot errors, learn, and adjust efforts
- Continual consultation with intended beneficiaries to tailor programs to their specific needs

Table 6: The World Health Organisation (WHO) provides tips for designing and planning successful programmes:

<p>Think beyond 'a plan' as the main objective of the process</p>	<p>Instead of considering a written plan as the ultimate product, aim for a method that allows for quick cycles of planning, implementation, reflection, and revision. By doing so, one may adjust along the way.</p> <p>This does not require more funds, and this adaptive strategy may be incorporated into the program's logical framework just as readily as any other plan.</p>
<p>Be adaptive, which is less risky and more likely to deliver results</p>	<p>By not making rigid assumptions about what will work and allowing adjustments and alterations to the program's design, a flexible and adaptive approach helps to reduce risk. This does not imply that there is no plan or accountability. Still, instead, that one is responsible for delivering a good process, continuing to monitor, properly allocating resources, and so on.</p>
<p>Start with the problem, not the assumed solution</p>	<p>Although this may seem self-evident, many (if not all) programs are created with a predefined method or solution in mind, which raises the likelihood of failure. Redefining the strategy can be stressful because it entails thinking "outside the box" and coming up with new ideas.</p> <p>First and foremost, the situational analysis must yield a clearly stated problem, which one will revisit throughout the design and review process.</p> <p>Second, taking a step-by-step strategy that evaluates current information, practice examples, and innovations helps facilitate the process.</p>
<p>There is nothing wrong to start small</p>	<p>An attempt to launch a program around the most significant and complex challenge, or with many activities, can lead to failure and impede teamwork. Starting with a pilot in a specific location with a higher probability of success (owing to a strong partner group, an active and capable program manager, or some 'seed' financing) and building on successes to progressively extend the scale of the program is a solid choice.</p>



Get around paralysis

It is uncommon for the process to stall once the scenario analysis and initial discussions have begun, as it may appear that hurdles are too systemic or tough to change in the short or medium term. Keep in mind that, though the program may not solve all of the world's problems, it can still be implemented successfully.

When organisational policies and advocacy efforts are linked to programme design and planning, it can facilitate communication between teams and increase the collaborative participation of other internal and external stakeholders, including unrepresented groups.

D. Summary

- Developing organisational policies and conducting advocacy efforts go hand-in-hand. Humanitarian programmes, including WASH have to address both policy and advocacy concerns because these affect organisational performance and programme outcomes.
- Programme design and planning are essential because poorly designed and planned programmes rarely succeed. Much of the design and planning of programmes have to do with matching the humanitarian organisation's capacity, the WASH programme objectives, with the humanitarian needs it seeks to address.
- When organisational policies and advocacy efforts are linked to programme design and planning, it can facilitate communication between teams and increase the collaborative participation of other internal and external stakeholders, including unrepresented groups.



1.4 Provide joint technical leadership and coordination with colleagues from other sectors in emergency response programmes

A. Introduction

Coordination is vital to emergency response. Effective coordination results in fewer gaps in humanitarian assistance and reduces inefficiencies like redundant activities. There is sector coordination and cluster coordination in the humanitarian context, as shown in the [UNHCR \(2020\)](#) table below.

Table 7: The difference between WASH Sector Coordination and WASH Cluster Coordination

Term	Explanation
WASH Sector Coordination	Responsibility of UNHCR with host government Conducted by UNHCR or other actors as UNCHR's delegation
WASH Cluster Coordination	Responsibility of UNICEF as Cluster Lead Agency (CLA) Conducted by UNICEF or other actors as UNICEF's delegation Conducted together with host government Conducted within the Inter-Agency Standing Committee (IASC) Cluster mechanism

Source: UNHCR (2020)

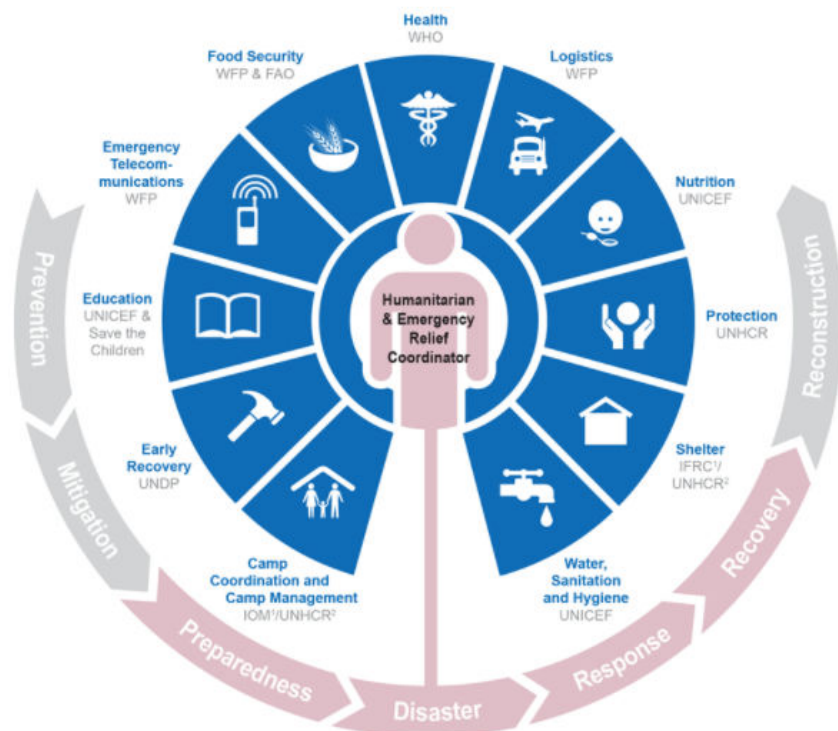
B. Cluster concept

In December 1991, the UN General Assembly resolution founded an International Humanitarian Coordination System. In 2005, the Cluster Approach was adopted as part of the Humanitarian Reform Agenda to enhance predictability, accountability and partnerships in aid and relief efforts.

Clusters are groups of humanitarian organisations designated by the Inter-Agency Standing Committee (IASC) to coordinate the main sectors in humanitarian action (e.g., health, logistics, WASH), as shown in the picture below from



Figure 3: International Humanitarian Coordination System (OCHA, n.d.)



The cluster approach makes the humanitarian community more structured, accountable, and open to partnerships with local governments, communities affected, civil society, and business. The aims of the cluster approach are:

- Assemble and maintain sufficient global capacity to respond to emergencies in all main sectors or areas of activity
- Ensure predictable leadership. Cluster Lead Agencies (CLAs) are responsible for organising an emergency response.
- Facilitate alignment of humanitarian efforts and goals at the global, regional, national and local levels

Actors in the WASH cluster

There are 32 partners involved in the [WASH cluster](#), grouped by The Global Water Sanitation and Hygiene Cluster or Global WASH Cluster (GWC). The GWC:

- Supports partners in providing WASH services to communities affected by emergencies and disasters
- Assists in ensuring the quality and coherence of the humanitarian assistance
- Advocates that humanitarian assistance is provided in a manner that is equitable, culturally acceptable, and protects the dignity of the populations affected by the crisis



The key actors in the Cluster Approach are shown in Table 8, retrieved from [Global WASH Cluster \(2009\)](#).

Table 8: Key actors in the Cluster Approach

Actors	Role
Global Level	
Office of the Coordination of Humanitarian Affairs (OCHA)	OCHA is a division of the UN Secretariat established to facilitate coordination between UN agencies and other organisations in countries where a humanitarian crisis has occurred.
Emergency Relief Coordinator (ERC)	ERC is the head of OCHA, the chair of the IASC, and reports to the UN Secretary-General. The ERC is in charge of global humanitarian assistance coordination.
Inter-Agency Standing Committee (IASC)	IASC comprises prominent humanitarian actors (key UN agencies, IOM, the Red Cross Movement, and international NGOs), provides coordination mechanisms, determines who is responsible for humanitarian response, identifies gaps, and advocates applying international humanitarian principles.
UN Disaster Assessment and Coordination (UNDAC) Team	UNDAC team is a stand-by team that the RC or the host government can request.
Global Cluster Lead Agency	The designated agency is responsible for managing the strategic direction of a Cluster.
Global Cluster Partners	Clusters are made up of members of IASC, NGOs, Red Cross/Red Crescent Movement, UN Agencies, consortia, institutions, donors, etc.
Country Level	
Resident Coordinator (RC)	RC is responsible for inter-agency coordination, which is familiar with the country and nature of the crisis and is appointed by the UN Secretary-General as a leader of the UN Country Team.
UN Country Team (UNCT)	UNCT includes representatives from UN Agencies who are residing in the country.



Humanitarian Coordinator (HC)	HC has overall responsibility for ensuring that humanitarian assistance activities in the country are coordinated. The HC is the leader of HCT, collaborates with the RC, and reports to the Emergency Relief Coordinator.
Humanitarian Country Team (HCT)	HCT is responsible for mounting a coordinated humanitarian response and consists of the country's cross-sectoral IASC representatives.
Country Cluster Lead Agency	CLA, appointed by the HC, is responsible for ensuring effective leadership and coordination of the Cluster.
Country Cluster Partners	Cluster partners are all those involved in the humanitarian response.

Source: Global WASH Cluster (2009)

As the **Cluster Lead Agency (CLA)** for the **Global WASH Cluster**, **UNICEF** facilitates partnerships between different WASH actors. CLA is accountable for:

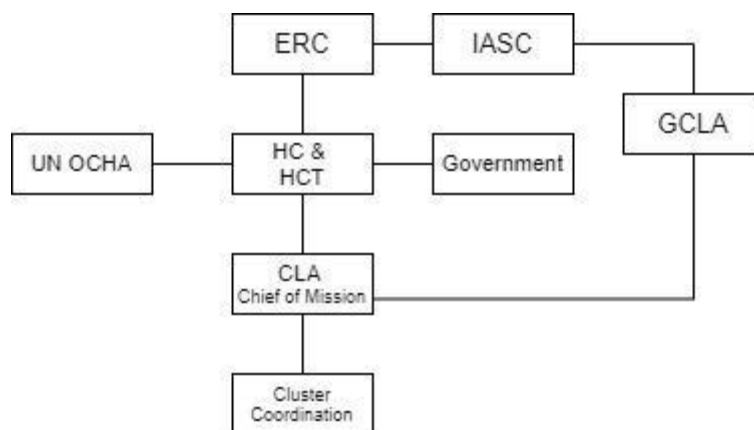
- At the global level: building up a more predictable and effective response capacity in line with Inter-agency Standing Committee (IASC) agreements
- At the country level: fulfilling agreed roles and responsibilities for Cluster leadership (in addition to the standard institutional responsibilities)

Other key actors in WASH:

1. International, national, and local NGOs
2. International Federation of Red Cross and Red Crescent Societies
3. National, local government, and state institutions
4. Donors
5. Military and peacekeeping forces
6. Private sectors
7. Academics
8. Affected communities
9. Other clusters
10. Other UN agencies and IOM

The structure of the Cluster Approach is shown in the figure below, retrieved from [OCHA \(n.d.\)](#).





ERC	= Emergency Relief Coordinator
(G)CLA	= (Global) Cluster Lead Agency
HC	= Humanitarian Coordinator
HCT	= Humanitarian Country Team
IASC	= Inter-Agency Standing Committee
UN-OCHA	= Office for the Coordination of Humanitarian Affairs

Figure 4: Example of coordination scheme in the cluster approach (OCHA, n.d.)

Coordination of a Cluster is usually headed by the government and supported by the Humanitarian Country Team (HCT) and designated Cluster Lead Agency (CLA). Coordination is likely to take place at three levels. These are dependent on the nature of the emergency as well as the willingness and capacity of the responders:

1. National level: primarily high-level liaison and strategic decision making
2. Sub-national level: primarily for coordination of planning and response activities.
3. Regional level: primarily for technical and advocacy activities

Supporting actors

Supporting actors in the WASH cluster assist in providing administrative, financial, information management, logistical, and technical support.

Steering or advisory actors

Creating a smaller steering or advisory group can help facilitate decision-making and lessen bottlenecks. This steering or advisory group can support the WASH cluster in the following activities:

- Determining the steering group composition and working mechanism
- Defining the Term of Reference (ToR) for cluster partners
- Creating and sustaining national-level partnerships as well as ensuring that different WASH sectors interests are fairly represented within the Cluster;



- Providing strategic guidance
- Keeping the response moving
- Representing the interests and positions of the WASH Clusters as a whole, including pushing for essential funding and provisions
- Identifying the performance standards and indicators

Technical working groups and sub-groups actors

The steering and advisory group can form technical groups to assist in more detailed activities requirements specialised knowledge and skills. Its purpose will determine a group's lifespan.

C. Coordination with other sectors

WASH sector coordination focuses on standardising inter-sectoral strategies and information sharing between WASH and other sectors (Health, Shelter, Education, Livelihoods, Protection Nutrition, Site Planning and Community Based Protection Sector) ultimately to address the needs of affected communities. Coordination activities in WASH include:

- Ensuring that a common WASH strategy is applied
- Standardising WASH and need assessment
- Preventing gaps and duplication
- Establishing acceptable technical standards for work
- Joint mobilisation
- Resources development
- Performance monitoring
- Unified advocacy activities
- Information sharing
- Joint preparedness and contingency planning
- Integrating lessons learned and best practices in and from other sectors

WASH Cluster inter-organisational relationship

There are some principles to follow when arranging coordination with other sectors in WASH activities:

- Determine the scale, needs, and requirements of the response
- Consider other stakeholders and coordinate with them, including key members of the affected communities.
- The coordination should be led by government line ministries and co-chaired by UNHCR or UNHCR partners.
- If there is a large-scale rapid-onset disaster, the UNHCR Senior Management will take the lead to mobilise a rapid emergency response.



- There should be dedicated resources that work from the start until the end of the emergency response. They are called the WASH sector coordinator focal points

In minor emergencies, the Humanitarian Cluster (HC) will most likely be directly involved in coordination assessment, planning, information sharing, resource mobilisation, and response actions among the Clusters and chairing inter-Cluster coordination meetings. UNOCHA coordinates this in major emergencies, including the UN Disaster Assessment and Coordination Team. Inter-Cluster coordination will be managed by an OCHA Inter-Cluster Coordinator or an authorised staff member, who will engage directly with the HC.

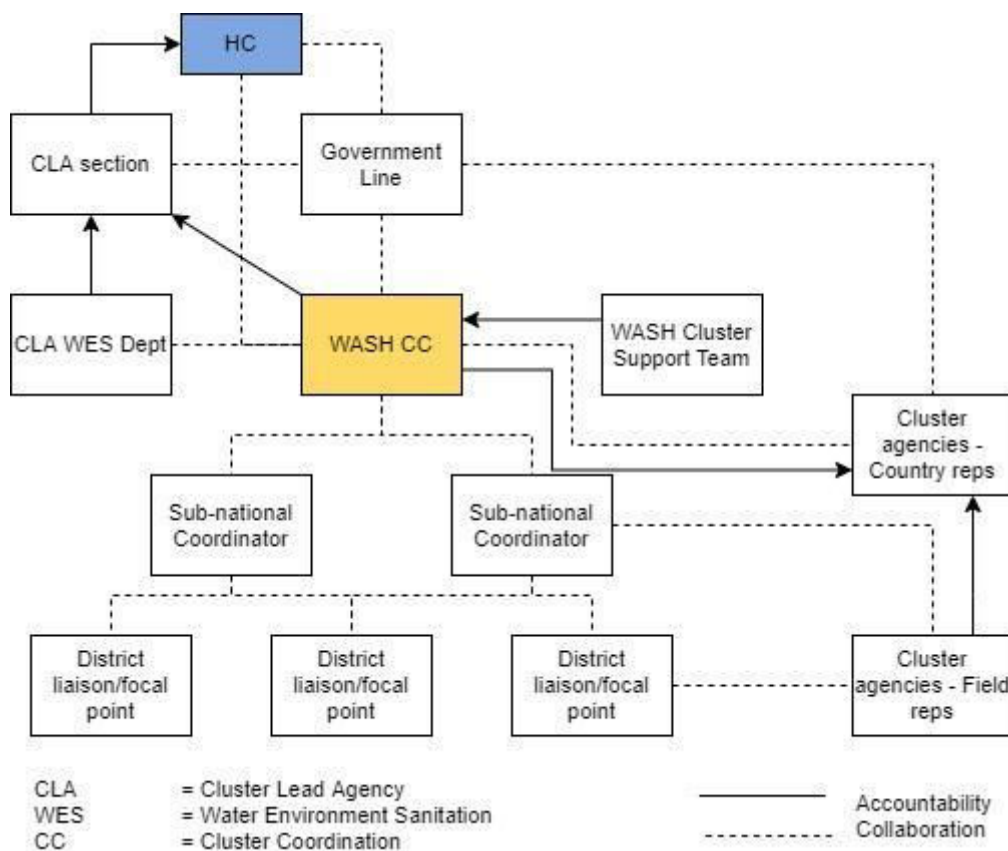

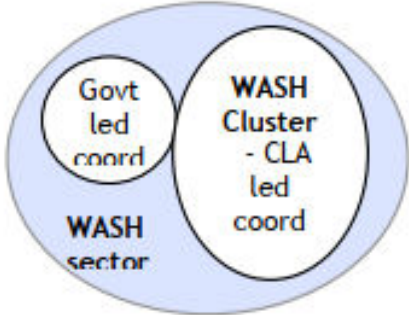



Figure 5: Example of WASH cluster inter-organisational relationship (Global WASH Cluster, 2009)

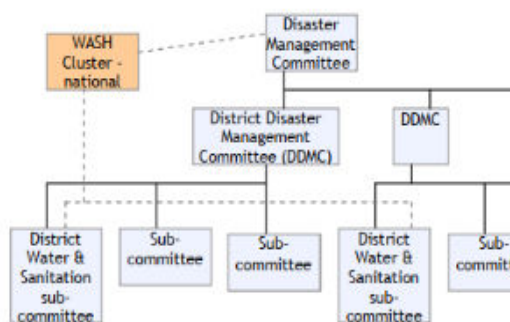
D. Coordination with the government in WASH cluster

Table 9: Example coordination with government

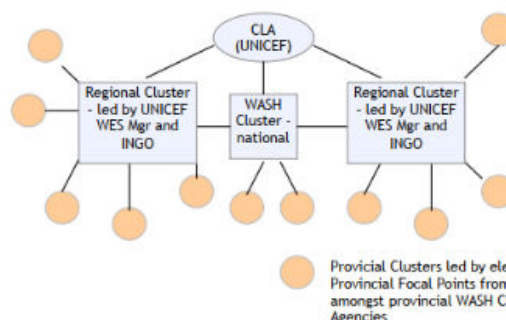
Level of coordination	Explanation	Coordination model
<p>National</p>	<p><i>Existing government coordination supported by WASH Cluster</i></p> <p>The existing government will lead the coordination, and WASH Cluster Lead Agency (WASH CLA) will provide support.</p>	
	<p><i>WASH Cluster coordination alongside government</i></p> <p>This happens when the existing governments are unable or unwilling to provide the necessary coordination or refuse to recognise the legitimacy of international actors.</p>	
	<p><i>Coordination established through the WASH Cluster</i></p>	



Sub-national WASH Cluster at the district level is integrated with the local government system, which is beneficial for gaining buy-in and encouraging ownership of local actors (Case Study: Uganda).



A decentralised model which co-led by UNICEF staff member and an INGO representative. The link with the government at national and regional levels are weak, but there is a high representation of local and national actors (Case Study: Disaster Recovery Center).



Source: Global WASH Cluster (2009)

E. Coordination with other sectors in WASH

Table 10: Example coordination with other sectors

Sectors	Role
Shelter	Ensure that all women, girls, men, and boys have proper space for WASH facilities, including adequate privacy within their shelter, especially for menstrual hygiene management for women and girls.
Site planning	Ensure the involvement of women and girls in the discussion of the WASH facilities' locations Ensure there is sufficient space in WASH facilities at secure distances as perceived by the users
Health, nutrition, and HIV	Incorporate the hygiene promotion and campaign into broader health, nutrition and HIV activities Provide hygiene support for mothers who have just given birth and for incontinence

Source: Global WASH Cluster (2009)



Table 11: Example coordination with other institutions

Institution	Role
Traditional authorities, elders, religious leaders	Resolving land and water rights, community mobilisation
Academic and research-based institutions	Provide scientific-based information, expertise, personnel, and equipment
Civil society or professional associations	Helping in personnel, local knowledge, and mobilising materials and equipment
Faith-based organisations	Helping in accommodation, warehousing, staff, and local expertise
Police, customs	Enabling access, security, clearances
Media	Information dissemination, supporting advocacy

Source: Global WASH Cluster (2009)

F. Refugee Coordination Model (RCM)

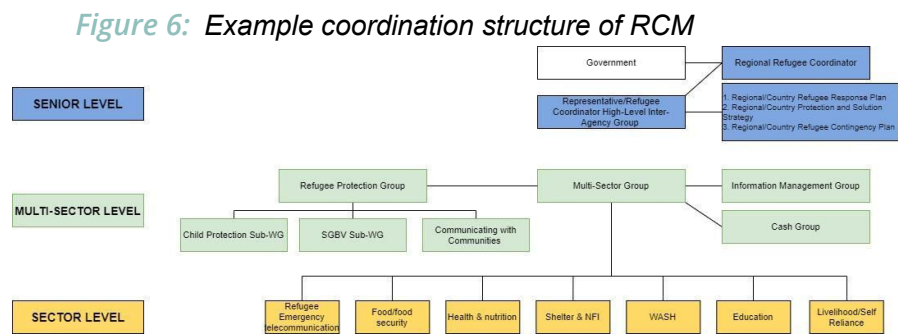
One of the coordination models used in WASH is the [Refugee Coordination Model \(RCM\)](#). It is a model that seeks to enhance inclusiveness, predictability, transparency, and accountability. RCM was designed to be light, operations-focused and impact-oriented. It has the following elements:

- **Direct advocacy** with the host government by the UNHCR Representative on all international protection matters
- **Strategic planning** led by representatives (including development actors) for all response phases
- **Refuge Consultation Forum (national level)** co-chaired by the host government and the Representative on the overall emergency response
- **UNHCR Refugee Coordinator** as a leader to ensure the participation of other sector-leads, supported by Multi-Sector Operations Team
- **Refugee Protection Working Group** led by UNHCR for mainstreaming protection throughout other operational sectors
- **Service delivery sectors** led by Government line ministries and co-chaired by partners and UNHCR.
- **Arrangements on sector coordination and delivery** with multiple potential partners. The RCM model is designed to increase the harmonisation of humanitarian efforts. It is a flexible model.



- **When cluster structure exists:** RCM implementation could form an integral part of any humanitarian response, with also could stand alone for international protection and accountability purposes
- **When cluster structure doesn't exist:** RCM implementation could stand alone for international protection and accountability.

Below is an RCM model, retrieved from [UNHCR \(2020\)](#).



Source: UNHCR (2020)

In humanitarian coordination, we must remember that:

- Government leadership is paramount
- Heads of agencies are chaired by relevant Government and co-chaired by UNHCR
- Refugee Protection Group is chaired by the Government (where feasible) and UNHCR
- Sectoral meetings are chaired by relevant Government entities and agencies coordinating the sector
- Sectors should be increased and reduced in number depending on the operational need
- Necessary linkages with other coordinator mechanisms should be established

G. Summary

- WASH coordination consists of two types: WASH Sector Coordination and WASH Cluster Coordination.
- Clusters are groups of humanitarian organisations in each of the main sectors of humanitarian action (e.g. water, health, and logistics), and WASH is one of the clusters led by UNICEF. The WASH cluster has a coordination structure among the cluster actors and coordinates with supporting actors, steering or advisory actors, technical working groups and sub-group actors.



1.5 Develop response strategies, plans and capacities to reach target population with culturally appropriate and gender-sensitive interventions

A. Introduction

There are different WASH response strategies, plans, and capacities to reach the target population. The challenge is gaining acceptance by the community and serving the needs of vulnerable groups. In this case, WASH interventions must be culturally appropriate and gender-sensitive. To provide an inclusive and protective program, the first step that should be known is who is the affected community so the best response could be taken. In terms of this, gender and diversity analysis should be conducted to know the individuals or groups based on their needs, risks, and concern.

Gender and diversity analysis aims to understand how inequalities and opportunities could be affected based on the gender of the person. It is to identify the distinct reality between certain group, people and other factors, including sexual orientation, HIV, socio-economic status, faith, ethnicity, and religion. The relationship between women and men can be identified along with their roles, responsibilities, constraints, and access to control resources.

B. WASH interventions: Hygiene promotion

Hygiene promotion is conducted using hygiene kits, part of Non-Food Items (NFI) activities. There is another scheme that uses cash and vouchers instead to widen the choices of affected communities. In general, effective hygiene promotion is based on the following:

1. **Collaborate with the community to mobilise action and facilitate decision-making.** Discuss the contents of the hygiene kit with the community and consider other needs they request. Optimise WASH cluster coordination to deliver standard hygiene kits and to avoid duplication.
2. **Two-way communication and feedback on risks, priorities and services.** Ensure that the communities understand how to use each item in the hygiene kit. Tap the local markets as the source of distribution whenever possible. Consider the option of distributing cash or vouchers instead.



- 3. Accessibility and usability of WASH facilities, services, and materials.** Consider issues surrounding health (e.g., HIV), gender, and protection when distributing the hygiene kits. Plan a post-distribution monitoring activity within three weeks of distribution to generate insights into improving humanitarian assistance.

Hygiene kits, according to Oxfam, consists of:

- Storage of safe drinking water at the household level
- Good practice around drinking water use
- Ability to practice handwashing by all family members
- Body and clothing wash
- Management of babies and young children's faeces
- Anal cleansing with dedicated water containers
- Menstruation management
- Good food hygiene practices

The [Sphere Handbook \(2018\)](#) presents three strategies for health promotion.

Table 12: Standards, plans, and actions plans in hygiene promotion

Strategies	Plans	Action Plans
Raising public's awareness of health risks related to WASH and adaptation in individual, household and community levels	Determine the leading public health risks and current hygiene practices	Understand and manage WASH risks
	Involvement of community to design and manage hygiene promotion	Ensure that staffs are equally available for men and women Working with children
	Hygiene promotion improvement through feedback and other health surveillance data	Provide information in multiple formats to be accessible for everyone Handwashing with soap campaigns Toilet use campaigns Drinking water supply
Make sufficient hygiene kits available to the affected community	Determine the hygiene kit that is needed by individuals, households, and the community	Identify essential items based on the culture and context Provide water containers for daily needs



		Identity at-risk groups that need more hygiene items
	Determine the hygiene kit distribution and storing processes with the local community	Involve local support where possible Distribute hygiene kit safely Coordinate joint distributions
	Obtain the affected community's feedback on the implementation of activities	Collect and share information in multiple formats to be accessible for everyone
Management of menstrual hygiene and incontinence	Holistic understanding of menstrual hygiene management and incontinence	Mainstreaming menstrual and incontinence hygiene in crises
	Consultation of the facilities with women, girls, and people with incontinence	Discuss and understand the affected people's preferences in disposal, laundry facilities, and toilet & bathing facilities
	Accessibility of menstrual hygiene and incontinence management (i.e. soap, laundry)	Ensure the replenishment of supplies

Source: Sphere Handbook (2018)

C. Water supply

Water quality and quantity are among the most crucial factors in public health during an emergency. The [Sphere Handbook \(2018\)](#) outlines ways to ensure adequate access to safe and potable drinking water.

Table 13: Standards, plans, and actions plans in water supply

Strategies	Plans	Action Plans
Equitable and affordable access to safe drinking water for the affected people	Identify the groundwater or surface water source available with environmental impact considerations	Select water source based on availability, the feasibility of water treatment, and



social, political or legal factors

Determine the water quantity needed for the affected people

Determine the minimum amount based on the needs (i.e. survival, hygiene practice, basic cooking)
Pay attention to round-trip and queuing time as an indicator of inadequate yields at water sources

Ensure other water facilities (i.e. drainage, bathing, cooking areas)

Ensure the accessibility and equity for other facilities
Ensure that water containers are high quality
Assess the market for water supply
Manage water system and infrastructure with locals
Consult women, girls, and disabled people when designing laundry and washing facilities
Ensure there is a mechanism for proper wastewater treatment

Good quality of water for drinking, cooking, personal and domestic hygiene without causing health effects

Determine public health risks related to water and devise measures to address them

Checks water quality with waterpoint surveys, separate containers observations
Water quality testing of a new water source

Determine the method to ensure water quality for consumption or use

Promote safe drinking water and protect water sources with support of local communities
Promote water disinfection activities

Avoid post-delivery water contamination at the point of consumption or use

Apply safe collection and storage practices
Where possible, apply household water treatment



and secure storage
(HWTSS)
Beware of any chemical and
radiological contamination

Source: Sphere Handbook (2018)

D. Excreta Disposal

Proper, safe, clean and reliable toilets should be accessible to all people. Inadequate toilet facilities can lead to a high risk of diseases, especially in areas with a high population density. Toilets or latrines are the first barriers between humans and their waste.

In developing response strategies, plans and capacities for excreta disposal, some general principles should be applied:

- WASH staff should instigate a 'clean-up' programme to ensure that the environment is free from human faeces
- People's cultural habits and preferences should inform programme design and implementation
- Before the construction begins, an agreement with local communities should be made on the facilities' locations and technical aspects
- Excreta disposal in emergencies occur in this sequence:
 - First phase: Avoid open defecation by making a shallow trench latrine surrounded by plastic sheeting
 - Second phase: Communal latrines construction
 - Third phase: Shared family latrines construction
 - Fourth phase: Individual family latrines construction
- Consider the environmental impact that may occur (i.e. deforestation)
- Build latrines that could be sustainable for future disasters, so long-term operation and maintenance costs are minimised
- Promote handwashing after defecation and build handwashing facilities near latrines

The [Sphere Handbook \(2018\)](#) provides guidelines for this area of work.



Table 14: Standards, plans, and actions plans in excreta disposal

Strategies	Plans	Action Plans
<p>On-site safe excreta disposal to avoid contamination of the environment</p>	<p>Immediately build communal settlements for excreta disposal in crisis</p>	<p>Immediately promote hygiene campaign: open defaecation control, prevent defaecation near all water resources</p>
	<p>Ensure that living, learning, working spaces, or surface water are faeces-free</p>	<p>Ensure faecal materials does not contaminate water sources Immediately control the contamination when suspected</p>
	<p>Design excreta facilities with considerations of topography, ground, and other water sources</p>	<p>Check soil saturation levels Check the distance to water source facilities</p>
	<p>Ensure a safe excreta disposal for children and babies</p>	<p>Provide parents with more information: diapers, potties or scoops use</p>
	<p>Construct all excreta facilities to reduce problem vectors</p>	<p>Consider installing portable toilets with existing sewerage systems</p>
<p>An adequate, appropriate, and acceptable toilets to a proper accessibility</p>	<p>Identify the most suitable options for toilets</p>	<p>Ensure all the technical requirements and standards for toilets are met Ensure that the facilities are safe and secure, especially for women</p>
	<p>Determine the toilets quantity required based on the affected people</p>	<p>Consider the quantity standard for household, share, and communal toilets</p>
	<p>Involve stakeholders in designing the toilets with age, sex and disability consideration</p>	<p>Ensure all the technical requirements and standards for toilets are met Ensure that the facilities are safe and secure, especially for women</p>



	Provide proper facilities for hygiene, especially menstrual and incontinence hygiene	Ensure the proper containers for menstrual hygiene
	Ensure the quantity of water supply for hygiene activities (e.g., handwashing, anal cleansing)	Ensure the proper facilities for anal cleansing, handwashing, etc.
Ensure the operation and maintenance of excreta facilities to minimise impacts to surrounding environments	Organise a system for excreta management from collection, transport, treatment, and disposal	Determine the need of de-sludging Ensure the operation and maintenance support the de-sludging process
	Plan the system for short-term and long-term management	Short-term plan: 1-2 litres/person/day Long-term plan: 40-90 litres/person/year Seek local support where possible
	De-sludge the facilities regularly safely	Consider raised toilets, sewage containment tanks, urine diversions toilets, temporary disposable plastic bags
	Ensure that the people have the knowledge and materials to maintain the facilities	Consider the option to utilise excreta as biogas
	Ensure the adequate water supply for excreta transport without placing undue stress on the water sources	Ensure the quantity of water supply compared to the toilets available

Source: Sphere Handbook (2018)

E. Vector control

In many humanitarian settings, especially during a crisis, vector-borne diseases are a significant source of sickness and death. Solid waste, drainage, and excreta management problems may lead to vector-borne



diseases. Vector-borne diseases can be complex and require specialist advice in solving them.

In developing response strategies, plans and capacities for excreta disposal, some general principles should be applied:

- Vector control should be based on local evaluation of vectors' influence on infectious diseases like malaria and dengue fever and carried out as part of larger public health and WASH effort
- Vector control activities should be carried out with the participation of local communities and public education campaigns
- Any chemicals that will be used should follow national and international standards (i.e. WHO);
- Vector control disposal should comply with national or international regulations.

The [Sphere Handbook \(2018\)](#) offers some guidelines:

Table 15: Standards, plans, and actions plans in vector control

Strategies	Plans	Action Plans
An environment where vector breeding and feeding locations are targeted to lessen the risk of vector-related disorders	Identify vector-borne disease risk in certain areas	Choose proper communal settlements Assess the risk factors as well as epidemiological and clinical data
	Integrate vector control actions with local vector plans	Assess the risk factors as well as epidemiological and clinical data
	Understanding vector life cycles to determine vector controls	Remove/modify vector breeding and feeding sites caused by WASH activities Determine the biological and non-chemical control with consideration of its limitation
The affected community have the proper knowledge and means to protect themselves from vectors	Identify the current vector control activities	Identify the high-risk groups to vector-related diseases Ensure knowledge sharing about risks in improper menstrual hygiene



	Initiate participatory and accessible awareness programs to inform people about vectors issues	Identify the high-risk groups to vector-related diseases Integrate social mobilisation and communication activities to vector control actions
The affected community have the proper knowledge and means to protect themselves from vectors	Identify local market assessment for preventive measures	Integrate social mobilization and communication activities to vector control actions
	Train the affected people to monitor, report, and give feedback	Optimise campaign for individual protection (e.g., personal hygiene)

Source: Sphere Handbook (2018)

F. Solid waste management

Solid waste management involves:

- Planning solid waste management systems.
- Handling, separating, storing, sorting and processing waste at source.
- Transferring to a collection point.
- Transporting and final disposal.
- Reuse, re-purposing or recycling.

In developing response strategies, plans and capacities for solid waste management, some general principles should be applied:

- WASH staff should first investigate the following conditions:
 - How do people dispose of their waste regularly
 - What types and proportions of each type of solid waste
 - The specific waste generated by the disaster
 - The disposal mechanism, whether it is on-site or collected to be disposed of off-site
 - The presence of medical waste
 - The stakeholders involved in solid waste disposal
 - The equipment available to protect staff and volunteers
- It is important not to promote household-level burning of waste for health, safety, nuisance, and environmental impacts it may cause.

The [Sphere Handbook \(2018\)](#) offers insights on managing solid waste.



Table 16: Standards, plans, and actions plans in solid waste management

Strategies	Plans	Action Plans
Safe solid waste management to avoid pollution to the environment	Design solid waste system based on public health risk, assessment, and existing practice	Identify existing solid waste management Identify the existing authorities
	Communication with local authorities to make sure the capacity of existing systems	Coordinate with the local authorities
	Initiate solid management campaign with the necessary infrastructures	Encourage reuse, re-purposing or recycling solid waste by the community Seek local support where possible
	Provide protective clothes for all people involved in collecting, disposing of, reusing, or re-purposing	Provide hygiene kit for everyone involved Identify risks of improper solid management
	Ensure the appropriate, adequate, and safe treatment sites	Provide hygiene kit for everyone involved Identify risks of improper solid management
	Minimise packing material to reduce solid waste	Encourage reuse, re-purposing or recycling solid waste by the community
Safe, solid waste management that enables people to implement in their household	Provide a convenient and covered storage for small clusters of households	Quantify the solid waste produced for each type based on current local activities
	Provide collection points for waste households daily	
	Ensure that solid waste burial is safely managed	
Safe and secure collection points and final disposal	Ensure adequate on-site storage in certain areas	Pay attention to market and abattoir waste
	Provide marked storage waste in communal areas	



Source: Sphere Handbook (2018)

G. Culturally appropriate and gender-sensitive interventions

Some standards need to be included to ensure protective and inclusive programming:

Dignity

Wash facilities should ensure maximum dignity and privacy, including:

- Access to latrine based on gender identity
- Latrines for disability people for person of different gender
- Lockable latrines and washing facilities
- Disability people can use a toilet with dignity and privacy by including ramps, handrails, wide doors, seating, lighting, etc
- Distance space for cultural and privacy purposes
- Separate facilities for assisting children with bath and toilet needed

Sanitary materials which culturally appropriate distributed to woman in sensitive ways includes:

- Distribution directly after school
- distribution through women's group
- Appropriate disposal or care
- Provision of menstrual hygiene management
- demonstration of MHM materials
- Menstrual hygiene management awareness and education including men and boys

Ensure the staff and volunteers involved in WASH activities are sensitised on age, gender, disability, and associated WASH needs and how to communicate respectfully with persons with disabilities, persons with mental health disorders and older people.

Access

- Barriers and constraints faced by persons of all gender identities, ages, backgrounds and disabilities are identified in a consultation session
- To ensure that the most marginalised have access, prioritisation of selection criteria need to be developed
- Data collection such as WASH assessments and mapping exercise includes a question for diversity and gender analysis
- Water and sanitation facilities are designed, located, adapted so they can be accessible for all
- Innovative solutions should be developed for water fetching



- Sanitary materials are distributed to individuals in appropriate ways to reach women and girls with disabilities
- Wash assistance in spreading information is disseminated widely in accessible format, including braille, relevant language, visual format, audio format.
- People of all ages, gender, and disabilities receive equal pay for equal work

Participation

- Awareness is raised about the right of children, women, disabled people, older people, sexual and gender minorities, refugees and immigrants to participate and get the benefit from WASH program
- Needs, concerns, and priorities of all gender, identities, ages, backgrounds, and disabilities are consulted to discover risky hygiene practices and conditions. Where necessary, same-gender identity focus groups are held with same-gender facilitators and identity interpreters in multilingual settings
- Women and girls, including women and girls with disabilities, are consulted about their personal preferences and practices also norms in their community related to personal hygiene management, children's hygiene, responsibilities for water storage, water collection, and waste disposal, management and maintenance of WASH facilities
- Assessment, response, monitoring and monitoring teams have a fair representation of persons of all ages, gender identities, disabilities and background
- Persons of all ages, gender identities, disabilities and backgrounds should have the same opportunity to learn and operate water and sanitation infrastructure
- Ensure the timing of assessment is based on daily habits of all groups so that they can participate
- Before planning WASH activities, special measures need to ensure equal access to persons of all ages, gender identities, disabilities and backgrounds. This includes: securing locations and venues, allowances for flexible meetings, interpreters in appropriate language, same-gender identity instructors, providing childcare and safe spaces for children during the meeting.
- Collaboration between organisations working On WASH, linking programmes and opportunities for longer-term support to affected communities

Safety

- Sector-specific safety issues, such as:
 - Facilities are secured with privacy, locks, lights, and adequate, accessible support



- Latrine and bathing are separated for men and women
- Water points are located at reasonable distances, and gradients
- Hygiene materials are distributed by gender and diversity balanced team
- Distributions are carried out during daylight hours and in an accessible location for women and girl
- Sexual and gender-based violence preventions and children protection, such as:
 - Discriminatory gender and social norms are identified in relation to WASH
 - People with SGBV greatest risk are involved in designing the management of WASH facilities and services
 - Actions to reduce the risk of SGBV
 - A core set of indicators are identified, collected, and analysed to monitor SGBV and child protection risk.
 - SGBV and child protection are consulted to identify confidential, appropriate, and safe systems of care for survivors who have had experienced violence.
 - All staff and volunteers need to take at least one training session on each of the following: disability inclusion, gender and diversity, child protection, SGBV, and trafficking in human
 - All staff should understand the principles of survivor centres approach, which is 1) Safety, 2) Confidentiality 3) Respect 4) non-discrimination
 - WASH committee members are engaged in SGBV and child protection awareness-raising activities
 - All volunteers and staff carry up on updated list and contact details of agencies and professionals of SGBV, child protection, legal and psychosocial support service
- Internal protection system, such as:
 - Community-based feedback and complain system, for example, staff are available to address complaints, efforts are made to reach children using child-friendly approach, the location of complaints office has been taken into consideration
 - Clear, consistent, and transparent guidance to minimise the risk of sexual exploitation and abuse by humanitarian actors
 - Groups and individuals that rely on assistance to access wash services and facilities are monitored closely
 - Affected communities receive audio, visual, written, and easy-to-read information
 - All staff already had a briefing on PSEA and their obligation aligned with international standard



- Code of conduct and child protection policy, such as:
 - All staff already had briefing and signed on Code of conducting a and their obligation aligned with international standard
 - All staff already had briefing and signed child protection policy and their obligation aligned with international standard
 - All staff have been recruited using child-free recruitment measures

Table 17: Special note on gender-sensitive interventions

WASH Intervention	Special note on gender-sensitive interventions
Hygiene promotion	<p>Include menstruation and incontinence materials in the essential hygiene kit items</p> <p>Provide equal opportunities for men and women to volunteer</p> <p>Holistic understanding of menstrual and incontinence hygiene management, including the practices, social norms, and myths among the affected population</p> <p>Involvement of women and girls for the design and management of the facilities (toilets, bathing, laundry, disposal, and water supply)</p> <p>Accessibility of menstrual hygiene and incontinence management (i.e. soap, laundry)</p>
Water supply	<p>Ensure that other water facilities (i.e. laundry, washing, and bathing facilities) provide separate facilities for men and women and are safe for persons with disabilities</p>
Excreta disposal	<p>For toilets:</p> <p>Men and women facilities separation is the default, except where consultation (especially with women) advise otherwise. Generally, provide three female facilities for every male facility (3:1 ratio).</p> <p>Ensure there is adequate privacy in women's facilities.</p> <p>For bathing facilities/cubicles:</p> <p>Ensure that female cubicles are included and built separately from those for males</p> <p>Provide facilities for female menstruation needs</p> <p>Allocate larger facilities for women than men (e.g., women often take a bath with their children).</p>
Vector control	<p>Ensure knowledge sharing about risks of improper menstrual hygiene</p>
Solid waste management	<p>Provide space for disposing of women's menstrual pads.</p>



H. Activity

Research the current menstrual hygiene efforts in your country and analyse the following:

- Does your country have a standardised menstrual hygiene management?
- Does the current practice of menstrual hygiene management meet the standards document in the Sphere Handbook?
- Which country has successfully applied good practices in menstrual hygiene?

Answer Box

I. Summary

- There are different WASH response strategies, plans, and capacities to reach the target population.
- The challenge is gaining acceptance by the community and serving the needs of vulnerable groups.
- In this case, WASH interventions must be culturally appropriate and gender-sensitive



1.6 Identify coping mechanism of the affected people

A. Introduction

Emergencies may create or intensify different stressors. It affects not only the local communities but also the responders.

1. Environment: Difficult climate, inadequate living conditions, an influx of foreigners, high level of crime
2. Organisational: a tight structure, bureaucracy, unsupportive management
3. Social: co-workers' conflicts, family problems, unhealthy relationships with others
4. Personal: clashes of personal values
5. Biological: acute or chronic physical illness, allergies, injuries
6. Psychological: traumatic experiences, lack of self-confidence

It is essential for team leaders always to pay attention to individual reactions during an emergency. Stress in the context of humanitarian work can be divided into two general groups: [cumulative and traumatic stress](#).

Cumulative stress results from long working hours and day-to-day disappointments, a high volume of demands, and challenging living working conditions in emergencies.

Traumatic stress is triggered by unexpected or violent incidents that are emotionally charged and exceed the individual's normal coping mechanism. Untreated traumatic stress may develop into conditions like Post Traumatic Stress Disorder (PTSD).

B. Coping

Coping is the process of using thoughts and actions to manage internal and external stressful situations. Coping capacity is the ability of people, organisations, and systems to handle adverse conditions or difficult situations using available resources and skills. The capacity to cope requires self-awareness and good management of resources. Coping capacities contribute to disaster risk reduction.



C. Coping mechanism approaches

Coping mechanisms are remedial actions undertaken by people whose survival and livelihood are compromised and threatened. “To cope” means having far less control over a situation than managing it. Every region, social group, community, household, and individual have different coping mechanisms. People’s previous experiences have a significant impact on them. Coping mechanisms are finite, for they are closely related to resources and skills available. However, the most successful coping mechanisms are integrated into daily routines and implemented regularly.

Strengthening coping mechanisms is both individual responsibility and that of an organisation. Being adequately prepared, both physically and mentally, is crucial in strengthening stress resistance.

There is a wide range of individual coping mechanisms, such as getting enough sleep, eating regularly, taking frequent breaks during the day, making time for physical exercise, avoiding alcohol and nicotine, making sense of experiences, recognising our limits, monitoring negative thoughts, finding constructive ways to express feelings, and implementing a buddy system.

Setting up staff welfare sections in human resource departments in organisations and making counselling services available to staff can help too.

Coping mechanisms can be categorised into three groups when considering the impact on livelihood: non-erosive, erosive and failed coping. Livelihoods are often the means for securing resources and gaining skills. It is a good indicator of levels of coping.

Table 18: Types of coping mechanisms based on the caused damages

Coping	Characteristics	Examples
Non-erosive coping	Does not damage livelihood, easily reversible	<i>Insurance, minimising risk, loss management</i> Loans, short-term dietary intake reduction, buying cheaper but unhealthy food, sale of non-productive assets, migration for individuals work



Erosive coping	Damages livelihood, harder to reverse	<i>Productive assets disposal</i> Sale of land, susceptibility to shark loans, sale of large livestock, child labour
Failed coping	Permanent damage to livelihood	<i>Destitution</i> Charity dependency, prostitution, sale of children

Source: UNHCR (2007)

D. Tips for managers

Here are some tips on reducing cumulative and traumatic stress in an emergency.

Table 19: Differences between cumulative and traumatic stress

Cumulative Stress	Traumatic Stress
<ul style="list-style-type: none"> • Use motivational leadership styles • Set an example in the way you handle personal stress • Dedicate resources to ensure appropriate working and living conditions • Rotate of staff when necessary • Monitor the health and well-being of all members • Provide briefings to incoming staff • Ensure staff get enough rest 	<ul style="list-style-type: none"> • Manage workload of staff • Ensure that colleagues are provided with proper clothes, meals, privacy and comfort • Provide proper medical assistance • Find ways that make it easy for staff to contact their families and friends • Create a culture of psychological safety • Arrange psychological support immediately



E. Activity

What is the main difference between cumulative and traumatic stress? Give examples for each stressor.

Answer Box

F. Summary

- Stress can be caused by many factors: environmental, organisational, social, personal, biological, and psychological.
- Stress in the context of humanitarian work can be divided into two general groups: cumulative and traumatic stress.
- Coping capacity is the ability of people, organisations, and systems to handle adverse conditions or difficult situations using available resources and skills.
- Coping mechanisms can be categorised into three groups when considering the impact on livelihood: non-erosive, erosive and failed coping.



1.7 Promote community engagement, and as appropriate, for participation in planning, construction, operation and maintenance, as well as monitoring and evaluation of WASH facilities and services

A. Introduction

Humanitarian intervention should strengthen, not undermine, the connectedness of communities. Members of communities tend to have shared identities and interests. It is essential to respect social norms and practices and build trust and accountability before providing humanitarian assistance to affected communities.

B. Community engagement

Community engagement in WASH is a structured and dynamic process that brings together communities and other response stakeholders to address the impacts of a disaster. It brings the communities and responders' capacities and views together. Local communities are key partners because only by engaging them can programme design and implementation meet their needs and fit the context.

Community engagement in WASH activities is more focused on a collective than a household approach. It combines epidemiology, public health, anthropology, and hygiene promotion, adapting solutions to each community's specific requirements. It is critical to involve as many people as possible in adopting WASH practices that prevent widespread disease outbreaks.

Guiding principles for community engagement

[Oxfam's community engagement approach](#) highlights some basic principles of community engagement applicable to WASH activities.



Table 20: Community engagement principles and remarks

Community engagement principles	Remarks
Risk	Consider qualitative data while continuously collecting information about risks rather than a one-off activity right after disaster impact.
Inclusion	Continuous involvement of different community groups (marginalised, women, and girls) to improve WASH services
Participation	Participation measurement to understand and evaluate the effectiveness of each approach and ensure the diverse group's concerns take into account with method CONSULT, MODIFY, CONSULT.
Communication	Create an environment that emphasises two-way communication, honesty, and openness.
Understanding	Increase understanding of the situation and affected communities through data collection, analysis, and sharing.

Source: Oxfam (n.d.)

Here are additional guidelines for those seeking to conduct community engagement activities:

- **Be conscious of your attitudes and behaviours.** Do not presume that locals share the same way of thinking with you. Most likely, they have different perspectives. Find partners who understand the local culture and speak the local language (mediators).
- **Recognise diversity.** Understanding community structures and dynamics and how they affect women and men, individuals and groups, is critical for ensuring that marginalised people have a say in the program. Those with sociology or anthropology backgrounds may assist.
- **Provide clear and helpful information about your organisation.** Transparency helps build trust.
- **Use a professional translator.** Encourage community members, particularly the most vulnerable and marginalized, to provide feedback on the response's quality and efficacy.
- **Encourage collaboration and coordination within and between sectors.** Develop an integrated and people-centred approach.



- **Advocate for community problems and objectives to be addressed by other actors and sectors** where possible.

C. Community engagement for participation

Community engagement's core purpose is to enable members of the affected community to participate in decision making wherever possible. Community engagement is a continuous process with different engagement levels that may happen gradually or simultaneously. This figure shows the relationship between affected communities and the humanitarian response workers.

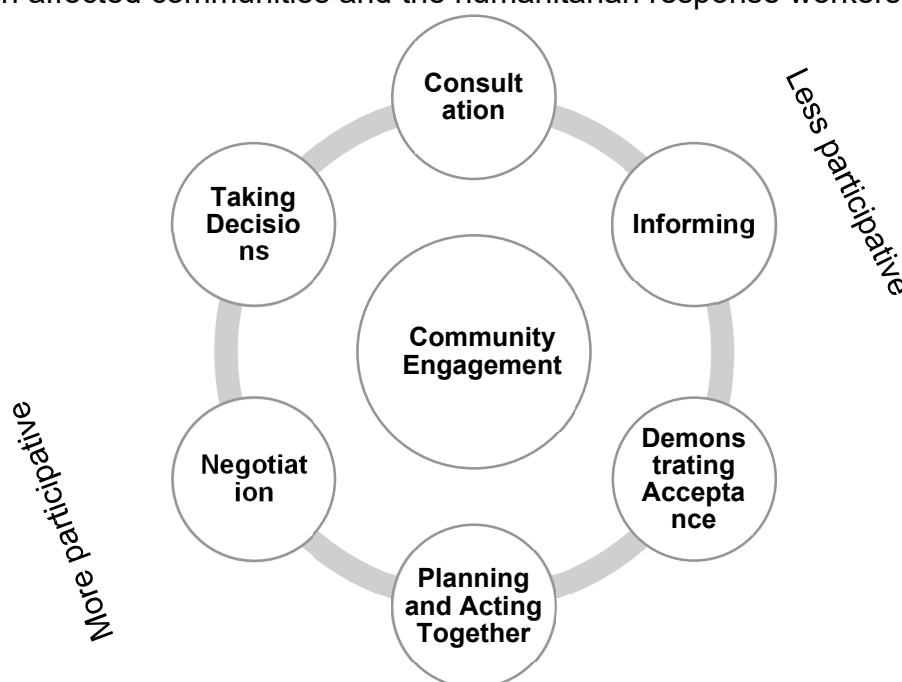


Figure 7: Relationship between affected communities and the humanitarian response workers (Oxfam, n.d.)

Planning and design

Community engagement should be conducted as early as the planning and design phase. In this phase, we should have a good understanding of the emergency context. It includes understanding the context, the people, and their behaviours and practices. Information could be obtained from secondary data or regular updates through community meetings, Focus Group Discussion (FGD), and interviews with different community members.

[Community engagement is crucial in obtaining this information](#) to get a holistic view of the emergency context.



- The context**
 An emergency context means that we should have a holistic knowledge about the type and location of the emergency, response actors and institutions; EPI data for PH risk analysis; status of WASH infrastructure; and food, livelihood, and protection analysis.
- The people**
 We should acknowledge the affected community based on: the demography; the existing leadership structures, gender and power dynamics; history; education; religion, ethnicity, and influential individuals/groups. It is important to understand social-cultural factors which may influence beliefs and perspectives and those individuals/groups who are marginalised.
- The behaviour and practice**
 Before and after an emergency, the behaviours and existing practices before and after emergency should be identified: ways of coping; norms and beliefs; myths and rumours; knowledge of risks/prevention compared with practice; access/use of services; and motivation for positive change in behaviour and practices. We also should identify the gap between what they say they will do and what they do.

After understanding the emergency context, it is not easy to change community behaviours and practices. Here is a four-step process for designing activities that can help change behaviours and practices.

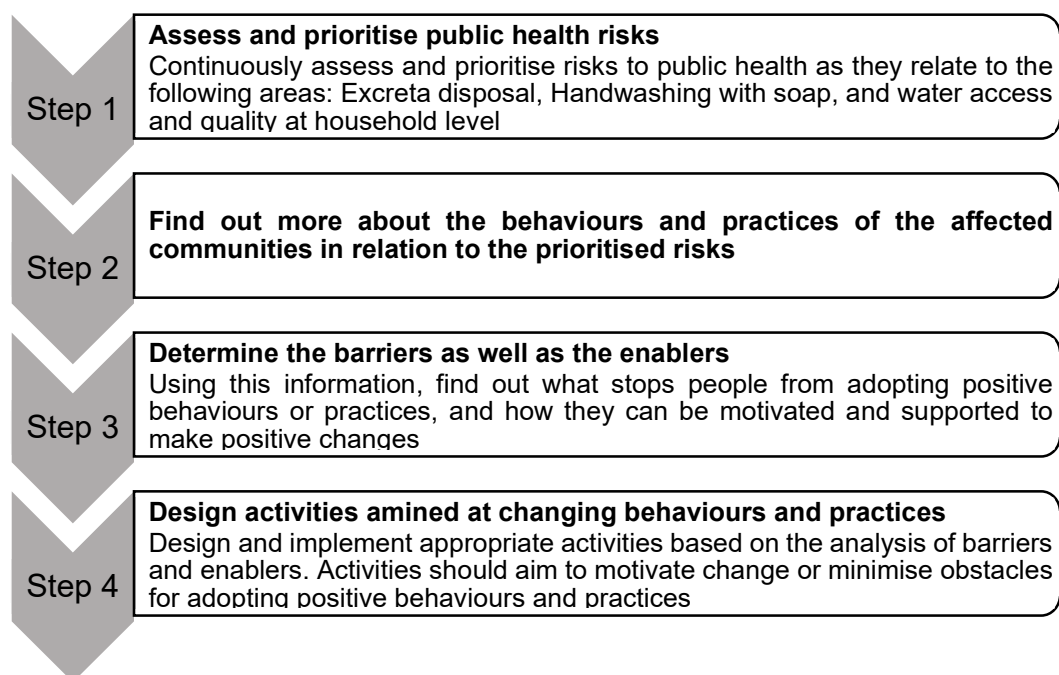


Figure 8: Steps for designing activities to change behaviour and practice (Oxfam, n.d.)



Programme Implementation

- **Information and communication**
Information and communication are essential to community engagement efforts. Ensure that information is accessibly communicated clearly and reaches vulnerable and marginalised people. Dialogue is also necessary.
- **Community participation**
Ensure that affected communities do not act as passive recipients but are also active in decision-making and problem-solving. Their participation should be measured too, which will help manage future programmes.
- **Capacity building**
Build on and support existing knowledges, skills, and resources of affected communities.
- **Advocacy**
Advocacy efforts can help raise awareness on overlooked issues, assist in improving programme quality, and raise the satisfaction of beneficiaries. Hiring a dedicated staff to focus on this from the start is crucially needed.
- **Coordination and collaboration**
WASH is a multi-stakeholder, -sectoral, and -disciplinary undertaking. No single organisation can conduct a comprehensive WASH programme that covers all needs. Coordination and collaboration with other actors are essential.

Monitoring and evaluation

Place monitoring and evaluation mechanisms and processes to help ensure that the programme achieves its objectives.

- **Monitoring, evaluation, accountability and learning (MEAL)** in community engagement is essential, and the programme should be adjusted based on the collected data and feedback. Adjustments made to the programme should be communicated back to the affected community.
- **Measuring community engagement** is needed to understand and evaluate the programme's effectiveness.



D. Activity

Why building and maintaining trust important when engaging with communities? Research about good community engagement in WASH activities.

Answer Box

E. Summary

- Community engagement in WASH is a structured and dynamic process that brings together communities and other response stakeholders to address the impacts of a disaster. It brings the communities and responders' capacities and views together. Local communities are key partners because only by engaging them can programme design and implementation meet their needs and fit the context.
- Community engagement in WASH activities is more focused on a collective than a household approach. It combines epidemiology, public health, anthropology, and hygiene promotion, adapting solutions to each community's specific requirements.
- It is critical to involve as many people as possible in adopting WASH practices that prevent widespread disease outbreaks.



**4.2**

Element 2. Design effective and efficient WASH monitoring strategy and plan

2.1 Develop context specific WASH indicator

A. Introduction

Key indicators act as signals to demonstrate if a goal or criteria have been met. They are used to track and communicate the progress, output, and effects of WASH initiatives.

There are two types of indicators: qualitative and quantitative indicators. Indicators must be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound).

B. Key WASH indicator

According to [Sphere \(2018\)](#), key indicators used in WASH programme design and implementation are:

- Members of the affected communities have safe and equitable access to WASH resources and facilities, use them, and take steps to reduce the public health risks;
- WASH team members engage with affected communities and openly share project information with them, including monitoring and feedback mechanisms
- Beneficiaries agree that WASH programmes have resulted in greater security and dignity restoration.

Moreover, [UNHCR's standards](#) align with the Sustainable Development Goals (SDGs) and Sphere emergency requirements for WASH interventions.

Table 21: Standards for WASH intervention



Overarching Standard

Universal and equitable access to safe and affordable drinking water and adequate and equitable sanitation and hygiene for all, ending open defecation practices.

WASH Intervention	Standard
Water supply	People have equitable and affordable access to water of sufficient quantity and quality to meet their drinking and domestic needs.
Hygiene	People are aware of key public health risks related to water, sanitation and hygiene and can adopt individual, household, and community measures to reduce them
Menstrual hygiene	Women and girls of menstruating age, and males and females with incontinence, have access to hygiene products and WASH facilities that support their dignity and well-being.
Sanitation	All excreta are safely contained to avoid contamination of the natural, living, learning, working and communal environments.
Waste management	People can safely collect and potentially treat solid waste in their households. Healthcare settings maintain minimum WASH infection prevention and control standards.

Source: UNHCR (2020)



Table 22: UNHCR standards of WASH interventions

	Household	Community	Health Care Facilities	Schools
Water	<ol style="list-style-type: none"> 1. %of HH collecting water from protected or treated sources 2. %of HH with at least 10 litres/person potable water storage capacity 3. Average # l/p/d of potable water collected at the household level 4. Maximum distance (m) from household to potable water collection point 	<ol style="list-style-type: none"> 1. Average # litres of potable water available per person per day 2. Number of persons per usable handpump/well/spring 3. Number of persons per usable water tap 4. & water quality tests at non-chlorinated water collection locations with 0 CFU / 10 0mL 5. % of water quality tests at chlorinated water collection locations with FRC in the range of 0,2-2 mg/L and turbidity <5 NTU 	<ol style="list-style-type: none"> 1. %of health facilities with an improved water source 2. % of health facilities with the main water source on-premises 3. % of health facilities where water from the main source was available on the day of the survey 	<ol style="list-style-type: none"> 1. %of schools with an improved water source 2. %of schools with a main water source on-premises 3. %of schools where water from the main source was available on the day of the survey
Sanitation	<ol style="list-style-type: none"> 5. %of HH reporting defecating in a toilet 6. %of HH with household latrine/toilet 	<ol style="list-style-type: none"> 6. Number of persons per latrine/toilet 7. %of HH with household latrine/toilet 	<ol style="list-style-type: none"> 4. %of health care facilities with improved toilets 5. # of usable toilets (available, functional and private) 6. % of health facilities with toilets separated by sex 7. % of health facilities with toilets that are clean at the time of the survey 	<ol style="list-style-type: none"> 4. %of schools with improved toilets 5. # usable girls' toilets (available, functional, and private) and boys' toilets and urinals 6. % of schools with toilets separated by sex 7. % of schools with toilets are clean at the time of the survey
Hygiene	<ol style="list-style-type: none"> 7. %of HH with access to soap 	<ol style="list-style-type: none"> 8. Number of persons per bath shelter/shower 	<ol style="list-style-type: none"> 8. % health care facilities with soap and water (or alcohol-based hand rub) currently available in consultation rooms and within 5m of toilets 9. % health care facilities with protocols for cleaning (floor, sink, spillage of blood or bodily fluid) and where all staff 	<ol style="list-style-type: none"> 8. %of schools with soap and water within 5m of toilets



responsible for cleaning have received training

Menstrual hygiene	10. %of recipient women of reproductive age who are satisfied with menstrual hygiene management materials and facilities	9. Number of persons per hygiene promoter	10. %of health care facilities where female toilets have facilities to manage menstrual hygiene needs	9. %of schools with water, soap and a private space for girls to manage menstrual hygiene
				10. %of schools with covered bins for disposal of menstrual hygiene materials
Waste	11. %of HH with access to a solid waste disposal facility		11. Health care facilities where sharps, infectious and general waste are safely separated, adequately treated and disposed	12. % of schools with an appropriate solid waste disposal system



C. Summary

- Key indicators act as signals to demonstrate if a goal or criteria have been met. They are used to track and communicate the progress, output, and effects of WASH initiatives.
- There are two types of indicators: qualitative and quantitative indicators. Indicators must be SMART (Specific, Measurable, Achievable, Relevant, and Time-bound).
- The overarching standard in WASH programmes is: “Universal and equitable access to safe and affordable drinking water, and adequate and equitable sanitation and hygiene for all, ending practices of open defecation.”

2.2 Identify appropriate means of verification and data source

A. Introduction

Information Management (IM) refers to collecting, processing, analysing, and disseminating information. IM provides a clear, evidence-based framework for decision making. WASH efforts need to have effective IM processes in place

B. Types of data sources

[Data collection and presentation](#) is helpful in the entire programme cycle: planning, designing, implementing, controlling, monitoring, and evaluating. There are two broad categories of data: qualitative data and quantitative data. It is an excellent approach to combine qualitative and quantitative data wherever feasible. It may offer a complete picture of the problem, makes it easier to triangulate, and promotes participation of the affected communities.

C. Verification

Because data gathering is costly and time-consuming, new data should only be collected when it is not accessible from another source. It is fundamental to inventory available data sources during the emergency response.

Verification processes are conducted to determine whether specific standards and indicators are met or not. Monitoring reports, meeting minutes, digital



documentation, and health records can be used for verification. Each organisation may have their verification sources and methods.

D. Summary

- Information Management (IM) refers to collecting, processing, analysing, and disseminating information.
- IM provides a clear, evidence-based framework for decision making. WASH efforts need to have effective IM processes in place
- Verification processes are conducted to determine whether specific standards and indicators are met or not. Monitoring reports, meeting minutes, digital documentation, and health records can be used for verification. Each organisation may have their verification sources and methods.

2.3 Develop a monitoring work plan

A. Introduction

Monitoring is a systematic and ongoing process of gathering and analysing data for decision-making and management throughout a programme cycle. There are two types of monitoring: process monitoring and impact monitoring. Effective monitoring processes involve systems, financial resources, adequate staff, and indicators.

B. Monitoring work plan

Table 23: Process monitoring vs. impact monitoring

Process monitoring	Impact monitoring
<ul style="list-style-type: none"> • Evaluating progress and making modifications if necessary • Ensuring the affected community is consulted and informed • Assessing whether the projects comply with the standards • Identifying and solving problems • Taking advantage of opportunities that arise • Monitoring changes in an emergency 	<ul style="list-style-type: none"> • Evaluating whether the indicators and targets have been met or not • Determining the impact of projects on the affected community



Regular monitoring of WASH activities must be conducted immediately and continued until a long-term solution for the affected community is found. These monitoring activities are reported based on key WASH indicators to show whether programme objectives were fulfilled. Any changes in the programme will affect the allocation of financial, material, and human resources.

A monitoring work plan should consider:

- Who is responsible for each monitoring process?
- What tools and techniques will be used, including monitoring forms?
- How are affected communities involved in the monitoring activities?
- What methods will be used for the analysis of the monitoring data?
- How will data be used?
- How to integrate different monitoring activities?

A standard WASH Monitoring Tool has been designed to collect evaluation or monitoring data throughout the same site continuously. It may be conducted weekly and monthly or as a one-time activity. In either case, using a standardised template will allow organisations operating in the same area to share, compare, and aggregate data.

C. WASH monitoring system

There is a standardised WASH Monitoring System online called iRHIS. It is part of the Public Health Monitoring Platform. This Monitoring System creates WASH report cards to track developments according to water, sanitation, and hygiene indicators at the household and community levels.

The WASH Monitoring System has five components: Annual Knowledge Attitudes and Practices (KAP), Household survey, Monthly Report Card, Balanced Score Card, WASH in Schools Checklist, and the GIS Portal. For WASH users, there is one WASH username per country that users can request access to the WASH unit in UNHCR headquarters.



This is the landing page in the [WASH Monitoring System](#).



[SimpleImageMap]

GIS Portal

- Publicly accessible website and database.
- Borehole data includes information on infrastructure, hydrogeology, lithology, and water quality.
- Registered users can upload data to the website.

Monthly Report Card

- Online data repository.
- Secondary data collated from partners. Registered users can upload data to the website.
- Eight access indicators.
- Emergency and non-emergency forms available.

Annual Household Survey Knowledge, Attitudes and Practices (KAP)

- Standardized approach to primary data collection and analysis.
- Publicly accessible resources including XLSForm and analysis tools available.

Figure 9: ASH monitoring website

D. Integrated monitoring matrix

The integrated monitoring matrix tool developed by UNOCHA integrates key information across partners, organisations and locations within the WASH Cluster. This tool combines ongoing monitoring and key indicators with a geographic framework for affected locations in a cluster or across all clusters. Integrated monitoring matrix assists in:

- Highlighting of gaps in information
- Showing the division of geographical areas and responsibilities
- Ensuring the consistency and complementary of indicators
- Providing a baseline data
- Outlining common problems and constraints.

This matrix is widely known as [IDP Sites Integrated Monitoring Matrix \(ISIMM\)](#).

E. Pipeline analysis

Pipeline analysis is a method for comparing the actual and expected availability of resources. This monitoring method is conducted by gathering more detailed information from cluster partners.

F. 3W

OCHA provides a website to input data to generate “Who does What and Where” (3Ws) matrixes along with contact lists, projects by cluster, gap analysis, and geo-referenced data.



G. Steps in conducting a monitoring work plan

The steps in conducting a monitoring work plan include:

- **Define goals and objectives**
First, define the goals and objectives of WASH activities based on the needs of affected communities and the organisational mandate.
- **Define indicators and key issues**
The goals and objectives should be translated into specific indicators and key issues. These indicators could be quantitative or qualitative, as long as they meet the SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) criteria.
- **Determine methodology for monitoring**
There are many choices in monitoring WASH activities, such as utilising the existing tools or building "tailor-made" ones. Do not forget to differentiate between process monitoring and impact monitoring.
- **Identify internal and external resources and capacity**
Ensure adequate resources are available to implement monitoring (tools, equipment, knowledge, and human resources). Dedicated resources are essential because monitoring requires continuous and focused work.
- **Develop a work plan matrix and timeline**
A work plan is needed to ensure that monitoring activities keep running regularly.
- **Develop a plan to disseminate and use evaluation findings**
Monitoring is vital to findings gaps, good practices, challenges, and lessons. It must be shared with other cluster partners.



[The Oxfam Pocket Humanitarian Handbook](#) shows what The Monitoring Information Flow (MIF) looks like. Please see the figure below.

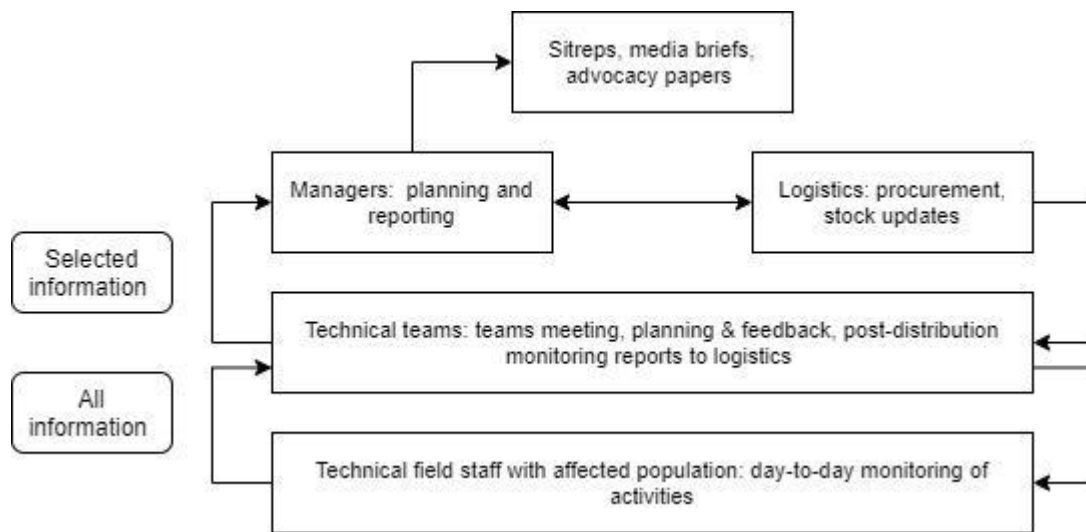


Figure 10: The Monitoring Information Flow (MIF) model (Oxfam, n.d.)

H. Summary

- Monitoring is a systematic and ongoing process of gathering and analysing data for decision-making and management throughout a programme cycle.
- There are two types of monitoring: process monitoring and impact monitoring.
- Effective monitoring processes involve systems, financial resources, adequate staff, and indicators.

2.4 Produce internal and external report

A. Introduction

Reporting is vital to programme monitoring and information management functions of an organisation.



B. Reports used in WASH programmes

Table 24: Examples of WASH reports

WASH Report	Purpose	Produced by	For
WASH Cluster Sitreps	Provides updates on the emergency, WASH implementation, collective progress, results, constraints	WCC	All WASH stakeholders
WASH Cluster partner monitoring reports	Presents updates on the local situation, updates and impacts of WASH activities, progress, outcomes, and resource allocation	WCC/IM	WASH cluster, UNOCHA, government partners, affected communities
3W or 4W matrix	Outlines on who is doing what, where and when	WCC/IM	WASH Cluster, UNOCHA, other clusters
Gap analysis reports	Highlights gaps and areas where there is duplication in WASH activities	WCC/IM	WASH Cluster, UNOCHA, other clusters
Financial and narrative reports	Informs donors of cost, progress, outcomes, and impact of funded interventions	WASH cluster steering group	UNOCHA, other cluster partners
WCC reports to the CLA	Update on WASH cluster coordination, implementation, constraints in relation to the CLA responsibilities	WCC	CLA, HC
WASH Cluster bulletin	Shares experiences, lessons learned, good practices, and initiatives to partners and stakeholders	WASH cluster-admin	WASH stakeholders
Notes from steering, technical, and working group and WASH cluster meeting	Records key issues, decisions, actions, responsibilities, and deadlines	Minute taker/meeting chair	WASH stakeholders

Source: Global WASH Cluster (2009)



WCC = Wash Cluster Coordination
 CLA = Cluster Lead Agency
 HC = Humanitarian Cluster
 IM = Information Management

C. Create the reports

Reports, in general, should address what is widely known as the 5W and 1H. The Reporting in Humanitarian Crises handbook provides a guide:

- **What** do people need to ensure safety for themselves and their families?
- **Who** delivers that assistance (i.e. government/humanitarian agencies/others)?
- **Why** is that assistance being delivered in a particular way (e.g. women may have separate health services)?
- **Where** can people seek that assistance?
- **When** can they go and get it?
- **How** can they get it (e.g. do they need to register)?

Ideally, WASH reports should not exceed a maximum of 20 pages, excluding executive summary and annexes. This is the recommended outline for WASH projects from UNHCR WASH Manual that could be adjusted based on the purpose and the report targets.

Table 25: Outline for WASH reports

Outline	Content
Executive summary	2-3 pages. Contains key background information, needs identified, and recommendations.
Introduction	Background of the WASH assessment, objectives, why the assessment was conducted, an overview of the current situation, what the assessment aimed to achieve.
Methodology	How was the assessment conducted, when, and what methods and tools?
Limitations and challenges	Description of any problems faced in achieving the overall objective of the WASH assessment.
Findings	Concise description of the situation of affected communities. Brief overview of the humanitarian context.



Key findings (organized geographically per site and by WASH thematic area). Describe:

Will the site require a centralised or decentralised water supply solution?

Will the water supply solution be integrated into local infrastructure or stand-alone?

Are the soil and groundwater conditions suitable for one-site sanitation?

What will be the big WASH ticket items?

Needs and gaps	How current assistance is addressing the WASH needs and the gaps in services.
Conclusions and recommendations	Summarises the key findings of the WASH assessment and an evaluation of the situation in the short-term and medium-term.
Recommended activities	WASH short-term and medium-term action plans: WHO, WHAT, WHERE, WHEN, and HOW.
Annexes	ToR; maps; statistics; list of secondary data sources, list of sites visited, key informant interviewed, FGDs held, and copy of data collection tools used.

Source: Global WASH Network (2009)

D. Summary

- Reporting is vital to programme monitoring and information management functions of an organisation.
- Reports, in general, should address what is widely known as the 5W and 1H.



**4.3**

Element 3. Represent and advocate on WASH issues to the related stakeholders

3.1 Lead country level WASH coordination and implementation strategy

A. Introduction

Effective coordination between stakeholders is critical to the success of WASH interventions during an emergency.

B. National level coordination

WASH Coordination Minimum Requirements by core functions at country level

The Global WASH Cluster developed the [Minimum Requirements for WASH cluster coordination](#) in 2018. It comprises six core functions and one additional function for cross-cutting issues. The cluster coordinator can use this information at the country level to pinpoint what WASH service to provide and avoid redundancy in service delivery.

Table 26: Minimum Requirements for National Humanitarian WASH Coordination Platform

Core Function 1: To support service delivery by:	
Providing a platform that ensures service delivery is driven by the Humanitarian Response Plan and Strategic priorities.	Minimum requirements
Developing mechanisms to eliminate duplication of service delivery	
	<ul style="list-style-type: none"> • Cluster/sector at national level is adequately staffed and is proportional to the size of the needs. • Cluster/sector at the national level has terms of reference outlining the structure, roles, responsibilities, and minimum participating requirements. • Cluster/sector meetings organised with minutes and action points, and the frequency and



structure of meetings are in-line with coordination processes.

- Optional: Strategic decisions for the cluster/sector are taken by a group of partners representing the interests of all the WASH stakeholders involved in the response, for example, a Strategic Advisory Group (SAG).
- When sub-national clusters/sector platforms are established, clear focal points or sub-national coordinators are in place.
- An information-sharing platform is established and operational
- A standard activity reporting form is used (4W or something similar).
- Information management capacity is sufficient to produce mapping/information products about operational presence and activities of partners.

Core Function 2: To inform higher-level strategic decision-making by:

Providing needs assessments and gaps analysis (across and within clusters, using information management tools as needed) to inform priority setting

Identifying and finding solutions for (emerging) gaps, obstacles, duplication, and cross-cutting issues.

Minimum requirements

- Standard WASH indicators have been agreed upon by cluster/sector partners and integrated into various multi-sector data collection initiatives.
- There is a cluster/sector mechanism or protocol to collect assessment data from partners.
- Cluster/sector partners are regularly submitting activities data (4Ws).
- Analysis highlighting geographic or programmatic gaps is regularly updated, easily accessible, and discussed during coordination meetings.

Core Function 3: To plan and implement cluster strategies by:

Developing sectoral plans, objectives and indicators that directly support the overall response's strategic objectives.

Applying and adhering to common standards and guidelines.

Minimum requirements

- A WASH-response plan has been jointly agreed upon addressing priority needs identified during data review. At a minimum, the response plan will include:



Clarifying funding requirements, helping to set priorities, and agreeing on cluster contributions.

- Priorities (geographic, activity, etc.),
- Key strategic indicators, and
- Funding requirements.
- The partners have developed and agreed upon WASH standards and guidelines for humanitarian response. They are based on national standards where applicable (or global otherwise) with consideration for the local context.

Core Function 4: To monitor and evaluate performance by:

Monitoring and reporting on activities and needs. Minimum requirements

Measuring progress against the cluster strategy and expected results.

Recommending corrective action when necessary.

- Regular communication/information products are distributed, covering
 - Tracking of progress against strategic plan/indicators.
 - Tracking of funding status of overall cluster/sector.
- Mechanisms in place to monitor the quality of WASH services delivered to the affected population according to the established standards (relevance, reliability, quantity and safety of WASH services).

Core Function 5: To build national capacity in preparedness and contingency planning:

Monitoring and reporting on activities and needs. Minimum requirements

Measuring progress against the cluster strategy and expected results.

Recommending corrective action when necessary.

- Hazard identification, risk assessment and risk monitoring are undertaken as part of the Humanitarian Programme Cycle or on a need basis.
- Contingency plans exist for high-risk or recurring disasters (flooding, cholera outbreak, mass displacement, etc.)

Core Function 6: To build national capacity in preparedness and contingency planning:



Identifying concerns and contributing key information	Minimum requirements
<p>and messages to higher-level messaging and action.</p> <p>Undertaking advocacy on behalf of the cluster, cluster members, and affected people.</p>	<ul style="list-style-type: none"> • Critical WASH issues are identified and brought to the attention of the relevant stakeholders. • When required, advocacy initiatives are undertaken to communicate WASH issues to key stakeholders (donors, government, Pacific Humanitarian Team, etc.).

Accountability to affected populations (AAP)

Ensuring that women, men, girls and boys of all ages and backgrounds affected by a crisis have equitable and meaningful access to:	Minimum requirements
<ul style="list-style-type: none"> • Appropriate, relevant and timely information. • Two-way communication channels facilitate feedback and complaints and provide redress for complaints. • The means to participate in decisions that affect them, including fair and transparent systems of representation • Active involvement in the design, monitoring and evaluation of the goals and objectives of programmes. 	<ul style="list-style-type: none"> • WASH cluster/sector has conducted training or workshop on AAP within the past year, or AAP is a standing agenda item during coordination meetings. • WASH cluster/sector-specific policy or guidance on the minimum level and means of communication with affected communities. • When relevant and feasible, cluster/sector reporting data is disaggregated by sex, age, geographical areas and ethnic group. • Specific cluster/sector focal points for cross-cutting issues have been identified.

(Source: Global Wash Cluster, 2018)

WASH cluster coordination structure at the country level

WASH cluster coordinators need to identify the existing humanitarian coordination structure and mechanisms in the country they are operating in. Coordination focuses on strategic decision-making and advocacy of WASH policies corresponding to the overall emergency response at the country level. Sub-national and local level coordination is mainly used for programme planning and implementation.

The Global WASH Cluster in the [WASH Cluster Coordination Handbook](#) suggests that country-level coordination involves:

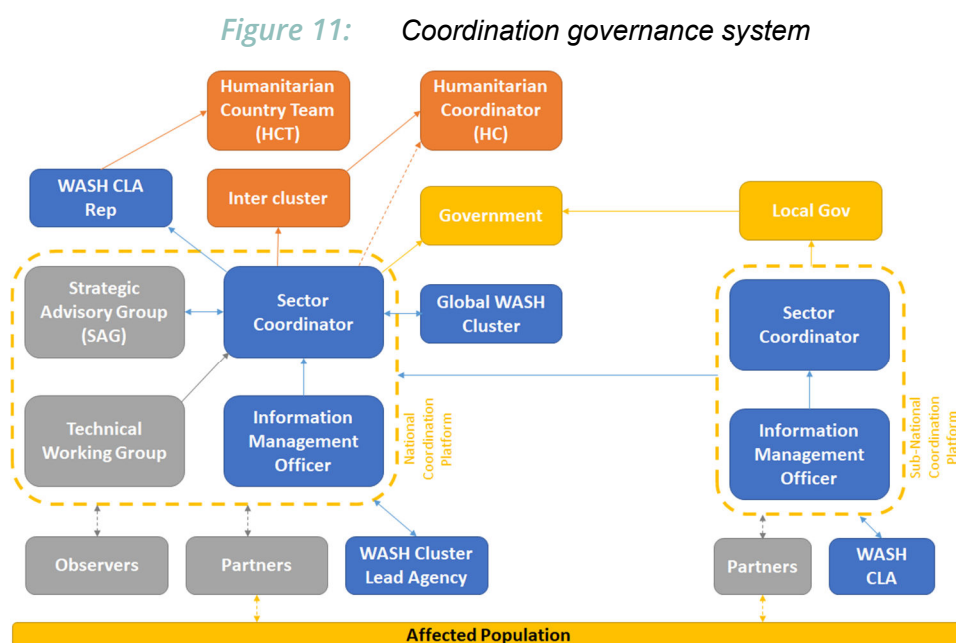
- Providing regular input to the overall government/humanitarian country team coordination function



- Supporting joint assessments
- Conducting negotiations and agreements with the government and other clusters on policy guidelines, overall priorities, and resource allocations
- Interpreting and establishing technical guidelines relative to international and national standards.

C.A Guide to Strategy Implementation

Coordination governance and principles



(Source: adapted from IASC, 2015)

After the WASH cluster manager identifies the country-level humanitarian coordination structure and mechanisms, they should determine the coordination platform's terms of reference and the actors involved in the emergency response.

The IASC has created a standard coordination governance system in the [Reference Module for Cluster Coordination at Country Level](#). The coordination governance system needs to be adapted to the context of each country.

Setting up smaller groups such as advisory groups or technical working groups could assist the coordination process of emergency response in the coordination platform.



Advisory groups are useful for facilitating decision-making, building strong links with key players, and expanding broader participation. Partners in the WASH cluster can represent their interests in the advisory group. Technical working groups help analyse problems formalising principles and responsibilities such as setting standards and defining technical specifications.

The Global WASH Cluster has provided some principles of and strategies for WASH cluster coordination:

- All cluster partners are equal and have an equal voice.
- The needs of the most vulnerable are prioritised.
- Individual cluster partners are willing to adjust their programmes and work on priorities agreed collectively by the cluster
- Relevant information is shared within the cluster (horizontally and vertically) in a timely manner.
- Cluster partners are accountable to affected communities, to each other, to donors and the HC.
- The comparative strengths and complementarities of different cluster actors are recognized and drawn to maximise the effectiveness and impact of the WASH cluster response
- A clear separation from military and political interests and operations is maintained.

Strategies for effective coordination

- **Be inclusive** - involve and encourage all key WASH actors, including local organisations and authorities.
- **Build relationships** – network, communicate and address concerns using the cluster approach
- **Complement and strengthen** existing coordination structures, standards, and guidelines.
- **Respect** differing mandates, priorities, approaches, and ensure that local knowledge is harnessed.
- Act as an **honest broker** and build trust through transparency and openness.
- **Share information** and collaborate in key coordination activities, e.g., assessments, planning, standard-setting, monitoring, and review.

The coordination responsibilities of a WASH cluster manager or representative at the country level include:

- Accomplishing the minimum requirements of 6+1 core functions for WASH cluster coordination.



- Identifying the coordination structure and mechanism of humanitarian response in the respective country to execute effective coordination between WASH actors.
- Committing to the coordination principles agreed in WASH coordination terms of reference.
- Setting up a coordination platform's work plan to give measurable outputs.

D. Summary

- Effective coordination between stakeholders is critical to the success of WASH interventions during an emergency.
- The Global WASH Cluster developed the Minimum Requirements for WASH cluster coordination in 2018.
- The Global WASH Cluster outlines country-level coordination activities in the WASH Cluster Coordination Handbook.
- The Global WASH Cluster has provided some principles and strategies for WASH cluster coordination.

3.2 Establish effective links with other clusters or sectoral coordination platforms that are relevant to the WASH programming

A. Introduction

The key to achieving the humanitarian response strategic goals is inter-cluster coordination. Contributions from other clusters and groups are required to accomplish broad humanitarian response objectives. But isolated actions of individual clusters create overlap and gaps in services.

B. WASH Clusters to Other Sectors

Linkages with other sectors

WASH cluster activities tend to overlap with Health, Camp Management, and Shelter clusters. Matrices can be helpful in mapping shared roles and responsibilities.



The [Global WASH Cluster](#) has developed a matrix example for inter-cluster responsibilities at the global level. The matrix shown below is applicable for inter-cluster coordination at the country level.

Table 27: Inter-cluster matrix of roles and responsibilities – Health/WASH/Nutrition

Area of potential overlap	Specific activity	Responsibility		
		Health cluster	WASH cluster	Nutrition cluster
Assessment	Conduct WASH assessments	In health facilities	Outside health facilities Support other clusters as requested	At nutrition rehabilitation centres and wet feeding programmes, supports WASH assessments in communities where malnutrition is of concern
Monitoring	Monitor and share WASH-related information with other clusters	Disease status and trends (evidence-based) in health facilities	WASH indicators (more perception-based) outside health facilities Support other clusters as requested	Trends in hygiene and water-related illness at nutrition rehabilitation centres, wet feeding programmes and at the community level (from nutritional surveys) where malnutrition is of concern
Hygiene	Promote and improve hygiene	In health facilities	Responsible for coordinating messages between feeding clusters and those outside health facilities	At nutrition rehabilitation centres, supplementary programmes and through community-based workers involved in the management of malnutrition



Hygiene Promotion outreach Workers (including Community Health Workers)	Develop hygiene promotion strategy and message content	Provide input	Responsible for coordinating messages between clusters	Provide input, if relevant
	Agree on outreach worker terms and conditions (e.g., paid, volunteer)	Agree on outreach strategy with WASH cluster	Agree on outreach strategy with Health cluster	Participate, if relevant
Excreta disposal	Ensure access	In health facilities	Outside health facilities	At nutrition rehabilitation centres and wet feeding programmes
Disease outbreak	Assessment	Responsible for overall coordination (with input from other clusters)	Participate in assessment	Input into assessment tool and support as suitable
	Surveillance and monitoring			
	Outbreak control	Support as requested. Full involvement in response	Report incidence in programmatic areas and support as requested	
	Communication	action plan for WASH-related diseases	Support communication strategies at nutrition rehabilitation centres and wet feeding programmes	
WASH Infrastructure	Prioritise facilities for renovation and construction Implement projects	In health facilities	Outside health facilities, provide support to Health and Nutrition Clusters as requested	At nutrition rehabilitation centres and wet feeding programmes

(Source: Global WASH Cluster, 2009)



Managing contacts and communication

The WASH cluster's ability to function and succeed depends on maintaining regular communications and good information exchange between all stakeholders. The more actors engaged, the more labour-intensive and time-consuming the communication process. One of the most important tasks of a WASH cluster manager is to keep key contacts in governments, NGOs, local communities, and other clusters. A platform for information exchange and coordination can help facilitate communications.

C. Activity

What responsibilities may be shared between WASH and Camp Management cluster?

Answer Box

D. Summary

- The key to achieving the humanitarian response strategic goals is inter-cluster coordination. Contributions from other clusters and groups are required to accomplish broad humanitarian response objectives. But isolated actions of individual clusters create overlap and gaps in services.
- WASH cluster activities tend to overlap with Health, Camp Management, and Shelter clusters. Matrices can be helpful in mapping shared roles and responsibilities.
- One of the most important tasks of a WASH cluster manager is to keep key contacts in governments, NGOs, local communities, and other clusters.



3.3 Consolidate WASH programme data for presentation to the country level WASH Cluster

A. Introduction

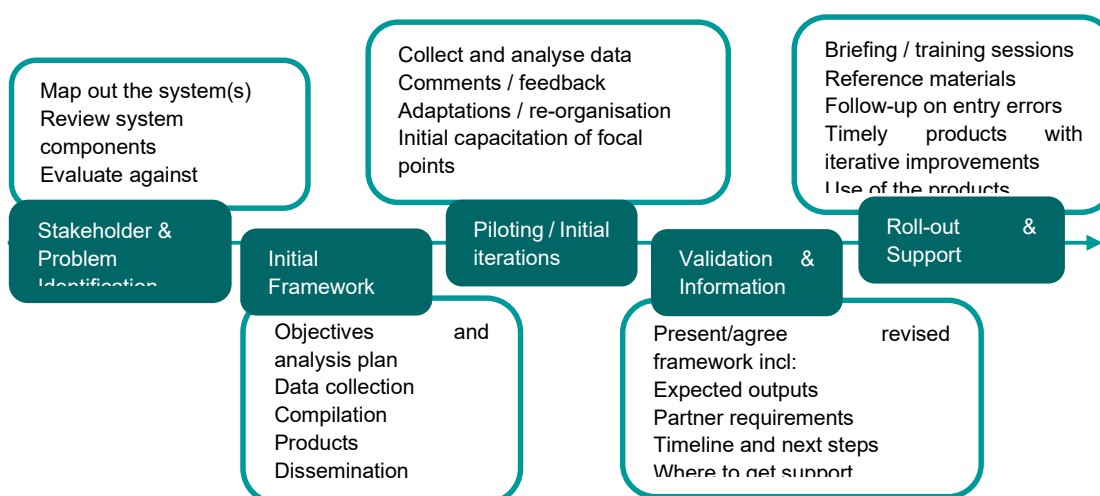
The second core function of a WASH cluster coordination is “to inform higher-level strategic decision-making”. A WASH cluster representative must ensure that WASH programmes planning and implementation is appropriate to meet the needs of affected communities in a timely manner. Needs assessment and gap analysis are the foundations of strategic decision-making. These data need to be delivered to WASH partners in an informative way by presenting key messages through graphics or narrative writing.

B. Introduction

The data collected from the field, such as needs assessment and gap analysis by a technical officer, need to be easily read and stored in an accessible platform. Gap analysis information is essential because it provides information on cross-cutting issues. WASH cluster coordinators must ensure that data collection is done according to accepted standards and that prioritisation of needs is highlighted.

The figure below depicts the humanitarian information cycle. Wash cluster coordinators can refer to it as a guide for consolidating data. A detailed guide on WASH data management is available in the [Information Management section of the Global Wash Cluster Coordination Tool Kit \(CTK\)](#).

Figure 12: Humanitarian information cycle



(Source: [Global WASH Cluster](#), 2017)



Data consolidation includes data collection, organisation, and storage processes.

Data collection

- Consider what information is needed and where to get it (e.g. needs, capacities, and who is doing what, where, when)
- Be sure about who's responsible for measuring (Is it done by the WASH cluster manager, a humanitarian agency, the government, or donors?)
- **Be proactive** in collecting data (e.g. through continuous contact, telephone, building relations, keeping up to date)
- Consider the capacities of Cluster Partners in supplying data (e.g. operating systems and software capacity, internet access or restrictions)

Data processing and storage

- Consider how the data will be sorted and stored (e.g. database requirements, web-based data storage or hard files).
- Determine the requirements for standard links between data for processing (e.g. location and P-codes, gender and age, vulnerable groups, data sources).
- Consider where data will be processed and how often (e.g. field or country level, continuous or weekly).
- Consider the time and funding required for data entry and analysis requirements - these are often logistically demanding and time-consuming.

C. Present WASH programme data

Presenting and sharing WASH programme data should follow the [Principles for Humanitarian Information Exchange from IASC Operational Guidance](#):

Table 28: Principles for Humanitarian Information Exchange

IASC Operational Guidance - Principles for Humanitarian Information Exchange

Accessibility Humanitarian information should be accessible by applying easy-to-use formats and tools and translating information into common or local languages when necessary.



Inclusiveness	Information exchange should be based on a partnership system with a high degree of ownership by multiple stakeholders, especially representatives of the affected population and Government.
Inter-operability	All sharable data and information should be made available in formats that humanitarian organisations can easily retrieve, share, and use.
Accountability	Users must evaluate the reliability and credibility of information by knowing its source and having access to methods of collection, transformation and analysis.
Verifiability	Information should be relevant, accurate, consistent, and based on sound methodologies, validated by external sources, and analysed correctly.
Relevance	Information should be practical, flexible, responsive, and driven by operational needs to support decision-making throughout all phases of a crisis.
Objectivity	A variety of sources should be used when collecting and analysing information to provide varied and balanced perspectives for addressing problems and recommending solutions.
Neutral	Information should be free of political interference that distorts a situation or the response.
Humanity	Information should never be used to distort, mislead, or cause harm to affected or at-risk populations and should respect the dignity of those affected.
Timeliness	Humanitarian information must be kept current and made available in a timely manner.
Sustainability	Humanitarian information should be open-sourced, preserved, catalogued, and archived to be retrieved for future use, such as for preparedness, analysis, lessons learned, and evaluation.
Confidentiality	Sensitive data and information not to be shared publicly should be managed accordingly and marked as such.

(Source: Global WASH Cluster, 2017)



D. Summary

- The second core function of a WASH cluster coordination is “to inform higher-level strategic decision-making”. A WASH cluster representative must ensure that WASH programmes planning and implementation is appropriate to meet the needs of affected communities in a timely manner.
- WASH cluster coordinators must ensure that data collection is done according to accepted standards and that information about the prioritisation of needs is highlighted.
- Data consolidation includes data collection, organisation, and storage processes.

3.4 Lead to policy advocacy at the national level

A. Introduction

Advocacy in emergencies as defined in [The Human Right to Water and Sanitation in Emergency Situations: The Legal Framework and a Guide to Advocacy](#) is a deliberate effort based on demonstrated evidence to persuade those in authority to adopt specific policies or actions to protect people affected by disasters or by conflicts.

Advocacy in emergencies establishes a link between broad policy context and a particular crisis. It sends out a clear and relevant message of change, assigning responsibility to the appropriate stakeholders to take a specific action. It draws in factual and up-to-date information, often gained by organisations active on the ground. It focuses on particular aspects of the situation such as geographical location, stakeholders and beneficiaries.

B. Policy advocacy

The [WASH Cluster Handbook](#) defines advocacy as the means of making a persuasive argument for a specific outcome. Advocacy arguments are context-specific and must be based on clear evidence. A group of like-minded people may carry out advocacy publicly (e.g., collective WASH cluster statements) or by individuals privately (e.g., WASH Cluster Coordinator dialogue with government representatives).



Advocacy at the national level

Advocacy at the national level is aimed to influence the government, media, civil society, involving agencies and other stakeholders to enhance WASH programmes and policies. At the national level, advocacy communication will mainly discuss strategic decisions to turn the critical commitments into concrete actions. Matrices that include the type of audience or stakeholders, the kind of advocacy activities, needed resources, and information are helpful for WASH cluster managers to deliver advocacy strategically.

C. Who is involved in policy advocacy

Determining the stakeholders involved is key to delivering advocacy messages to the right target. The four main groups involved in policy advocacy are government, civil society, the media, and the affected communities. Any policy advocacy initiative must include plans on engaging with these groups effectively.

Identifying the appropriate group and developing strategies for policy advocacy include:

- Providing access to decision-makers
- Aligning advocacy issues to stakeholder interests
- Advocacy efforts should have the potential to influence political will

Table 29: WASH advocacy channels during emergencies

What channels to use	Why	What's in it for them?	Advocacy instruments to use
Politicians	Tackle constraints, e.g. access, influence policy and political will	Publicity, votes	Negotiation
National and local government authorities	Tackle constraints, e.g. access, mobilise resources, influence political and community actors	Means for putting pressure on decision-makers	Negotiation and briefings
Donors	Mobilise resources, influence funding priorities, gain political backing	Visibility, evidence-based funding, clarity on priorities	Briefing, press statement, field visits



Media	Raise awareness, generate public support, influence political actors	A story	Briefings, press statements, field visits
Community/religious leaders	Generate public support, mobilise resources	Means for putting pressure on decision-makers, local reputation	Public education campaigns, negotiation, field visits
Military	Tackle constraints, e.g. access	Bargaining power	Negotiation

(Source: Global WASH Cluster, 2009)

D. Steps to effective policy advocacy

The [UN-Water](#) outlines the key steps and elements for planning advocacy activities. Ideally, planning precedes implementation. In practice, however, some of these elements are often ignored, making it difficult to measure or assess the success and impact of advocacy efforts.

The steps and questions to address in advocacy planning are:

1. Identifying the issues: what do we want to change?
2. Analysis: what do we already know, and what information can we use?
3. Setting objectives: what are our specific advocacy objectives?
4. Identifying the targets: whom do we want to influence?
5. Identifying allies: with whom can we work?
6. Selecting the tools and developing the messages: how can we best reach our targets?
7. Monitoring and evaluation: how can we measure the impact of what we've done?

E. Summary

- Advocacy is a deliberate effort based on demonstrated evidence to persuade those in authority to adopt specific policies or actions to protect people affected by disasters or conflicts.
- Advocacy at the national level is aimed to influence the government, media, civil society, involving agencies and other stakeholders to enhance WASH programmes and policies. At the national level, advocacy communication will mainly discuss strategic decisions to turn the critical commitments into concrete actions.



- Determining the stakeholders involved is key to delivering advocacy messages to the right target. The four main groups involved in policy advocacy are government, civil society, the media, and the affected communities.

3.5 Provide support to technical staff on advocacy at the sub-national and local level

A. Introduction

The WASH cluster manager is primarily acting as the high-level liaison. The WASH cluster's objectives at the national level are consistent with sub-national and local levels. Still, advocacy at the sub-national and local levels is vital to communicate water, sanitation, and hygiene practices to the affected communities and other actors involved in attaining social and behaviour change. Thus, the WASH manager must provide support to technical staff mainly in the field who are close to the communities.

B. WASH advocacy at the sub-national and local levels

The main focus strategies of WASH advocacy at sub-national and local are raising awareness, understanding the wider community, and enabling an environment to support change. Through various communication tactics, including interpersonal communication and using diverse channels, the objective of local level advocacy will be to change the attitudes and practices of key stakeholders. The goal of advocacy is the adoption of positive behaviours towards WASH.

C. Tools and delivery mechanisms of advocacy

Grass-roots civil society organisations, community leaders, local opinion shapers (e.g., high standing in ethnic and religious matters) become the key advocacy players at the local level. They have the power to amplify advocacy messages to local communities, which leads to creating an enabling environment for easy adoption of the desired behaviours.

Communication approaches at the local level focus more on one-to-one interactions, group discussions, and cultural gatherings in the local context. These approaches can help the adoption of WASH practices among communities. Nowadays, social media is a powerful amplifier for advocacy



messages. It can be utilised to highlight WASH practices to local officials, affected communities and other local stakeholders.

D. Activity

When conducting WASH advocacy in an indigenous community or in a tribal government setting, what strategies will you employ?

Answer Box

E. Summary

- The main focus strategies of WASH advocacy at sub-national and local are raising awareness, understanding the wider community, and enabling an environment to support change.
- Grass-roots civil society organisations, community leaders, local opinion shapers (e.g., high standing in ethnic and religious matters) become the key advocacy players at the local level.
- Communication approaches at the local level focus more on one-to-one interactions, group discussions, and cultural gatherings in the local context. Nowadays, social media is a powerful amplifier for advocacy messages.



4.4

Element 4. Establish partnerships with key partners on WASH

4.1 Conduct stakeholder analysis

A. Introduction

Gaining stakeholder support or participation is critical to the success of a WASH programme. Stakeholder analysis can help organisations shape their activities to engage stakeholders better. The section covers important information about stakeholder analysis and ways to conduct the analysis.

B. Key stakeholder analysis in WASH

A stakeholder analysis includes identifying all stakeholders likely to affect or be affected by the project or intervention and analysing their interests, challenges, potential contributions, relationships and resources. It also includes a system for gathering information about groups or individuals affected by decisions, categorising that information, and explaining potential conflicts between important groups and areas where trade-offs may be possible. Stakeholder analysis provides the foundation for developing a stakeholder engagement strategy and planning the implementation of targeted interventions. The typical stakeholder analysis involves a secondary data review, household survey data, key informant interview transcripts, and focus group discussion reports. Extra care must be taken to ensure that the voices of stakeholders with less influence (e.g., poor households in urban communities) are sufficiently represented.

C. Conducting a stakeholder analysis

When conducting a stakeholder analysis, some steps can be followed as a guideline. The list below covers the steps in conducting a stakeholder analysis:

1. Give a brief description of the local context

Understanding this information is important because it helps to scope and focus on the crucial issues and the relevant key stakeholders. Contextual information such as to what extent the specific site areas are part of another existing programme and whether some form of stakeholder engagement exists.



2. Identify and list key stakeholders

The primary stakeholders are the affected communities. Primary stakeholders are usually categorised into gender, social or income classes, and occupation groups. An overlap between the categories happens. The secondary stakeholders are the intermediaries in aid delivery and relief efforts. Normally, they are categorised as funders, implementers, monitoring bodies, advocacy organisations, government authorities, NGO partners, and the private sector actors. Yet, informal groups may also serve as intermediaries, such as local politicians and respected persons with social or religious influence. The [Influence and Importance Matrix](#) (Figure 12) is a helpful tool when identifying key stakeholders. Key stakeholders can significantly impact the success of the project or project-related outcomes.

Figure 13: Influence and Importance Matrix by De Groot et al., 2006

	High Influence	Low Influence
High Importance	<p>A – Stakeholders who stand to lose or gain significantly from the project AND whose actions have a significant impact on the project's ability to meet its objectives (process and outcomes). The project must ensure that the coalition's interests are fully represented. The overall impact of the project will necessitate the development of positive relationships with these stakeholders.</p>	<p>B – Stakeholders who stand to lose or gain significantly from the project but whose actions cannot jeopardize the project's ability to achieve its goals. Special efforts are needed to ensure that their interests and values are represented and protected.</p>
Low Importance	<p>C – Stakeholders whose actions may have an impact on the project's ability to meet its objectives but who stand to lose or gain little from the project (whose interests are not the target). They may be a source of risk, and you will need to investigate ways to monitor and manage that risk.</p>	<p>D – Stakeholders who have little to lose or gain from the project AND whose actions have no bearing on the project's ability to meet its objectives. They may necessitate limited monitoring or progress reporting, but they are of low priority. They are unlikely to be the focus of or participate in project activities.</p>

Source: WETWin, 2010).

3. Determine ways to engage with key stakeholders

The Goal-Oriented Project Planning (GOPP) Participation Analysis Matrix (Table 26) is a helpful tool for determining ways to engage with key stakeholders. Key stakeholders' characteristics, interests in the WASH programme, possible contributions to the WASH programme, challenges to address, and actions required for engaging key stakeholders can be documented using this tool.



Table 30: *GOPP Participation Analysis Matrix by Hamilton and Gaertner, 1992*

	Stakeholder A	Stakeholder B	Stakeholder C	...
Characteristics
Interests
Contributions and Resources
Challenges
Required Actions

Source: WETWin, 2010.

Notes:

- Characteristics column: covers the description of the agency or group, such as the size, degree of influence in the area, how it is organised, scale/scope (national, provincial/river basin, etc.), rural/urban, membership, support, etc.
- Interests column: the interests in the WASH program – what can they get or hope to get?
- Contributions and resources column: the contribution and resources that the stakeholders (can) provide, such as data information, human resources, a network, financial resources, material, facilities and equipment for the program, mandate, policies, etc.
- Challenges column: includes the challenges that the stakeholders face and hinder the outcome of the WASH program, such as the lack of involvement in planning, insufficient funds or materials, inadequate information, etc.
- *Required actions* column: how to engage the stakeholders meaningfully, such as through capacity building or interest strengthening.

4. Identify and give an overview of interrelationships between actors/stakeholders

Below is the list of aspects to cover when identifying and giving an overview of the interrelationships between actors/stakeholders:

- The existence of the formal and informal platforms and networks that can be used for WASH program purposes.
- Power relations.
- The existence of potential conflicts. In particular, when the conflicts are related to resource use, access to, and ownership of resources.

A Venn's Diagram is considerably the most useful tool when working on this aspect.



D. Activity

Effective coordination between stakeholders is critical to the success of WASH. Recall your latest experience working in an emergency WASH programme in an emergency. List down three key stakeholders and determine ways to engage them using GOPP Participation Analysis Matrix introduced by Hamilton and Gaertner (1992).

Stakeholders

GOPP Participation Analysis Matrix

Stakeholder A: Stakeholder B: Stakeholder C:

Characteristics

Interests

Contributions and
Resources

Challenges

Required Actions



E. Summary

- Gaining stakeholder support or participation is critical to the success of a WASH programme. Stakeholder analysis can help organisations shape their activities to engage stakeholders better
- A stakeholder analysis includes identifying all stakeholders likely to affect or be affected by the project or intervention and analysing their interests, challenges, potential contributions, relationships and resources. It also includes a system for gathering information about groups or individuals affected by decisions, categorising that information, and explaining potential conflicts between important groups and areas where trade-offs may be possible.
- Stakeholder analysis provides the foundation for developing a stakeholder engagement strategy and planning the implementation of targeted interventions. The typical stakeholder analysis involves a secondary data review, household survey data, key informant interview transcripts, and focus group discussion reports.
- The primary stakeholders are the affected communities. Primary stakeholders are usually categorised into gender, social or income classes, and occupation groups.
- The secondary stakeholders are the intermediaries in aid delivery and relief efforts. Normally, they are categorised as funders, implementers, monitoring bodies, advocacy organisations, government authorities, NGO partners, and the private sector actors. Yet, informal groups may also serve as intermediaries, such as local politicians and respected persons with social or religious influence.

4.2 Develop WASH partnership strategy, including to increase capacity to response

A. Introduction

Failing to develop a partnership strategy can lead to unmanageable implementation issues or misdirected efforts that may negatively affect expected outcomes.

B. Partnership

A partnership is a collaborative agreement between two or more organisations based on a shared set of goals and opportunities. It may involve a transfer of funds or resources between the organisations. To build partnerships is to bring



together the complementary strengths of different stakeholders. The changes or efforts required to achieve long-term, inclusive, and universal services are massive. It can only be achieved by establishing and sustaining partnerships so that key stakeholders can work effectively together. There are four principles for enabling and developing partnerships (WaterAid, n.d.):

- **Complementarity or synergy in working towards a shared vision:** recognizing each partner's contribution and added value.
- **Mutual respect and support:** acknowledging that each partner has the authority to set its organisational direction and priorities.
- **Accountability:** being accountable to one another as partners, as well as to other stakeholders such as communities, governments, and donors.
- **Equity:** ensuring that decision-making processes are as fair as possible, within the reality that unequal power relations exist, and striving to increase less powerful partners' capacities to engage.

Most partnerships in the WASH sector involve several stakeholders. It is necessary to understand the contribution to each partner and maximise its value. Each partnership is different, influenced by the specific context of WASH in a country or district and internal factors affecting individual organisations. External and internal factors are constantly changing. Therefore, it is necessary to treat all partnerships as dynamic and evolving. In addition, to remain effective and relevant, an organisation must review their roles in each partnership and heed feedback from partners.

C. Partnership strategies

Partnerships do not happen alone and do not stay the same without effort. There must be a strategy to facilitate and sustain partnerships. The list of *Collaboration Drivers* from [ADB \(2009\)](#) serve as guidelines when developing a partnership strategy:

- Adherence to aid harmonization
- Institution's commitment to collaboration
- Regular meetings of partners
- Collective and common goal to succeed in delivering the services
- Sheer dedication and professionalism of the staff of both institutions committed to providing results
- A specific goal that directs the achievement of results and ensures scaling up of resources

The points mentioned above are essential to oversee when building partnerships. In the WASH programmes, the national government agencies and international NGO implementing partners are the critical partners. But it is also important to integrate WASH into other sectors.



Below are the tools that can help strengthen partnerships for WASH programs ([WaterAid, n.d.](#)). The recommended reading materials section (*Partnerships in practice tool 1 – 8*).

- **Mapping partnerships:** clarify which actors are involved in a project, what each actor contributes, and the most appropriate relationships between different actors.
- **Assessing incentives:** find out what motivates different partners and their priorities for their involvement in a project.
- **Roles and responsibilities:** agree on each partner's different roles and responsibilities and make sure all are accountable
- **Partnership governance:** be clear about decision-making and accountability processes – who makes decisions and how, and the types of feedback and complaints mechanisms available.
- **Selection and exit strategies:** establish sound processes for selecting partners and clarify how the partnership will end or change.
- **Communication and negotiation:** communicate clearly in partnership and position yourself to get what you want from a partnership.
- **Partnership health check:** keep your relationships productive through regular discussions about what aspects of your partnership are working well and what issues to address.
- **Building blocks for self-assessment:** assess your team's strengths and weaknesses across the different building blocks of partnership. Identify which processes to strengthen and where you need to develop stronger collaborative skills and behaviours in staff members.

D. Summary

- Failing to develop a partnership strategy can lead to unmanageable implementation issues or misdirected efforts that may negatively affect expected outcomes.
- To build partnerships is to bring together the complementary strengths of different stakeholders. A partnership is a collaborative agreement between two or more organisations based on a shared set of goals and opportunities. It may involve a transfer of funds or resources between the organisations.
- Partnerships do not happen alone and do not stay the same without effort. There must be a strategy to facilitate and sustain partnerships.



4.3 Identify the right partners to support WASH programme implementation

A. Introduction

Partnerships are crucial for sustaining programmes and achieving goals. But choosing the wrong partners can lead to programme failure. This section introduces ways to select appropriate partners.

B. Partners in WASH programmes

Select Appropriate Partners

The selection of partners should be based on an analysis of WASH sector challenges and opportunities. Selecting the right partners is critical to the success of a WASH programme and its ability to achieve its strategic goals. Local and national government entities will almost always be involved as responsibility bearers for WASH services. It is critical to choose partners with a common vision and objectives for the job and partners who can provide diverse skills to help achieve the goals. Each organisation will have different incentives for participating in a partnership. It is always a good idea to investigate this.

Every project or program relies on contributions from various organisations, and there will be different forms of interactions between all the stakeholders involved, some formal and others informal. The partnership mapping exercise (refer to recommended readings: Partnership Toolkits) can be used to determine which organisations should be involved, the knowledge that each organisation can offer, and the ideal sort of agreement to maximise the value of each relationship. It encompasses both financial transactions and non-financial transactions. Organisations are responsible for using donor funds effectively, meaning that an organisation must select partners who can be effective and comply with donor and the organisation requirements. It will include organisations with a strong capability for programme delivery. It could also include those that can contribute to WASH programmes but require assistance in developing their financial capacity, institutional governance, human resources, safeguarding measures, and more

C. Activity

Reflect on the time your organisation selected a wrong partner/s. Write about what your organisation did and did not do after realising the situation and what have you learned from the experience.



Answer Box

D. Summary

- The selection of partners should be based on an analysis of WASH sector challenges and opportunities. Selecting the right partners is critical to the success of a WASH programme and its ability to achieve its strategic goals.
- Every project or program relies on contributions from various organisations, and there will be different forms of interactions between all the stakeholders involved, some formal and others informal.
- It is critical to choose partners with a common vision and objectives for the job and partners who can provide diverse skills to help achieve the goals.
- Each organisation will have different incentives for participating in a partnership. It is always a good idea to investigate this.

4.4 Manage partner contracts and relations

A. Introduction

Partnerships are important, and a manager should pay attention to the contracts and the relationships. Contracts are essential for agreements on what to do, while relationships are vital for sustaining those agreements.



B. Steps to manage partnership contracts and relationships

Creating a contract management plan

A contract management plan, also known as an Outcome Agreement Management Plan, keeps track of the contract's management and relationship with the provider. The plan sets out:

- Who will be responsible for managing the delivery of the contract
- The nature and extent of engagement with the supplier or provider
- How will issues and disputes will be resolved
- Potential risks, how they will be mitigated and managed and by whom
- A methodology and plan for evaluating the quality of delivery and the benefits achieved
- Key stakeholders (internal and external) and how these relationships will be managed
- An exit strategy is to be applied at the end of the contract.

Although using a plan is optional – because in some cases, the projects may be low risk, low value, or short engagements – it is strongly recommended to use a plan as a part of good contract management practice for the WASH program. Besides, having a contract management plan helps ensure a smooth transition in case of a change in contract managers. However, note that the plan is a *living document* and must be updated throughout the contract. In some cases, organisations prefer not to create a formal plan. Still, even if an organisation decides not to make a formal document, the details below must be recorded [NZ Government \(n.d\)](#):

- **Administering the contract and managing the relationship:**
 - The identification and contact information of the contract/relationship manager of each party
 - The main roles of contract/relationship managers
 - The governance structure for discussing contract matters (chair, location and standard agenda items)
 - The procedure for agreeing on and controlling contract variations and adjustments
 - A contract risk management plan
- **Service delivery requirements:**
 - A schedule of important events, deliverables, milestones, and payment dates
 - The method for obtaining and verifying critical deliverables

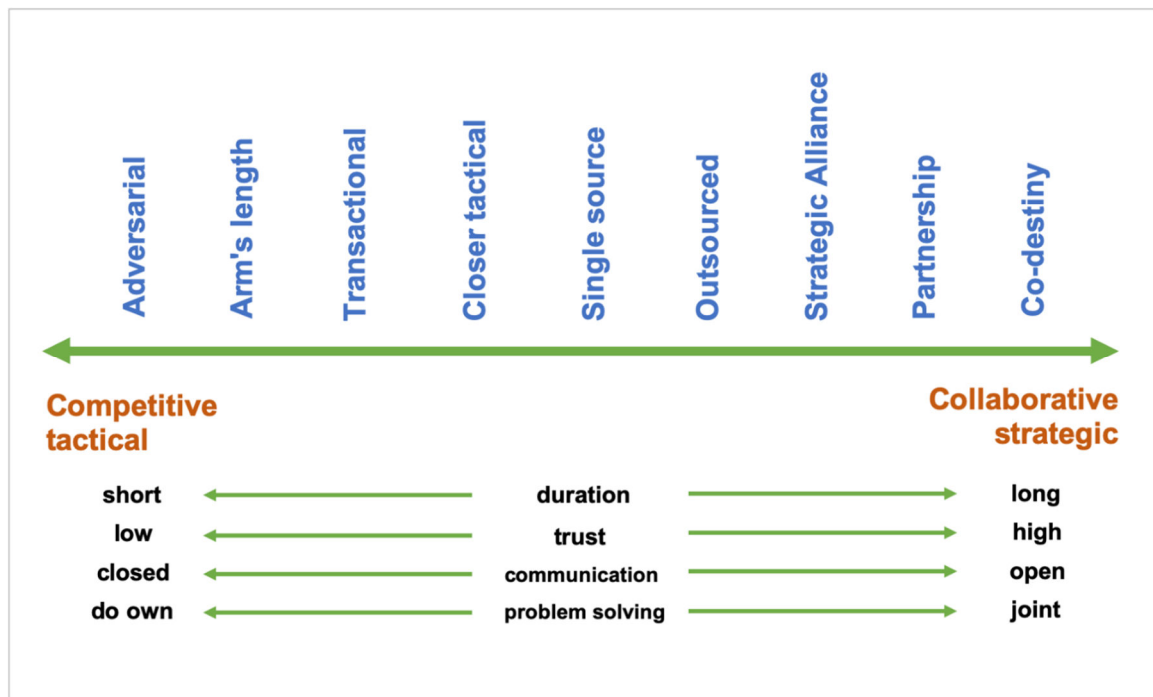


- The desired quality and standards, as well as the procedure for determining them (such as KPIs)
 - Standards for monitoring and reporting (frequency, type, content and distribution)
 - Any agency policies or procedures that apply to the supplier will be explained (if appropriate).
- **Financial details:**
 - Procedures and frequency of payments
 - Requirements for invoicing (if not in the contract).

Managing relationships

Establishing effective working relationships with partners is critical in contract management. The nature of the procurement will influence the type of relationship an organisation wishes to build with its partners. Depending on the nature of the contract, the relationship spectrum (Figure 13, adopted from [NZ Government, 2011](#)) depicts the various degrees of proximity that might exist between customers and suppliers.

Figure 14: The relationship spectrum (NZ Government, 2011).



Relationships between an organisation and their partners can be *competitive* and *collaborative*. A **competitive** relationship is often called a 'win-lose relationship', where the achievement of one party is a loss for the other party. Meanwhile, a **collaborative** relationship is a 'win-win relationship' where both parties can achieve their goals.



- **Competitive relationship:**

- Competitive relationships are associated with 'transactional procurements': simple transactions in which the partner offers goods or services, and the organisation pays with money.
- Transactional procurements usually involve standard products and services, many competing partners (suppliers), wide supply markets, little benefits, no need for a high degree of trust in a situation where transferring from one provider to another is inexpensive.
- In a competitive relationship, the buyer (the organisation) aims to get the best price for the quality and delivery criteria that are necessary. They strive to squeeze the profit margins of the provider. While this strategy is unlikely to result in a long-term relationship, it should always be conducted professionally and ethically.

- **Collaborative relationship:**

- A collaborative partnership is one in which the organisation and the partners work together to build a long-term partnership. It is a proactive connection focused on finding ways to improve things rather than a "comfortable customer-supplier" relationship where the status quo is permitted to prevail. Both parties seek ways to create value for the benefit of everyone.
- The organization and the partners usually look for improvements and ideas, knowing that any gains will be shared, set cost and quality improvement goals together and meet regularly to review how well they are doing.
- Collaboration takes time and works to establish, linked to more strategic procurements.
- A typical collaborative relationship entails:
 - A set of common goals
 - A collaborative effort to improve efficiency
 - Future planning in collaboration
 - Each party is aware of the other's expectations and strives to meet them
 - A working environment in which everyone is on the same team.
- The following are the three most important aspects of a good collaborative relationship:
 - Communication that is straightforward, transparent, and honest
 - Mutual regard, trust, and comprehension
 - Teamwork and problem-solving in groups.



In managing the relationship, here are the activities that an organisation can do ([NZ Gov., n.d.](#)):

- Providing positive and constructive feedback
- Listening, identifying and addressing problems promptly, and explaining decisions and actions in an impartial way
- Collaborating and respecting the supplier's expertise
- Adopting a structured approach to managing the relationship

Managing performance during delivery

Monitoring and reporting progress, health and safety hazards, risks, and performance issues are part of service delivery management. Monitoring entails collecting performance data, determining how well the service meets standards and produces results, and taking steps to address any chances for improving results or resolving issues. The goal is to ensure that services in scope are delivered on time and within budget.

What to monitor

- **Quantity measures**
 - Have the period's objectives been met?
 - Is the reason for this external or internal (e.g., personnel issues or a lack of demand for service)?
 - Is there an overabundance of other contractual services?
 - Is the data being counted correctly?
 - In terms of money, how much does any delay in delivery cost?
- **Delivery of services**
 - Have the services been delivered per contract?
 - Does the partner have a firm grasp of your requirements?
 - Has the partner's service orientation shifted? If so, what's the reasoning behind it? Are there any more requirements we are not aware of? Is the cause external (lack of demand) or internal (finance, staffing, facility challenges, or already provided but no finances to continue)?
- **Quality measures**
 - What method does the partner use to collect quality/outcome data?
 - Is it possible to conduct client surveys?
 - Is the partner currently capable of delivering (enough/skilled personnel)?
 - Have there been any client grievances?



- **Reporting**
 - Is the report completed on time and with the correct information?
 - Are you providing feedback in a timely manner?
 - Is the partner familiar with the reporting form, or do they require assistance?

- **Financial matters**
 - Is the partner financially stable?
 - Is there anything that indicates financial difficulty, such as a request for a "top-up"?
 - Is there a chance of being duped?
 - Is it necessary to do a financial audit?
 - What were the findings of the most recent Accreditation Review?

- **Compliance with other terms and conditions of the contract**
 - What are the consequences of either party's non-compliance?
 - Is there a case for modifying the clause through a variant (consult with your legal team)?
 - Discuss health and safety, as several incidents or near misses have been.

- **Governance**
 - Recognise the partner's current governance.
 - Are there any management or governance changes?
 - Is the partner amid a reorganisation?

- **Relationships**
 - Is the relationship positive?
 - What is the partner's opinion of the contract management at the agency?
 - Has the relationship manager changed several times?
 - What are the partner's pain points?

Monitoring health and safety standards:

The contract management plan should cover the health and safety actions, governance arrangements, worker participation, and the approach to oversight notifiable events. After doing so:

- Be sure that the partners meet the organisation's health and safety requirements.
- Find out about worker participation.
- Encourage partners to share their health and safety approaches and act on the information received on notifiable events.



Problem prevention and management:

Any discussion of performance issues should be documented, and any verbal discussions should be followed up with an email, letter, or a solution plan. The organisation must have a written record. An organisation might need to change the contract (or Outcome Agreement) to reflect the problem resolution. If there are significant issues:

- Follow the dispute resolution process
- Send a breach notice to the provider.

Conducting a review:

Reviews assist an organisation in forming meaningful, relevant, and believable recommendations about what works, what does not, and what needs to be changed next time. Recommendations must be strong enough for the agency to act on them by realigning policy or altering business operations. Review can inform an organisation on:

- Whether the expected benefits were received
- If the venture has a good return on investment
- If any other improvements could be made
- What can be learned, and how can it be put into practice?

What to Review?

Deciding what to review and when should be part of your procurement plan. Here are the things to review:

- The sourcing process
- The implementation of the contract
- The delivery of services
- The ongoing need for the services.

The type and depth of the review will depend on the nature, scope, value, level of risk and complexity of the procurement and the services.

When to Review?

After the contract has been granted, analyse the sourcing process to identify what lessons may be learned and improved next time. The amount of time and effort an organisation puts in should be proportional to the magnitude and complexity of the sourcing process. Consider:

- Stakeholder engagement and relationship management
- Quality of specification of requirements
- Market research and approach to market strategy
- Effectiveness of evaluation methodology and due diligence
- Performance of the evaluation team
- Conduct of negotiations



- Award of contract
- Outcomes against objectives.

Report back to the organisation's sponsor and management team about what was effective and what the organisation would change in future.

How to Conduct a Review?

Utilize the information acquired through monitoring, evaluation, and user feedback. The program case, costs and benefits documentation, and past review reports are the key sources of information.

Reviews should be conducted openly and honestly, with everyone willing to learn and accept constructive feedback. Who should be involved will depend on the kind and time of the evaluation. Members of the team should be involved in the review:

- Those with a working knowledge of the procurement process
- Those with a working knowledge of the policy/program area under review
- Those with a relevant specialist or technical knowledge of the procurement initiative
- Those involved in using the outcomes or receiving the benefits of the initiative.
- The views of stakeholders and end-users from interviews and group discussions

C. Summary

- Steps to manage partner contracts and relations include: creating a contract management plan, managing relationships, performance management during delivery, and conducting reviews.
- Although contracts are not mandatory in some conditions, it is strongly advised to create a contract to avoid conflicts.
- There are two kinds of relationships in a partnership: competitive and collaborative relationships.
- Monitoring and reporting progress, health and safety hazards, risks, and performance management issues are part of service delivery management to ensure that services are delivered on time and within budget.



4.5 Perform capacity building measures for partners according to the organisation's needs

A. Introduction

Each member of a team has different capacities. But it is possible to set a baseline on the minimum capacity required of each member.

B. Capacity Building

The United Nations defines capacity building as the process of developing and enhancing the skills, instincts, abilities, processes, and resources that organisations and communities require to survive, adapt, and thrive in a rapidly changing world. Whereas for the European Union, capacity building entails exchanging knowledge, skills, and best practices for organisations to respond to emergencies more effectively and quickly. Capacity building improves the organisations' ability to provide effective assistance during a humanitarian response. Its main purpose is to assist organisations in adapting well to the rapidly changing humanitarian situations, improving response quality, testing new techniques or adopting new ways of working, and improving cooperation and collective crisis response.

While many topics are helpful to improve the capabilities of an organisation as a whole, the following are the examples of capacity building topics that can be conducted for WASH programme improvement:

- Front-line service providers' empowerment:
 - Leadership
 - Socioeconomic and cultural sensitivity
 - Gender mainstreaming
 - Integrating WASH into the daily scope of work
 - Participatory methods of interaction with the community
- WASH:
 - Household-level water management
 - Environmental sanitation
 - Menstrual hygiene
 - Toilet maintenance and demand creation
 - Long-term sustainability of WASH services



C. Prioritize areas for capacity building

Capacity building frequently begins with a tool that uses a scoring system to measure an organisation's capabilities. PQASSO (Practical Quality Assurance System for Small Organisations) and Bond's 'health check tool' are just two examples of the available tools. These tools support identifying strengths and weaknesses, prioritising areas for capacity development, and tracking progress. The details of the tools are on the list of learning materials.

Capacity assessment process

Figure 14 is from [UNDP Capacity Assessment Methodology User's Guide](#), and it shows the overall process of capacity assessment.

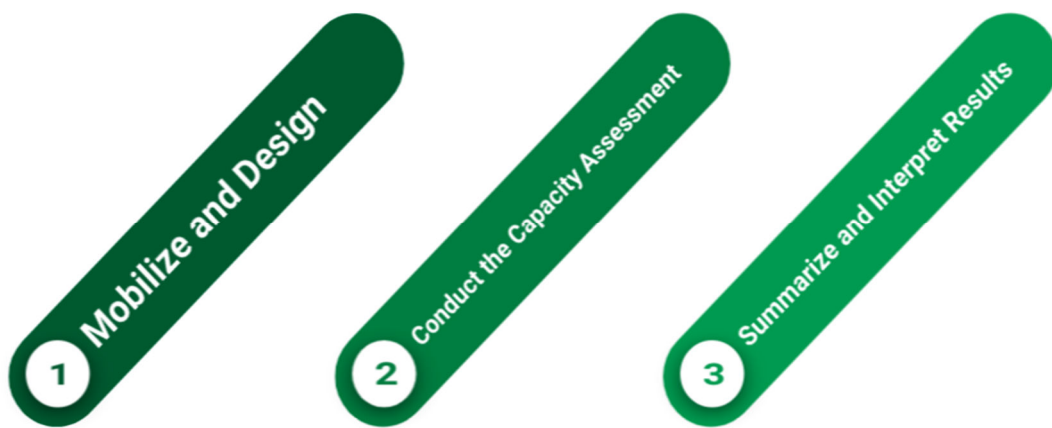


Figure 15: Process of Capacity Assessment (UNDP, 2008).

- **Step 1: Mobilise and design**
 - Engage stakeholders
 - Clarify objectives and expectations with primary clients
 - Adapt the Capacity Assessment Framework to local needs
 - Determine the data and information collection and analysis approach
 - Determine how to conduct the capacity assessment (team, location)
 - Plan and cost the capacity assessment (based on team composition, design, and duration)
- **Step 2: Conduct the capacity assessment**
 - Determine the level of desired capacity
 - Assess the level of existing capacity
- **Step 3: Summarise and interpret results**



The assessment team will summarise and analyse the results once the assessment for the specified cross sections has been finished. This process begins with comparing the desired capacity to the current capacity. It helps the team evaluate whether the current capacity level is adequate or needs improvement and where to focus on interventions.

Capacity development

Sometimes there is no need to build new capacities, and the manager focuses on developing existing capacities. When formulating a capacity development plan, there are three levels: individual, organisational, and environmental. Figure 15 below is from [WaterAid's Partnership Toolkit 2021](#).

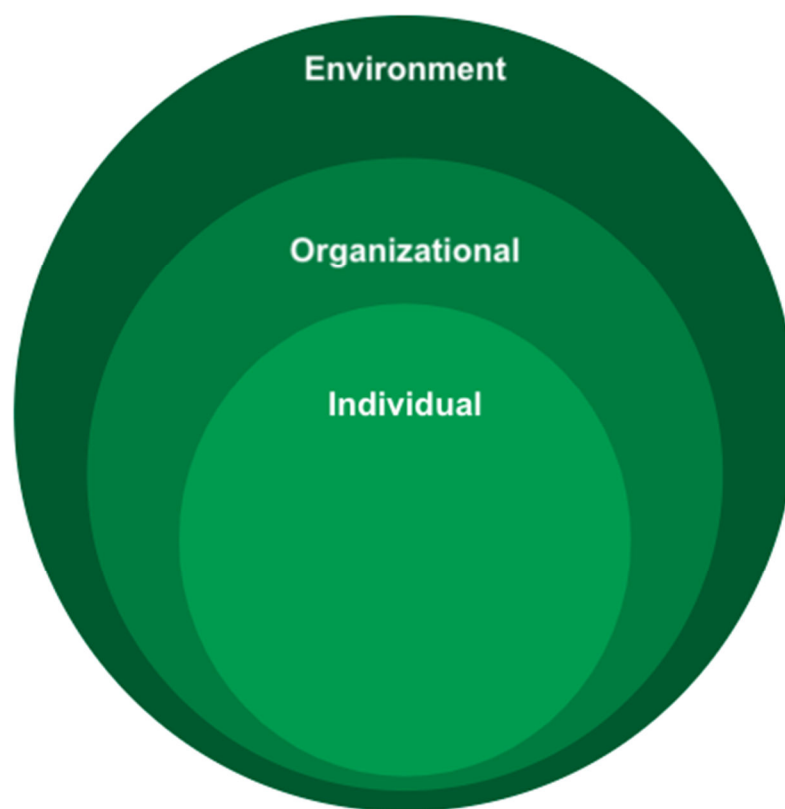


Figure 16: Three Levels for Capacity Development (WaterAid, 2021)

Organisational capacities are the structures, procedures, relationships, resources, and infrastructures that enable an organisation to perform its role. **Individual capacities** refer to an organisation's staff's knowledge and skills in various areas, such as WASH technical, accounting, people management, and project coordinating. **Individual capacities** refer to the knowledge and skills of staff in various areas, such as WASH subject matter, people management, and project coordinating.



Environmental capacities refer to factors outside of an organisation's direct control, such as national WASH policies, national poverty rate, global fund availability, climate change, and others that can enable or inhibit an organisation's ability to conduct its WASH activities.

When formulating a capacity development plan, it is essential to consider all three levels because organisations commonly only address individual capacities, such as technical training workshops for staff. Another common mistake is to assume that it is the organisation's responsibility to help partners develop their capacities. On the contrary, many partners may have stronger capacities in particular work areas. In some cases, the role of an organisation is to facilitate capacity development between different partners.

D. Summary

- Capacity building is the process of developing and enhancing the skills, instincts, abilities, processes, and resources that organisations and communities require to survive, adapt, and thrive in a rapidly changing world.
- The primary purpose of capacity building is to assist organisations in adapting well to rapidly changing humanitarian situations, improve response quality, test new techniques or adopt new ways of working, and improve cooperation and collective crisis response.
- The capacity assessment process includes three steps: mobilise and design, conduct the capacity assessment, and summarise and interpret results.
- Formulating a capacity development plan at three levels: individual, organisational, and environmental

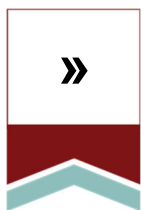




Self- assessment Checklist



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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
<input type="checkbox"/>	Have I read the Learner Guide and understood its contents?
<input type="checkbox"/>	Have I attended, participated in, and completed all training sessions and activities?
<input type="checkbox"/>	Have I reviewed the learning resources to reinforce what I've learned in training?
<input type="checkbox"/>	Am I able to demonstrate my understanding of each element and performance criteria of this unit of competency by writing a summary in my own words?
<input type="checkbox"/>	Am I able to communicate how my experience, knowledge, skills-sets, and attitudes make me qualified and competent enough to perform the job related to this unit of competency?





Oral Interview and Written Test Guide



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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 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 you will use or apply to address a specific occupational issue or problem. Candidates need to think about how they will carry out their critical job functions in a defined work setting.

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

On written tests

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



Accuracy, brevity, and clarity are the ABCs of good writing. The first thing candidates are suggested to do is answer the questions as accurately as possible. It helps structure your response and sharpen your main points in an outline before writing them down. Candidates are advised to use short and simple sentences and paragraphs. 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.

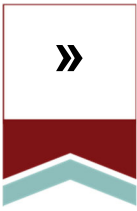




Recommended Readings



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Recommended Readings

Global Handwashing Partnership. (2018). *Clean Hands for All: A Toolkit for Hygiene Advocacy*. Accessible [here](#)

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WaterAid. (n.d.). *Partnerships in practice tool 3: roles and responsibilities*. Accessible [here](#).

WaterAid. (n.d.). *Partnerships in practice tool 4: partnership governance*. Accessible [here](#).

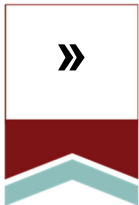


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»

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Global WASH Cluster. *GWC Coordination Tool Kit (CTK) - Confluence*. Accessible [here](#)

McClure, N. (2021). *How to Partner with the Private Sector to Expand Access to Water, Sanitation, and Hygiene (WASH)*. Accessible [here](#).

PQASSO. Accessible [here](#)

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