2nd Edition

LEARNER'S GUIDE

TECHNICAL COMPETENCY UNIT

ADM.TEC 023.2

Develop Strategy to Link Relief, Recovery, and Development

ONE ASEAN ONE RESPONSE

ASCEND

ASEAN Standards and Certification for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

DEVELOP STRATEGY TO LINK RELIEF, RECOVERY, AND DEVELOPMENT

ADM.TEC.023.2

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.

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

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

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ASCEND programme and Toolbox:

Introduction

ASCEND

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1.1 The ASCEND Programme

Southeast Asian governments, through the ASEAN Committee on Disaster Management (ACDM), continue to invest in strengthening disaster management systems for a more secure and resilient region. However, the compounding 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

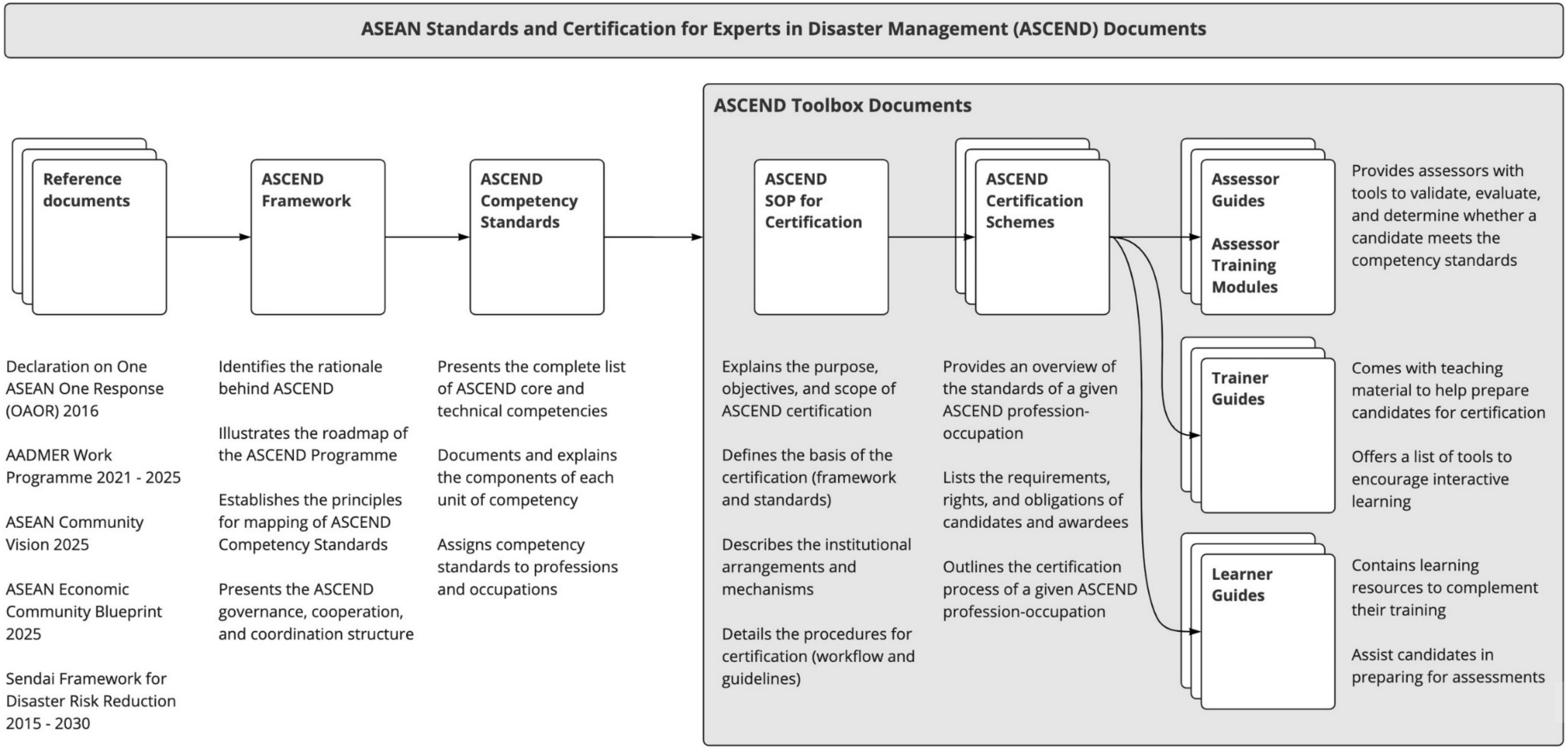
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management 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 an SOP, Certification Schemes, Assessor Guides, Trainer Guides, and Learner Guides. The ASCEND Competency Standards, approved by the ASEAN Committee on Disaster Management, are the primary basis of the Toolbox documents.

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

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

Figure 1: Overview of ASCEND Toolbox Documents



Learner Guide

Introduction for Candidates

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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

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3.1 Competency standards

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

3.2 ASCEND Competency Standards

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

3.3 Unit descriptor

Unit title : **Develop Strategy to Link Relief, Recovery, and Development**
Unit number : ADM.TEC.023.2

Unit description : This unit deals with the skills and knowledge required to design a WASH strategy to link with recovery or development phase in the aftermath of a disaster.

Element 1.
Lead the design and implementation of exit strategy of WASH programme
Performance Criteria

1.1 Perform stakeholder consultation for transitioning into recovery and sustainability
1.2 Design exit strategy
1.3 Communicate of exit strategy to the stakeholders
1.4 Incorporate exit strategy into WASH programme design

Element 2.
Lead/co-lead a programme learning review of WASH Program interventions
Performance Criteria

2.1 Select appropriate learning modalities and strategy based on the context and needs
2.2 Develop evaluation tools
2.3 Design learning review work plan
2.4 Analyse data collected from the learning review process
2.5 Develop recommendations for future interventions
2.6 Design learning review work plan

Element 3.
Report the progress of WASH Program interventions
Performance Criteria

3.1. Select appropriate learning modalities and strategy based on the context and needs

3.4 Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACDM	ASEAN Committee on Disaster Management
ACF-IN	Action Against Hunger – International
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
CSOs	Civil Society Organisations
FACET	Facility Evaluation Tool for WASH in Institutions
FEMA	Federal Emergency Management Agency
FGD	Focus Group Discussion
FHI	Food for the Hungry International
GWC	Global WASH Cluster
IFRC	International Federation of Red Cross and Red Crescent Societies
KNFA	Korean National Fire Agency

MRA	Mutual Recognition Arrangement
NGOs	Non-Governmental Organisation(s)
OAOR	One ASEAN One Response
ODI	Overseas Development Institute
SMS	Short Message Service
SOP	Standards Operating Procedures
UNDP	United Nations Development Programme
WASH	Water, Sanitation and Hygiene
WASH CAST	WASH Cluster Advisory and Support Team
WASH FIT	Water and Sanitation for Health Facility Improvement Tool
WHO	World Health Organisation

Unit Readings and Activities

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4.1 Element 1. Lead the design and implementation of exit strategy of WASH programme

1.1 Perform stakeholder consultation for transitioning into recovery and sustainability

A. Introduction

Stakeholder consultation is essential when planning and implementing an exit strategy and creating sustainable WASH programmes after response.

B. Significance of performing a stakeholder consultation

Stakeholder consultations seek to build and sustain strong and long-term relationships between WASH cluster actors and their stakeholders. It builds trust or what is sometimes called the "social license to operate".

A critical aspect of any exit strategy is communicating how the WASH programmes will eventually end and what stakeholders can do after. Communication should be done clearly and consistently from the start of the programme to encourage self-sufficiency within the affected communities.

According to the Inter-American Development Bank (2017), successful stakeholder consultations do the following:

- It captures the views and perceptions of people who may be affected or have an interest in a development project and provides a means to take their views into account as inputs to improve project design and implementation, thereby avoiding or reducing adverse impacts and enhancing benefits.
- It provides an essential source of validation and verification of data obtained elsewhere and improves the quality of environmental and social impact assessments.
- It enables people to understand their rights and responsibilities concerning a project.

- It creates greater transparency and involvement of stakeholders that can enhance trust, project acceptance, and local ownership. All of these are key to project sustainability and development outcomes.
- It complies with environmental and social policies.

C. Stakeholder roles and responsibilities

Stakeholder identification

It is necessary to identify potential stakeholders before starting any consultation. Stakeholders are classified in many ways. UNDP has given three classifications of stakeholders in their Post Disaster Needs Assessment Guidelines:

1. Primary stakeholders come from within the affected population. They will usually be the direct beneficiaries and end-users of recovery (e.g., urban/rural populations, farmers, social sectors such as women, children and the elderly).
2. Secondary stakeholders are usually intermediaries in delivering services and support to primary stakeholders (e.g., consultants, experts, local government and agencies, non-governmental organisations, service providers and private sector organisations)
3. External stakeholders are the decision and policymakers (e.g., politicians, senior civil servants, district-level bodies, governmental bodies)

When choosing which primary stakeholders to involve in consultations, there are things to consider. The challenge of engaging affected communities is that they might have the fewest resources or capacity to become a stakeholder. Representation is also another issue. Marginalised and vulnerable groups must be included among the stakeholder consulted.

The representatives for secondary and external stakeholders are generally actors from the WASH sector. It is necessary to determine the key sector actors in policy-making at the national level. The authorities are responsible for implementing WASH regulations, local or international NGOs, and private actors who supply WASH supplies and services at sub-national and local levels. The list of potential stakeholders is:

- Representatives from the line ministries responsible for Water Resources Management, provision of water services, sanitation services, rural water supply and urban water supply
- Representatives from cross-sector line ministries of transportation, energy, environment, agriculture, health, and education
- District, municipal, rural and urban authorities, including Water Boards

- Regulatory agencies or bodies (if any)
- The traditional authorities (where relevant)
- Private sector actors involved in the water and sanitation goods and services
- Local NGOs and CSOs, especially those representing marginalised groups
- Affected population

Roles and responsibilities of stakeholders in recovery efforts

The roles and responsibilities of the different stakeholders should be clearly defined and communicated to all concerned. The roles and responsibilities of primary stakeholders should be based on consultation and the level of ownership they demonstrate. The aid must be constantly referenced and integrated into the government's plan. Suppose stakeholders abuse their roles and responsibilities. In that case, this should be reported and included in baseline analysis under governance issues, which could affect the recovery strategy.

The table outlined by the Federal Emergency Management Agency (2011) can be used as a tool to identify clear roles and responsibilities during the stakeholder consultation.

Table 3: The recovery roles and responsibilities of stakeholders after a disaster

Stakeholders	Recovery roles and responsibilities
Individuals and households	• Implement individual and family recovery plans • Reach out to others who may need assistance • Participate in post-disaster community recovery planning if possible • Establish metrics to evaluate recovery progress and achievement of disaster recovery objectives for individuals and families • Rebuild safer and stronger
Private sector – the business community and critical infrastructure owners and operations	• Implement business continuity plans • Communicate status of operations and supply chains as well as restoration challenges and timelines to local, state, tribal or federal recovery managers • When possible, support employees impacted by the disaster by providing critical information on the recovery process through accessible and multilingual internal communication effort

	• Provide volunteers, leaders, technical assistance, commodities and facilities as willing and able • Form business recovery groups or task forces to assist one another and to communicate more effectively with government and community leaders • Research available funding sources and types of funding; understand the application process of assistance programmes • Assist small and local businesses in acquiring assistance • Rebuild safer and stronger • Establish metrics to evaluate recovery progress and the achievement of private sector disaster recovery objectives
Non-profit sector	• Deliver recovery resources and support services to vulnerable and underserved groups, individuals and communities as necessary • Provide housing repair, reconstruction and rehabilitation services that comply with applicable building codes and standards, zoning regulations and design standards • Communicate and coordinate needs and capabilities to local, state and tribal authorities with the voluntary agency liaison specialists • Participate in the post-disaster community planning • Promote partnerships among all NGOs conducting disaster recovery work • Coordinating recovery programmes and services with other entities involved in recovery, including government emergency management officials, to ensure a unified recovery process that maximises the effectiveness of the overall effort • Establish metrics to evaluate progress and the achievement of non-profit disaster recovery objectives
Local government	• Organise, develop, implement and modify recovery, mitigation and land use as needed • Appoint local disaster recovery manager and define activities and duties • Ensure integrated efforts across government offices, the private sector and NGOs during the formulation and implementation phase of recovery projects and activities, including raising and leveraging recovery funds • Lead efforts to restore and revitalise all sectors of the community, including critical infrastructure and essential services, business retention and redevelopment housing units damaged, disrupted or destroyed by a disaster • Manage to rebuild, so that risk reduction opportunities are optimised and comply with standards for accessible design

	• Communicate and coordinate with other levels of government involved in recovery • Undertake an appropriate community planning process • Establish metrics to evaluate and communicate progress and the achievement of local disaster recovery objectives to all populations
National government	• Deploy a national disaster recovery coordinator and activate and deploy recovery support functions when determined necessary and establish a recovery coordination structure in close collaboration with affected local, state, and tribal governments • Identify how national programmes can effectively address and support recovery needs • Provide timely, accurate and accessible information to the public and manage expectations in coordination with local, state, tribal and other stakeholders • Monitor and make necessary adjustments to federal assistance programmes and their delivery to more appropriately and timely address recovery needs of the affected local and tribal communities • Ensure transparency and accountability of national expenditures that aid disaster recovery • Coordinate with various national agencies and officials to ensure that they have an understanding of how to avoid duplicate payments and whom to contact at the various national agencies to answer related questions • Participate in local, national and tribal recovery planning and mitigation efforts through technical assistance, expertise or their assistance as requested and needed • Coordinate national recovery efforts with private and non-profit organisations in cooperation with local, national and tribal officials • Develop or refine existing metrics to evaluate recovery progress and the achievement of national disaster recovery objectives

(Source: FEMA, 2011)

E. Activity

What is the difference between stakeholder consultation and stakeholder partnership? Why is it necessary to clearly understand their difference when designing and implementing an exit strategy?

Answer Box:

F. Summary

- Stakeholder consultations seek to build and sustain strong and long-term relationships between WASH cluster actors and their stakeholders. It builds trust or what is sometimes called the "social license to operate".
- The roles and responsibilities of the different stakeholders should be clearly defined and communicated to all concerned.

1.2 Design exit strategy

A. Introduction

Designing a proper exit strategy will increase the sustainability of WASH programmes in the communities and prevent the community from being dependent on aid. When to exit and what steps should be taken will be described in this element.

B. Defining the exit strategy and exit planning activities

Once the WASH cluster's response programme is over, it is required to take some strategies to make programme efforts sustainable. Due to the uncertainty of an emergency, an exit strategy should be flexible enough to adjust when priorities shift, funding becomes inadequate, and different challenges arise. An exit strategy plan involving all stakeholders is necessary to reduce reliance, foster ownership, and raise the WASH cluster's accountability to stakeholders.

Exit criteria: What determines 'when' to exit?

There are several criteria to know whether a project should end. These are the general factors to consider when thinking about exit strategies by Gardner et al. (2005) and Oxfam (2020):

1. **Time limit**: Relief, recovery and development programmes all have time limits dictated by funding cycles. Time limits may increase a programme's focus on establishing sustainability systems or impose artificial timing constraints.

2. **Achievement of programmes impacts**: Although achieving the intended programme impact is often challenging within a given timeframe, indicators of programme impact can sometimes be used as exit criteria. Impact indicators can be used to focus programme "graduation" efforts on the more self-reliant communities or the practical programme components. Lastly, impact indicators can help inform and guide the exit strategy timeline. Oxfam has developed impact indicators for WASH programmes:

    - Impacts are self-sustaining. Programmes can create self-sustaining changes in several ways. For example, economically profitable activities such as improved agricultural production or marketing practices encourage farmers to continue these practices. Promoting behaviour change, for example, relating to health and nutrition, is more likely to be self-sustaining if individuals can see the benefits to themselves and if the changes are acceptable and feasible. Humanitarian programmes that provide infrastructures such as wells, latrines, or roads can create self-sustaining impacts by training communities to maintain them.

- Capacity-building efforts enable programme benefits to continue. One way to determine whether the capacity-building efforts have been successful is to assess whether those who will continue the work can decide on and manage their own affairs, whether they have acquired the necessary technical skills, and whether they can secure the financial and other resources needed to continue activities. All exit strategies will involve some form of capacity building to ensure others – whether communities, government or local organisations – can continue the work that the WASH cluster has started.

- There is a continued ability to generate resources. For many programmes, the continuing ability to secure resources is key to sustainability. Some approaches that can enable this include: charging user fees for services or products – though care must be taken here not to substitute one funder for another, which does not address long-term sustainability issues.

3. **Achievement of benchmarks**. Benchmarks are measurable indicators linked to the graduation process and the programme components to be phased out or over. They are part of the monitoring and evaluation planning matrix from the onset.

Planning matrix: A tool for developing exit strategies

The following table adapted from Action Against Hunger – International (ACF-IN) can develop exit strategies.

Table 4: Questions for exit strategy development

Components	Questions
1. Planning for exit strategies from the earliest stages of programme design	• What are the programmes aims for longer-term sustainability? • What is the timescale for the programme & exit? • What should be the criteria or indicators for leaving an area? • What should be the benchmarks for monitoring progress towards the exit, and how will they be monitored? • What are the specific action steps needed to reach the benchmarks? • Should advocacy for additional support from the government or donors be part of the exit strategy? If so- who should also take part in this activity?

	• The exit strategy may include several scenarios or contingency plans that respond to unknown factors such as recurrent droughts, changing political situations, or returning to conflict. • What elements of the programme are sustainable without additional outside inputs, and which elements are likely to need them?
2. Developing partnerships and local linkages	• Options for handover? • Do the options for handover require the development of new or ongoing partnerships, and if so, in what form should these exist? • What will our partners bring to the partnership, and what can we offer? • What will be the common goals for the partnership? • How will the partners be prepared for the exit? • How can the partnership help facilitate a successful exit?
3. Building the capacity of local organisational and human capacity	• Capital, human training & ongoing resources needed? • Timescales for the partnerships and capacity building? • What form will this capacity building take, and who will provide it? • Are the organisations responsible for implementing the phased over programmes resilient to shocks and changes in the political and social environment? • Is there a viable plan to generate the consumable or ongoing supplies and costs?
4. Mobilising local external resources as an exit strategy	• What inputs will be needed to undertake capacity and institution building? • What inputs will be required to sustain services over the longer term? • Develop a budget for the strategy – who will fund disengagement? • Who can provide these inputs – locally or externally? • Build the capacity of partner organisations or communities to be able to fundraise and manage funds as appropriate • Introduce partner organisations to other potential donors
5. Staggering phase-out activities	• What are the critical elements of the programme? • Which elements are dependent on others? • How can the exit be phased to monitor and learn from early successes and challenges?
6. Monitoring the exit strategy	• The review process for an exit strategy – who should be involved at which interval?

versus agreed indicators or benchmarks	• Vulnerability indicators – comparing one area to other areas of need? • Does the exit strategy need revision base on the findings of M&E? • How does this exit strategy tie in with the exit strategies of others – such as those in a local consortium, the donors, the partners? • Can the local partners or others on the ground help monitor the indicators or impact of the final exit?
7. Allowing roles and relationships to evolve and continue after exit	• What type of ongoing support would be most helpful (e.g., advice, mentoring, technical assistance). • Is the organisation prepared to continue with this ongoing support? • How will such ongoing support be funded when the project finishes?

(Source: ACF-IN, 2007)

C. Developing an exit strategy timeline

The effectiveness of exit strategies relies on having a flexible timeline. It can help WASH manager to connect one step to another in the exit plan. Gardner et al. (2005) have developed two types of exit strategy timelines. The following matrix can be adapted according to the cluster's situation and plan.

Table 5: *Developing exit strategy timeline*

Developing and implementing the flexible exit strategy timeline (1-year programme)	Developing and implementing the flexible exit strategy timeline (5-year programme)
• For a one-year recovery programme, it is critical to develop your exit strategy within six weeks of your programme's inception • Implementation of exit strategy activities, including monitoring, should start as soon as the strategy is developed • Conduct quarterly reviews of your progress and the results of your monitoring activities • The review process, other learning and changes in the political and	• Activities are implemented in the first two years of the project, steps for programme exit and benchmarks continue to be identified and perhaps modified, and ongoing monitoring is conducted. • Quarterly reviews of progress and result of monitoring activities are necessary. • The quarterly reviews and the midterm evaluation, other than learning and changes in the political and environmental context, may inform

environmental context may inform the revisions of the exit strategy • Conceptual strategy modifications may be warranted. Exit strategy activities and benchmarks will be adapted along the way. • Modifications should be made and shared with stakeholders.	ongoing adjustments and revisions of the exit strategy. • Over time, conceptual modifications may be warranted, particularly after the midterm evaluation. Specific exit strategy activities and benchmarks will also then need adapting. Any modifications in the strategy should be shared with stakeholders. • During years three to five, the graduation and exit process is underway. Ideally, communities and activities are graduated sequentially while the sponsor observes and assesses the phase-out process to draw and apply the lessons learned to the ongoing exiting process.

(Source: Gardner et al., 2005)

D. Summary

- There are three general categories for exit criteria. An exit can be performed based on the programme time limit, programme impacts, or the achievement of benchmarks.
- Exit strategies should be flexible and adaptable to the changes implemented.

1.3 Communicate exit strategy to the stakeholders

A. Introduction

Clear communication of the exit strategy will lower the risk of resentment in the communities after withdrawal due to the retraction of resources. This element covers the communication stages, the information to share, and the channels to reach out to the communities about the exit strategy.

B. Approach to communicating the exit strategy

The IFRC's Community Engagement and Accountability Toolkit outlines several things to consider about when and how the WASH manager can share exit strategy information with communities.

Table 6: *Exit strategy communication approach*

Why?	Key communication stages	Key information you need to provide
It is critical to communicate with beneficiaries in the run-up to programme closure because: • Sharing your plans and giving people the chance to be involved in what happens next means a smoother exit/handover and fewer problems after • It shows respect for the community you have been working with. • We need to be accountable to our beneficiaries, transparent and participatory. • People 'just want to know. Even if it is bad news about a service stop, knowing they can plan ahead in advance.	Plan how and what you want to communicate at each of the four key stages of the exit strategy: 1. Plan your exit 2. Community consultation period 3. Services are stopping and being handed over 4. Monitor the situation for a short period after you've finished.	• When services will stop • Programme achievements to date • How people can get involved in deciding what happens after you leave • How they can ask questions and make their concerns felt at each stage of the process • Outline what will happen during each stage of the handover or shut down • What will be the system after you leave, including who will be in charge • A means of getting in touch after you leave if there are any major problems.

General advice
• Give people advance warning of changes AT LEAST 1 WEEK before you implement them. • Have a consultation period where the community has the opportunity to feed into decisions about what will happen after you leave. • Set up a method for people to ask questions or raise complaints. It can be a formal system like a telephone line or informally through community mobilisers. The main thing is that people know they can ask questions and do this. • Use as many channels as possible to communicate with people, for example, a mix of posters, community mobilisers, SMS, radio

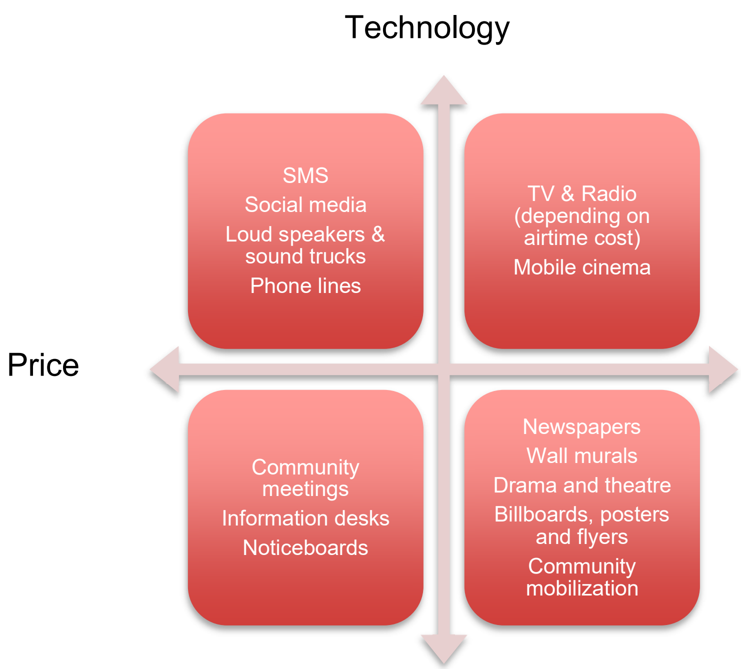
- Make sure all the tools you use to communicate are giving consistent messages to avoid confusing people.
- Tackle rumours quickly by addressing them and providing the correct information – don't ignore them.
- Be honest with people.

(Source: IFRC, 2017)

Communication channels

IFRC has also provided what considerations in choosing the communication channel of a humanitarian project:

Figure 2: Considerations in choosing a communication channel of a humanitarian project



Considerations when choosing a communication channel:

- Should be based on assessment data
  - What channels are used by the community?
  - Cultural and literacy considerations
  - What capacity is available in terms of people, time and funding?
- Based on the programme needs
  - 1 or 2-way communication
  - Change behaviours or improve accountability
  - The geographical spread of the people that need to be reached
  - How much time do you have to get activities up and running?
- Which channels are the Government or agencies using?
  How could the choice of channel affect neutrality and impartiality?

E. Activity

The availability of communication networks and technologies in remote areas might be limited. Think of and list the ways to communicate an exit strategy in such contexts.

Answer Box:

F. Summary

- The three communication approaches generally consist of the communication stages, the information to share, and the channels to reach out to the communities about the exit strategy.

1.4 Incorporate exit strategy into WASH programme design

A. Introduction

After the exit strategy is determined, they need to be integrated into the WASH programmes. This element describes the principles and activities to consider when developing a WASH programme exit strategy and increasing programme output sustainability in the community.

B. Exit strategy for WASH programmes

Minimum requirements for exiting WASH programmes

WASH teams should be actively involved in creating exit strategies to ensure sufficient technical advice influences decisions on whether WASH operations should be continued or phased out. The table below shows the minimum requirements for exiting WASH programmes that Oxfam has developed.

Table 7: Minimum requirements for exiting from WASH programmes

General principles ● WASH staff should work with colleagues from logistics to ascertain the presence and functionality of local commercial suppliers of, for example, spare parts for WASH facilities or replacement hygiene items, as this will affect programme sustainability. ● When handing over facilities, a public meeting must be held between WASH cluster representatives and other relevant stakeholders. The meeting needs to ensure no outstanding grievances (e.g., standard of the works, payments), and it must be completed before final payment to contractors or partners.
Handover to other NGOs ● When handing over facilities, a public meeting must be held between WASH cluster representatives and other relevant stakeholders. The meeting needs to ensure no outstanding grievances (e.g., standard of the works, payments), and it must be completed before final payment to contractors or partners.
Handover to the government or traditional structures ● The WASH programme approach should align with the existing government or traditional system. Forming a water user association in a country where this structure does not exist is ineffective. ● A community management system that is not in some way linked and accountable to local authorities is unlikely to be sustainable. All the information about who is responsible for continuing WASH activities (e.g., training and equipment provided, details of any revenue system initiated, the MoU) should be supplied to the relevant authorities.
Handover of facilities to communities ● WASH facilities should be completely finished before they are handed over to the community, and the community needs to agree that the facility is ready for handover. A signed MoU should confirm this. ● Training of communities or other stakeholders requires time, planning and resources. It should not be left until the end of the programme

Source: (Oxfam, 2018)

Table 8: *WASH sustainability strategies and key outputs*

Sustainability strategies	Key outputs
• Train WASH team to take over technical and managerial aspects of maintaining water points. • Implement user fees to cover operating costs and maintenance of water points. • Strengthen relations with the government officers to ensure a technical resource is available if needed.	• WASH teams will be able to access further technical assistance when necessary. • Water sources will be reliable, adequate, accessible, and good quality. • Communities will demand and pay for water. • User fees will be sufficient to cover maintenance and periodic capital equipment replacement.

(Source: Coates et al., 2016)

C. Activity

WASH programmes intersect with other sectoral programmes such as Health and Nutrition. What will be your exit strategy if your WASH programmes are directly linked to another programme of another sector?

Answer Box:

D. Summary

- WASH teams should be actively involved in creating exit strategies to ensure that sufficient technical advice influences decisions on whether WASH operations should be continued or phased out.
- When designing and conducting WASH programmes, sustainability strategies and key outputs should be included. It is easier to manage the exit strategy when implemented earlier in the programme.

4.2 Element 2. Lead/co-lead a programme learning review of WASH Programme interventions

2.1 Select appropriate learning modalities and strategies based on the context and needs

A. Introduction

WASH programme learning reviews seek to close out open items and properly hand over tasks to ensure the output continuity after it ends. It also assesses the programme results and what insights and learning are helpful for future programmes. Learning reviews are essential because there are high rates of programme failure. For instance, approximately 70% of rural water schemes in Sub-Saharan Countries are no longer functional due to sustainability issues.

B. Learning modalities

Modality is the method or approach for performing a particular task. Learning modalities are the sensory preferences of individuals when giving, receiving, and storing information. They are classified under three headings: visual, auditory, and kinaesthetic. Programme designers should be aware of the learning modalities of end-users.

- **Visual mode**: Give evidence and show correlations between ideas in pictures, slides, handouts, or written outlines.
- **Auditory model**: Consists of hearing and reciting information, asking questions, and discussing to understand the material.
- **Kinaesthetic Mode**: Learning by doing or moving while thinking or studying.

Table 9: Types of learning modalities

Learning Modality	Learn through	Ideas
Visual	• Graphs and images • Watching demonstrations • Visual note-taking	• Model learning by demonstration or guided practice

	• Graphic organisers	• Providing graphs and images • Take well-organised notes • Provide a mind map (or another graphic organiser)
Auditory	• Listening to stories • Talking things through • Conversational dialogue	• Story-based instruction • Create a podcast or audio-recorded material • Social learning scenarios and group study • Verbally repeat information or instructions
Kinaesthetic	• Roleplay • Moving about their learning environment	• Act out using props to solve problem • Experimenting with physical materials

(Source: *Academic Success Center - Using Learning Modalities*)

It is essential to use a monitoring and evaluation framework to determine whether the objectives of the WASH programme are achieved. A similar monitoring and evaluation system applies to learning reviews.

Table 10: Output, indicator, and value (status of achievements) table

Output	Indicator	Value (Status of achievements)
2.1.1 GWC's learning and teaching strategy has been elaborated	GWC's learning and teaching strategy elaborated	Yes/No
2.1.2 Training packages has been translated into four (4) languages to enhance the coordination	Training packages translated into 4 languages	<2: Red >=2 and <4: Yellow >=4: Green

(Source: GWC,2017)

G. Summary

- There are three types of learning modalities: visual, auditory, and kinaesthetic.
- Strategy monitoring is based on output, indicators, and achievements.

2.2 Develop evaluation tools

A. Introduction

An evaluation tool is used to review WASH performance after a certain period of time to assess the effectiveness of the activities and the progress made. Using an evaluation tool helps improve future WASH programmes by systematically collecting and analysing current programme performance and impact.

B. Evaluation tool

This tool offers a simple, tried-and-tested framework for conducting a WASH Cluster performance review. It is designed for use by the Cluster Coordinator or review initiator and the review team. It is often used two months after a rapid-onset emergency and for rollout countries every two years. The actual timing will depend on the practicalities of getting access and gathering timely, accurate data. The tool provides performance indicators, a review methodology and supporting tools, and templates for data collection, analysis, and reporting.

C. Scope and objectives of an evaluation

External evaluation needs to be performed within two years after a programme ends. An independent research team can conduct this. The evaluation process has two main phases. Phase 1 provides evidence of substantial achievements, weaknesses in the programme's approach and changes that occurred related to the programme. At the end of this phase, the evaluation team drafts a report on the programme's overall performance against its objectives. Phase 2 evaluates the beneficiary level to assess programme outcomes and impacts. The cluster approach's global objectives are (ODI,2007):

- Estimate sectoral leadership and accountability at the global level
- Empower technical capacity and mechanism for preparedness of system for essential humanitarian sector response
- Strengthen partnerships and agree on using common tools, standards, and guidelines to streamline the response

At the country and field level, the objectives of the cluster approach are (ODI,2007):

- Increase geographic coverage and sectoral responsibility predictability
- Demonstrate transparency and accountability
- Enhance partnerships of humanitarian actors to support national-led efforts
- Strengthen field-level capacities to solve the gaps
- Increase the ability of Humanitarian Coordinator to make strategic decisions on better ways to prioritise over available resources and conduct an immediate response.

UNICEF,2018 highlights three areas that good evaluation processes contribute to strengthening:

- **Accountability**
  Present proof of the WASH programme effectiveness after a particular time of implementation to the affected population and donors
- **Organizational Learning**
  Provide information on critical gaps and challenges so that future WASH programmes can design solutions that address what is lacking and tackle the implementation problems.
- **Targeted Learning**
  It gives programme managers insights on what to transform and prioritise when developing new strategies and activities. The scope of the evaluation can refer to the following programme areas:
    - WASH in Urban or Rural Areas
    - WASH in Schools
    - WASH in Health Facilities
    - WASH Knowledge Management
    - WASH Enabling Environment

D. Types of methods used

- **Document review/Record analysis**
  This method uses existing documents collected or developed before the evaluation. The data may come from staff reports, databases, meeting reports, or records like water usage. Documents from cluster

leads, steering group members, and cluster partners are usually provided to the evaluation team, consisting of materials collected during the field visits. Past programme reviews and evaluation reports are the secondary data sources. A web-based platform can be used to archive information.

- **Interviews**
  Another review method is by doing interviews with members of the affected community. It can be done by asking a set of questions to an individual or group. The interview can be structured or open-ended, depending on the objectives of the interview. Interview data is transcribed and analysed for themes relevant to the evaluation.

- **Observation/Field visits**
  Observation and field visits are another evaluation method. It requires going to the actual sites covered by programme implementation and gathering data on the ground. This method is labour-intensive, but it allows the evaluation team to gather first-hand information. It is best used together with interviews since the evaluation is already deployed. For instance, the evaluation team can confirm claims made in interviews by observing the daily activities of affected community members.

- **Survey**
  A paper or web survey can be utilised to gain more information about a particular evaluation concern. Surveys can cover more significant numbers of respondents and can be disseminated with the help of partners. But the problem with surveys is that it is difficult to clarify or follow up on responses, and answers may be too variable to be useful.

- **Focus Group Discussions**
  Focus Group Discussion is a method where a select group of people are gathered and engaged in dialogue to discuss several topics of interest. This method is best used when there are time constraints in individual interviews. It is most effective when the different groups of the affected community participate and are adequately represented during discussions.

E. Example of an evaluation tool

One example of the evaluation tool is the Facility Evaluation Tool for WASH in Institutions (FACET). It is designed for monitoring programmes related to water supply, sanitation and hygiene. It is an open-source platform for gathering both online and offline mobile data. It uses globally accepted indicators suitable for humanitarian and development interventions. It comes with a FACET analyser, an offline excel tool for comparing datasets, updating tables, and more.

F. Summary

- An evaluation tool is used to review WASH performance after a certain period of time to assess the effectiveness of the activities and the progress made.
- Using an evaluation tool helps improve future WASH programmes by systematically collecting and analysing current programme performance and impact.

2.3 Designing learning review work plan

A. Introduction

The purpose of designing and implementing a learning review plan is to help an organisation identify issues, uncover the reasons behind them, find ways to overcome those challenges and improve how they do things. Learning review work plans include data collection, analytical frameworks, and a timeline.

B. Designing monitoring and evaluation work plans for learning reviews

Monitoring and evaluation approaches and tools help learn reviews because they show the gaps in desired results versus actual results. The core elements of monitoring and evaluation work plan are (FHI,2004):

- **Establishing the scope**
  Determine the rationale for conducting monitoring and evaluation. Specify programme goals and objectives to focus on. Create realistic

expectations on what can be achieved by monitoring and evaluation efforts.

- **Methodological approach**
  Use or develop appropriate monitoring and evaluation methods, including identifying the questions to address, outcome indicators, data source, data collection tools, analytical frameworks.
- **Implementation plan**
  Develop monitoring and evaluation work plan, including the activities, people and resources needed, timeline, governance structure, and control measures.
- **Disseminating results**
  Analyse data and draft report. Establish a database and design a communication plan. Share findings and analysis to decision-makers, programme designers and managers using the appropriate content and medium.

C. Assessing if the monitoring and evaluation plan works

- Are stakeholders engaged and supportive of the monitoring and evaluation efforts?
- Is data available, accessible, and of quality? There may be a need to look for other sources of data.
- Are the monitoring and evaluation questions providing the answers needed? There may be a need to re-frame the questions.
- Is the scope still manageable? Be careful of scope creep.
- Are there any delays in the monitoring and evaluation activities? What are the implications?
- Is funding enough to complete the monitoring and evaluation work plan?

D. Summary

- The purpose of designing and implementing a learning review plan is to help an organisation identify issues, uncover the reasons behind them, find ways to overcome those challenges and improve how they do things.
- Monitoring and evaluation work plans have core components: scope, methodology, implementation, and dissemination.

2.4 Analyse data collected from the learning review process

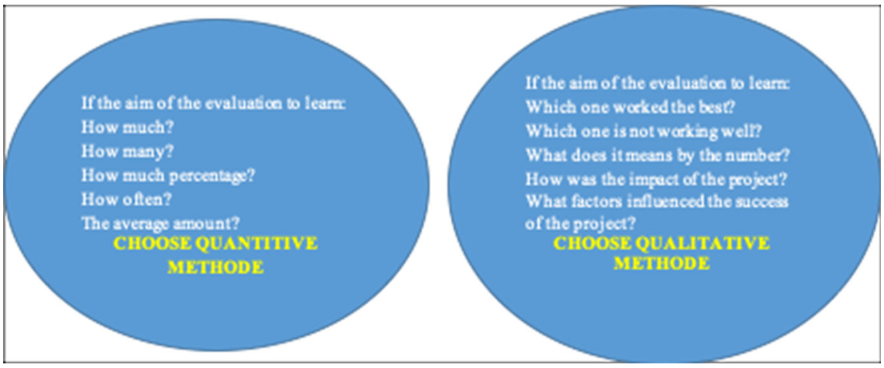
A. Introduction

It is better to assess programme outputs and outcomes using mixed and multiple methods. Mixed and multiple methods have more than one source of data and more than one way of collecting and analysing them. In principle, this allows programme managers to view observations from different perspectives.

B. Choosing quantitative and qualitative methods

The type of methods to use depends on the nature of questions that need answers or what an organisation seeks to evaluate and learn. Figure 2 provides a guide on determining whether to use quantitative, qualitative, or both.

Figure 3: Questions to determine evaluation method



Source: FHI,2004

C. Quantitative method

Quantitative data expresses a certain quantity, amount, or range with a measurement unit. It is often analysed using statistical techniques and tools. Below are the steps for summarising and analysing data using quantitative methods (FHI,2004):

- **Compile descriptive data**
  Use descriptive statistics to identify the main features of the data and conceive any pattern. In each survey question, tally the score and examine the distributions. Start by putting results together to see how many people choose a particular answer. The percentage will show the

proportion of the respondents' answers to each question. Arrange them into one standard scale so they can be compared across groups.

- **Calculate the measures of central tendency and dispersion**
  The next step is to identify the most representative score using measures of central tendency. The three measures are mode, median, and mean. The dispersion in the data is usually determined using range and standard deviation measures

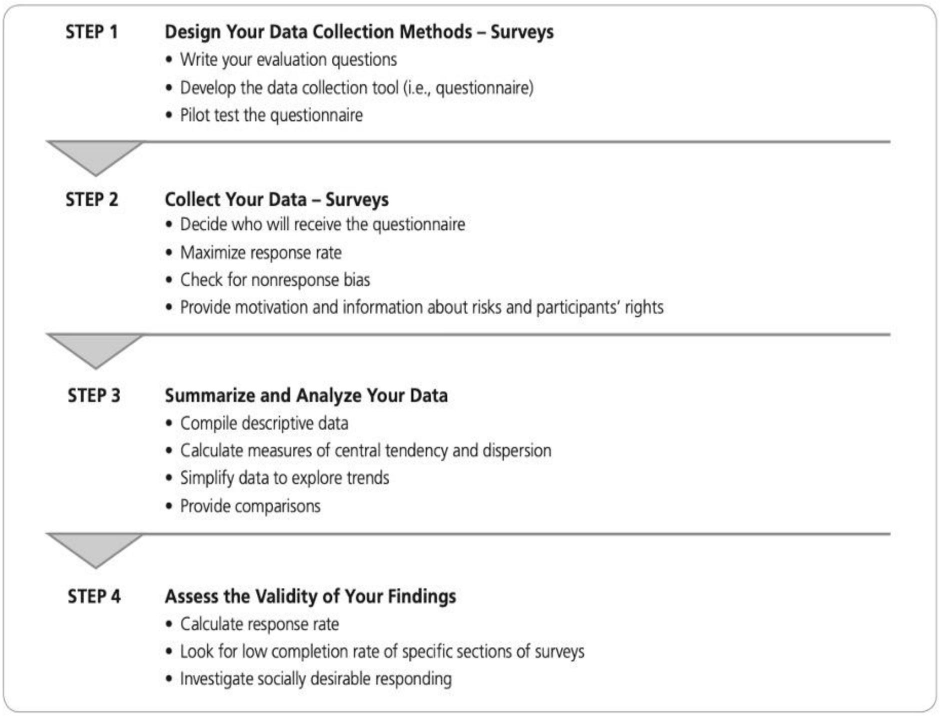
- **Simplify data**
  Emphasise the patterns in the data like where the results gravitate to, positive and negative trends, etc.

- **Provide comparisons**
  Create a matrix table to compare different data, contrast subgroups, and explore the overall patterns and distribution in the data.

D. Qualitative method

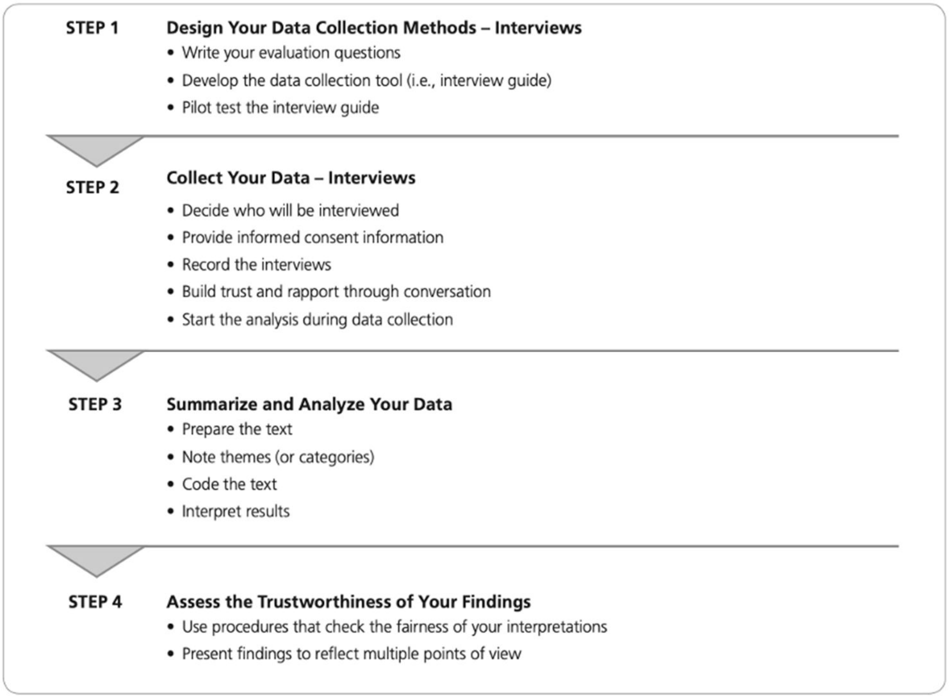
Qualitative data are non-numerical and describe characteristics or qualities. This data type is often collected using interviews, FGDs, observation, and questionnaires (surveys). It is usually presented in narrative form.

Figure 4: *Qualitative method using surveys*



Source: FHI,2004

Figure 5: Qualitative method using interviews



Source: FHI,2004

Steps in summarising and analysing interview data (FHI,2004):

- **Prepare the text**
  Review recording, transcribe interviews and create summaries. Transcripts and summaries should be appropriately labelled with respondent code and interview date, location, and length.

- **Note the themes**
  After preparing the transcripts and summaries, re-read the qualitative data, and note the themes. Create categories with descriptions and keep track of how data fits into those categories. There may be two tiers of categories: upper-level and lower-level. Upper-level categories are those that directly answer the interview questions. Lower-level categories are interesting and relevant data that supports upper-level categories.

- **Code the text**
  The relevant data should be systematically coded into themes. A general suggestion is only to use between 3-7 themes, so it is manageable. Software packages such as ATLAS (http://www.atlasti.com/), NVivo 9 (http://www.qsrinternational.com/products_nvivo), or HyperRESEARCH ((http://www.researchware.com) may be helpful.

- **Interpret results**
  The results of the analyses should be interpreted using a broader theme, such as the purpose and objective of the learning review. Interpreting the result involves answering questions such as:
  - Which activities worked well?
  - What were the challenges?
  - What kind of improvement can be done?
  - What are the outcomes?
  - What were unexpected discoveries reported?

It is essential to note the limitations of the result, such as the scope of interviews, profile of respondents, and so on.

E. Summary

- Mixed and multiple methods have more than one source of data and more than one way of collecting and analysing them. In principle, this allows programme managers to view observations from different perspectives.
- The type of methods to use depends on the nature of questions that need answers or what an organisation seeks to evaluate and learn.
- General steps in quantitative methods are: compile descriptive data, calculate the measures of central tendency and dispersion, simplify data, and provide comparisons.
- General steps in qualitative methods are: prepare the text, note the themes, code the text, and interpret the results.

2.5 Develop recommendations for future interventions

A. Introduction

One of the main reasons for conducting a learning review is to develop evidence-based recommendations for future interventions. Data should support the suggestions for improving organisational performance, capacity-building, stakeholder partnerships, programme management, and more.

B. How to deal with recommendations

Some of the most common recommendations for improving WASH programmes include building or repairing infrastructure, coordinating discussions with national or district authorities on new infrastructure plans, training staff using different approaches, adjusting management methods or implementing rules to improve behaviours. Before deciding what to implement, it is wise to consider the feasibility of recommended actions. One way to do this is to list what activities are within the organisation's control and those that require external support. WHO,2018 provides some guidelines on acting on the recommendations from learning reviews.

- **Make responses as specific as possible**
  Determine the person who will be in charge, when it is to be completed, and what kind of resources or support is required for each response. Every response should be realistically achievable in terms of capacity, time, and resources.

- **List improvement and preventive actions that require minimal effort, time, and resources**
  For example, one way to encourage cleanliness in the latrine area is to provide water and soap or place posters with pictures describing the basic hand hygiene principles.

- **Don’t underestimate change**
  Any action can make a difference, no matter how small it is. Installing a water supply is a massive effort, but small actions can be started in that direction. For example, the organisation can conduct advocacy campaigns for new water supply to local authorities or provide technical assistance on designing plans.

- **Continue looking for financial support and available infrastructure upgrades**
  Additional support can be gained from donors, NGOs, or even the government if the organisation shows that they have a detailed work plan.

- **Look beyond the short term**
  Some activities take time to produce the desired results. Remember that WASH efforts are continuous processes, and improvement can be achieved over time.

C. Summary

- One of the main reasons for conducting a learning review is to develop evidence-based recommendations for future interventions.
- Some of the most common recommendations for improving WASH programmes include building or repairing infrastructure, coordinating discussions with national or district authorities on new infrastructure plans, training staff using different approaches, adjusting management methods or implementing rules to improve behaviours.

2.6 Produce learning review documentation

A. Introduction

Documenting a learning review is more than just a record-keeping task. It is helpful not just for the organisation that conducted it but also for the WASH community. Good documentation captures and communicates the key principles that guide decision-making and action. It also identifies and highlights what to address and overcome to improve and progress. Therefore, it provides an evidence-based strategy design.

B. Documenting the learning review

Documentation is also a communication tool. They should have:

- A logical structure to organise material and avoid repetition
- Headings that act as signposts for readers and relevant content
- Consistent terms and title, with explanations of technical terms
- Concise and clear writing style, avoiding complicated and long sentences

Learning review documents may include (GWC,2017):

- Learning needs review
- Competency frameworks
- Audit of training courses
- Alternative pathways for capacity-building

Documenting good practice and lessons learned is essential, but it is not enough. A significant challenge is passing the good practices and lessons learned and applying them in succeeding efforts. The WASH Cluster Performance Review mechanism is currently the only formal mechanism for discussing good practices and learning.

The REWAs also play a role in disseminating good practices and lessons at the regional level. Globally, the WASH CAST team promotes good practices and learning through various projects and resources such as the Hygiene Promotion and Information Management projects.

C. Summary

- Documenting a learning review is more than just a record-keeping task. Good documentation captures and communicates the fundamental principles that guide decision-making and action.
- The key documents are learning needs review, audit of training course, competency framework, and training pathways. It is helpful not just for the organisation that conducted it but also for the WASH community. It also identifies and highlights what to address and overcome to improve and progress. Therefore, it provides evidence-based strategy design

4.3 Element 3. Report the progress of WASH interventions

3.1. Select appropriate learning modalities and strategy based on the context and needs

Other sectors such as the health, shelter, camp coordination and camp management (CCCM) or food security and nutrition may have different objectives, but they often share wider goals (such as improved health, safety and security of the population, improved information for planning, improved efficiencies and targeting of resources or increased trust in public services). Hence cross-sector coordination is vital to identify and use synergies, develop collective outcomes and ensure a coordinated response. It may include joint training, initial multi-sectoral needs assessments, the continuous sharing of information across sectors and the active involvement of other sectors in planning and coordinating WASH interventions. It may also include coordinated programming with other sectors, for example coordinating the joint distribution of non-food items with the shelter sector and the CCCM, or coordination with the nutrition sector to prioritise WASH interventions in communities where nutrition standards are not met and vulnerability to disease may be higher. Coordination with other sectors can also help address cross-cutting issues such as safety and protection (including child protection and gender-based violence).

Because of the life-saving nature of emergency coordination mechanisms, there can be weaker links to existing development sector coordination platforms. However, coordination efforts must be aligned with the development sector, particularly during the non-acute stabilisation and recovery phase. Coordination with local entities responsible for host communities is also vital to avoid adverse effects and tensions between the affected population and host communities (i.e. ‘do no harm’). In refugee or internally displaced contexts, implementing organisations need to coordinate to ensure the continuity of WASH services and establish comparable service levels in different locations and between refugee and host communities. This coordination will also support longer-term operation and maintenance, build sustained changes in hygiene behaviour and improve the safety and protection of the affected population. In protracted crises it is of particular importance that development and humanitarian actors work side-by-side to address structural and economic impacts and help prevent further fragility and instability.

Important

Local development actors, platforms and civil society should be actively engaged in the coordination structures to make use of comparative advantages, their expertise and experience in the area and to ensure an incremental hand-over to development partners A.5.

Process & Good Practice

- Share information transparently with other stakeholders during sector/cluster meetings (e.g. minutes of coordination meetings, assessment and monitoring tools and data, information on existing and planned programmes, intervention areas, disease prevalence, or WASH service levels).
- Ensure that the language used in coordination meetings allows for adequate participation of key stakeholders. Consider how interpreters and translators can be used to support this as required.
- Identify and follow up on the action points from coordination meetings (these should clearly state roles, responsibilities and deadlines).

- Work with the WASH cluster's Technical Working Group (TWiG) dealing specifically with hygiene promotion (HP) to ensure it is given adequate attention. Advocate for a TWiG if none exists P.10.
- Coordinate with a Risk Communication and Community Engagement (RCCE, C.9) working group if one exists. RCCE and HP share common goals that benefit from coordinated activities and information sharing.
- Consider the sustainability of the HP response for the affected population. Any intervention using only INGOs, or NGOs will not be sustained once external donor funding ends. In displacement (on and off camp) settings consider providing support through a WASH Committee T.55 with a hygiene focal point and, where possible, coordinate and collaborate with local health visitors or local government hygiene workers.
- Facilitate representation from hygiene committees in WASH cluster, Hygiene TWiG or other sectoral meetings. Coordinate with the committee when donors or senior humanitarian staff visit field projects and ensure that they are introduced to senior staff and included in meetings.
- Share information between coordination meetings in the non-acute stage of an emergency, to reduce the information load during meetings.
- Ensure that there is well-briefed agency representation at the meetings and in the sector working groups to facilitate effective information flow between different sectors.
- Collaborate with government ministries and personnel and involve them in decision making about the WASH programme.
- Train government workers and national NGOs, women's groups, organisations of persons with disabilities, co-operatives and faith-based institutions. Consider using online training services such as MOOCs (Massive Open Online Courses) in hygiene and in subjects such as upcycling waste into valuable products or treating waste so that it is less harmful to the environment and health.
- Establish links with the development sector for menstrual hygiene management and adolescent sexual reproduction education.

Reporting Requirement

Program reporting is an essential part of engaging stakeholders, obtaining and maintaining funding, and creating momentum for a WASH program. These program reporting requirements are guidelines selected from a variety of funding, governmental and non-governmental sources. Despite the range of possible report requests your program may receive, this document offers examples of which reports should be considered by your program as a guide. Your program should be adapted to suit your specific situation.

a) Activity report
The activity report is a narrative describing in clear and concise terms, a program's progress at the end of a specific period of time. It summarizes the activities accomplished and focuses on activity challenges, activity budget, and activity planning. It may not include lessons learned, financial updates or recommendations for future programming. An activity report can be done monthly or quarterly.

(b) Progress report
A progress report is a high-level summary of the program's progress. Its primary purpose is to ensure that the project coordinator's supervisor or project manager are informed of the program status. It discusses if the program will be completed on time, on budget, and with quality deliverables. It aims to summarize barriers, deviations, complications, and solutions. It justifies decisions or actions to confirm implementation of the program is timely and informed. Although progress reports are required on a yearly basis, more frequent reports can be produced as the program coordinator's supervisor deems necessary.

(c) Funder report
A funder report is a formal approach to engage with funders or donors by communicating the program's progress, both successes and challenges. It clarifies if the program spent the money how they said they would. It provides justification for funders to know they have achieved their aims by donating. When written well, funder reports can lead to future funding as the donor recognizes the organization is accountable and credible.

(d) Financial report

- **Partners** must submit program expenditure statements regularly as per the partnership agreement, but minimally they should be submitted quarterly. An annual account statement could also be considered showing the amount budgeted for the year, and the amount expended since the beginning of the program year.

- **Program:** Likely quarterly financial reports will be required specifying the amount of money received within the reporting period and the percentage of it that was used. Efficiency is the issue here. Have resources been used in the best way possible? Why or why not? Are they accounted for accurately? What discrepancies occurred and why? Most donors will provide clear instructions for financial reports and report frequency.

(e) Lessons learned report
This report brings together the lessons learned during a program that can help change organizational culture, overcome perfectionism, and create reflexive strategies for subsequent programs. In the identification and dissemination of

these lessons, program designers, implementers and organizations reframe failure into changeable strategy for future application. These appraisals evaluate the extent of achievement of results, status and challenges of program implementation, budget management issues, gender, age, and disability issues, sustainability arrangements, impacts and risks.

(f) Final report
The final report is required on completion of all programs. The report contains information on the inputs, outputs, outcomes, and impact. Justification for changes to the program plan, budget and any variances from the originally approved program in terms of duration, cost, results and outputs or services. The final report is similar in content to the progress report, except it has added information on project sustainability and replicability.

(g) Annual Progress Report
An annual report is a comprehensive document reflecting the program's activities and outcomes from the preceding year. Annual reports are intended to engage stakeholders from all levels of power and interest to inform them about the program's goal and objectives, activities, financial performance, impact and future plans. It is an opportunity to familiarize new and old stakeholders and management with the program team and community accomplishments.

Self-assessment Checklist

ADM.TEC.023.2

Learner's Guide

Self-assessment Checklist

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

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

Oral Interview and Written Test Guide

ADM.TEC.023.2

Learner's Guide

Oral interview and written test guide

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

On observations

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

On oral interview

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

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

ACF – IN. (2007). *How to make WASH projects sustainable and successfully disengage in vulnerable contexts*. Accessible here

FANTA. (2016). *Sustaining Development: Results from a Study of Sustainability and Exit Strategies among development Food Assistance Projects – Kenya Country Study*. Accessible here

FEMA. (2011). *National Disaster Recovery Framework: Strengthening disaster recovery for the Nation.* Accessible here

Gardner, A., Greenblott, K., & Joubert, E. (2005). *What we know about exit strategies: practical guidance for developing exit strategies in the field.* Accessible here

Glesne, C. (1999). *Becoming qualitative researchers*. 2nd ed. New York: Longman.

IDB. (2017). *Meaningful Stakeholder Consultation.* Accessible here

IFRC. (2017). *Community Engagement and Accountability toolkit.*

Miles MB; Huberman M. (1994). *Qualitative data analysis.* 2nd ed. Thousand Oaks, CA: Sage.

Oxfam. (2013). *Oxfam Minimum Requirements for WASH Programmes (MR-WASH).* Accessible here

Oxfam. (2020). *Rough Guide to Exit Strategies*. Accessible here

Taylor-Powell ET, Renner M. 2003. *Analysing qualitative data*. Madison, WE: University of Wisconsin- Extension.

Thomas DR. (2006). *A general inductive approach for analysing qualitative evaluation data.* American Journal of Evaluation. 2006; 27: 237-246. Accessible here

UNDP. (2014). *Post-Disaster Needs Assessment Guidelines Volume B: Water & Sanitation.* Accessible here

Learning Resources

Tyler-Powell, E. & Renner, M. (2003). *Analysing Qualitative Data*. University of Wisconsin. Accessible here.

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ASEAN Standards and Certification for Experts in Disaster Management

THE AHA CENTRE

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