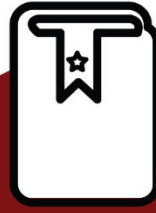


**LEARNER'S  
GUIDE**



**TECHNICAL COMPETENCY UNIT**



**ADM.TEC  
024.2**

Analyse the Developing Situation  
Related to WASH



ONE ASEAN  
ONE RESPONSE

**ASCEND**

ASEAN Standards and Certification  
for Experts in Disaster Management

## ASEAN Standards and Certification for Experts in Disaster Management

# ANALYSE THE DEVELOPING HUMANITARIAN SITUATION RELATED TO WASH

ADM.TEC.024.2

### 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.

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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.

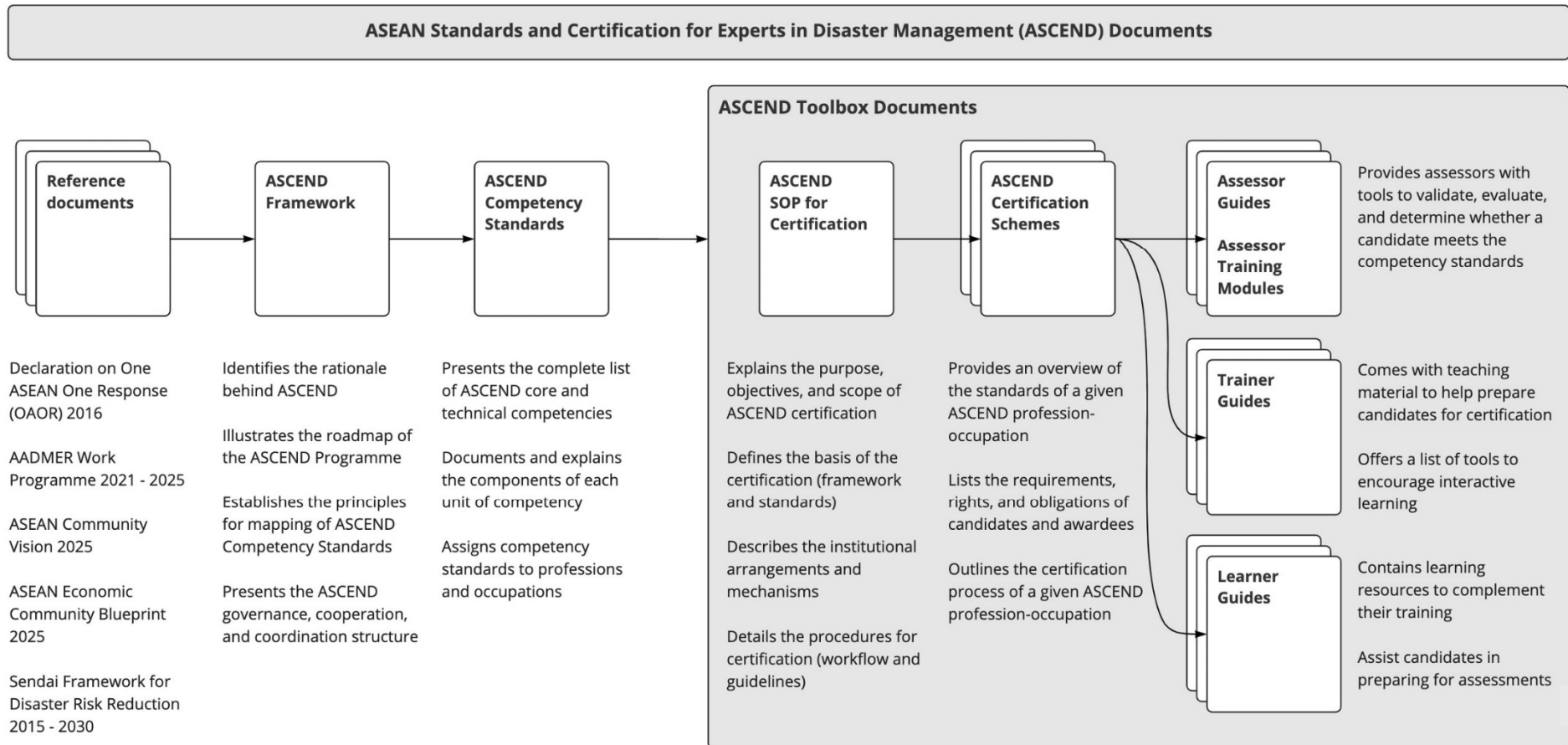
Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of an SOP, Certification Schemes, Assessor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



**ASCEND**

Welcome and thank you for your interest in pursuing an ASCEND certification. This Learner Guide is for you to read. It contains learning resources and helps you prepare for the required assessments: oral interviews, written tests, and observation checklists.

## Competency-based learning and assessment

**Competency** is the attitude and ability to use or apply one's experience, knowledge, and skills-sets to perform critical job functions in a defined work setting.

*Table 1: Competency areas and descriptions*

Competency area	Description
<b>Experience</b>	Refers to the qualifications of the candidate that make them eligible to pursue certification. It includes the candidate's formal education, work experience, professional training, and job-relevant life experiences.
<b>Knowledge</b>	Refers to what the candidate needs to know to make informed decisions on how to perform the work effectively.
<b>Skills</b>	Refers to the ability of the candidate to apply knowledge to complete occupational tasks and produce work outcomes or results at the standard required.
<b>Attitudes</b>	Refers to associated beliefs, feelings, motivations, and values that influence a candidate to make decisions and act according to occupational standards and the professional work setting.

There is one Learner Guide for each unit of competency. The Competency Standards and Unit Descriptor section of this document outlines the content you will be studying – broken down into elements and performance criteria that will be covered during training and assessed using competency-based



methods. This guide contains a glossary of terms, a list of abbreviations, readings and activities, a self-assessment checklist, and information about the oral interviews and written tests.

**Competency-based methods** help ensure that the ASCEND certification process is relevant, valid, acceptable, flexible, and traceable – in alignment with the ASEAN Guiding Principles.

The relevance principle confirms that the ASCEND certification reflects the current professional needs in the disaster management sector. The validity principle relates to the consistency and equitability of the assessment process. The acceptability principle is about aligning the ASCEND certification to other disaster management professional standards and good practices. The flexibility principle refers to the responsiveness of the ASCEND certification to changes or differences in disaster management work settings and job requirements. The traceability principle ensures that evidence is sufficient to grant the ASCEND certification.

**Competency-based assessment (CBA)** is the process for evaluating whether a professional is qualified and competent to perform in a particular occupation. CBA is used to determine if the candidate's experience, knowledge, skills, and attitudes meet the standards and performance criteria defined in a unit of competency.





# ASCEND Competency Standards and Unit Descriptor



**ASCEND**

**3.1**

## Competency standards

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

**3.2**

## ASCEND Competency Standards

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

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



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

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

Component	Description
<b>Unit title</b>	Describes the critical work function to be performed in an occupation
<b>Unit number</b>	<p>A coding system to organise the units of competency. It also indicates the types of competency standards.</p> <ul style="list-style-type: none"> <li>▪ ADM.<b>COR</b>.000.0 are core competencies. These are general professional knowledge and skills related to international humanitarian principles and disaster management standards, including ASEAN mechanisms and procedures.</li> <li>▪ ADM.<b>TEC</b>.000.0 are technical competencies. These are specific knowledge and skills needed to perform effectively in work areas under their chosen disaster management profession and occupation.</li> </ul>
<b>Unit description</b>	Provides information about the critical work function covered by the unit.
<b>Elements</b>	Presents the occupational tasks required to perform the critical work function in the unit.
<b>Performance criteria</b>	Lists the expected outcomes or results from the occupational tasks to perform and the standard required.



**3.3**

## Unit descriptor

**Unit title** : **Analyse the Developing Humanitarian Situation Related to WASH**

**Unit number** : ADM.TEC.024.2

**Unit description** : This unit deals with skills and knowledge required to design and plan a project for a range of issues within WASH in emergencies.

### Element 1.

**Collect data to plan and design the emergency WASH response**

#### Performance Criteria

- 1.1 Support effective and coherent WASH assessment, analysis and feedback involving all relevant partners
- 1.2 Coordinate with relevant stakeholders within the assigned activity area
- 1.3 Coordinate data collection from the need assessment
- 1.4 Contribute to the development of the need assessment recommendations and report

### Element 2.

**Contribute to designing customised WASH assessment tools**

#### Performance Criteria

- 2.1 Identify potential effects of multi-hazard incidents
- 2.2 Identify secondary consequences in multi-hazard incidents
- 2.3 Work collaboratively, including with other sectors, to contextualise WASH assessment tools

### Element 3.

**Contribute to implementing exit strategy of WASH programme**

#### Performance Criteria

- 3.1 Identify barriers to sustainability and contribute to solutions to overcome these barriers
- 3.2 Work cooperatively with others to strengthen the organisation's WASH regular/development programme through recovery activities
- 3.3 Coordinate the recovery/transition phase of the community elements of emergency WASH programmes, ensuring sustainability of all interventions



## 3.4

# Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
<b>AADMER</b>	ASEAN Agreement on Disaster Management and Emergency Response
<b>ACAPS</b>	Assessment Capacities Project
<b>ACDM</b>	ASEAN Committee on Disaster Management
<b>AGP</b>	ASEAN Guiding Principles
<b>AHA Centre</b>	ASEAN Coordinating Centre for Humanitarian Assistance on disaster management
<b>AMS</b>	ASEAN Member States
<b>AQRF</b>	ASEAN Qualifications Reference Framework
<b>ASCEND</b>	ASEAN Standards and Certification for Experts in Disaster Management
<b>ASEAN</b>	Association of Southeast Asian Nations
<b>CBA</b>	Competency-Based Assessment
<b>ECB</b>	Emergency Capacity Building
<b>FGD</b>	Focus Group Discussions
<b>GWC</b>	Global WASH Cluster
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome
<b>INGOs</b>	International Non-Governmental Organisation



<b>IPCC</b>	Intergovernmental Panel on Climate Change
<b>KNFA</b>	Korean National Fire Agency
<b>LGBTQ</b>	Lesbian, Gay, Bisexual, Transgender, Queer/Questioning
<b>MRA</b>	Mutual Recognition Arrangement
<b>NGOs</b>	Non-Governmental Organisation(s)
<b>OAOR</b>	One ASEAN One Response
<b>SME</b>	Small and Medium-Sized Enterprise
<b>SOP</b>	Standards Operating Procedures
<b>UNDRR</b>	United Nations Office for Disaster Risk Reduction
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations International Children's Emergency Fund
<b>WASH</b>	Water, Sanitation and Hygiene
<b>WASH BAT</b>	WASH Bottleneck Analysis Tool





# Unit Readings and Activities



**ASCEND**



## 4.1

# Element 1. Collect data to plan and design the emergency WASH response

## 1.1 Support effective and coherent WASH assessment, analysis and feedback involving all relevant partners

### A. Introduction

Part of planning and designing an appropriate WASH response is to conduct assessments, perform analysis, and seek feedback to increase WASH programmes' effectiveness and coherence. Since no organisation can provide all the functions of WASH, it is crucial to engage and work with partners throughout the process.

### B. Supporting a WASH assessment

In an emergency, organisations identify and quantify the humanitarian needs of a disaster-affected community through needs assessments. Assessments are the standard method used to answer the question, “What assistance do disaster-affected communities need?”. Data from WASH need assessments guide the design and implementation of an emergency WASH response. It allows the organisation to make informed decisions about how to distribute resources and gather additional resources to satisfy the needs of the disaster-affected communities.

These [basic principles](#) help ensure the effectiveness and coherence of WASH need assessments:

- Align the scope of the assessment with the nature of the emergency. Consider the technical sectors, the operating environment, and the baseline for measuring the impact.
- Conduct timely and relevant analysis. Review existing data, conduct the assessment, perform analysis, and share findings as soon as possible.
- Gather usable data. Disaggregated data are more useful in decision-making.
- Use recognised methods. Follow standard procedures, and emphasise the methodology you use in the report.
- Be accountable. Seek the involvement of community members in every phase.
- Collaborate with others. Coordinate the overall effort with other stakeholders to prevent gaps and redundant efforts.
- Ensure availability of resources. The assessment team must have adequate logistics, transport, and communication support.



- Mobilise local capacities. Identify and mobilise local capacities to assist in disaster response, especially vulnerable and marginalised groups.
- Manage expectations. Manage the expectations of the affected community and other stakeholders.
- Make continuous assessments. Assessment is not a one-off activity because of the nature of emergency changes. Further assessments are needed to help organisations adapt to evolving needs.

**A WASH assessment typically occurs in five steps:** identify resources and compile an assessment plan, collect data, analyse and interpret findings, report conclusions, and design and modify interventions.

## C. Supporting a WASH analysis

The analysis phase aims to organise, synthesise, and examine the data gathered during the WASH assessment. The analysis produces findings and recommendations that feed into WASH action plans. These plans outline short- and medium-term WASH response activities. The methods and tools for analysis will depend on the questions an organisation seeks to answer using the needs assessment data.

## D. Supporting WASH feedback

Providing regular and constructive feedback helps facilitate continuous improvement in WASH programmes. There should be a mechanism where the affected community, governments, partners, and stakeholders from other sectors to provide feedback on WASH activities. For instance, they can give feedback on the usability of the WASH facilities or whether they feel safe when using them. Asking for feedback should be done in an organised and coordinated manner. But it is not enough to collect feedback. Organisations that set up feedback mechanisms should follow up and act on them. Not doing so can reduce trust. Special attention should also be given to vulnerable and marginalised community groups. There are various options for obtaining feedback, such as Focus Group Discussions (FGD), community engagement activities, and informal conversations with the affected community.

The WASH assessment, analysis, feedback effectiveness and coherence depend on productive partnerships and good coordination. To make this work, organisations and their partners need to have clear agreements in line with each other's mandate and obligations while recognising each other's constraints and commitments.



## E. Indicators and strategies for improving WASH assessments, analysis, and feedback

### Indicators

- Every community impacted by the crisis, particularly the most vulnerable, receive adequate and timely WASH assistance
- The WASH response satisfies its objectives in terms of time, quality, and quantity
- Gaps and overlaps in WASH activities are minimised through coordinated actions
- Formal and informal coordination mechanisms to share WASH information between organisations and affected communities are available and working

### Strategies

- Design WASH programmes that adopt good practices and contribute to building safe communities
- Identify all the relevant stakeholders involved in the response, including their roles and capacities. Coordinate with partners to increase coverage and service supply of WASH.
- Refer any unmet requirements to organisations with the technical knowledge and mandate to solve them
- Monitor WASH response activities, outputs, and results to know when to alter programmes and resolve poor performance. Share necessary information with partners and other stakeholders through appropriate communication channels.

### Summary

- Part of planning and designing an appropriate WASH response is to conduct assessments, perform analysis, and seek feedback to increase WASH programmes' effectiveness and coherence.
- Assessments are the standard method used to answer the question, "What assistance do disaster-affected communities need?"
- The goal of the analysis phase is to organise, synthesise and examine the data gathered during the WASH assessment. The methods and tools for analysis will depend on the questions an organisation seeks to answer using the needs assessment data.
- Providing regular and constructive feedback helps facilitate continuous improvement in WASH programmes.



## 1.2 Coordinate with relevant stakeholders within the assigned activity area

### A. Introduction

All WASH activities are rarely successful when performed as individual activities. This case applies to WASH assessment, analysis and feedback that require multi-stakeholder involvement. Working with partners can increase coverage of WASH activities, service supply, and quality. It can also encourage buy-in and mobilise support needed for larger and longer-term programmes.

### B. Coordination in WASH

The [UNHCR WASH Manual \(2020\)](#) describes the roles and composition of WASH assessment teams. Each team member will have different perspectives, knowledge, and specialisations. They must coordinate to make WASH assessments more effective and coherent.

*Table 3: Composition of WASH assessment team*

Team member	Proposed activity
<b>WASH specialist</b>	Engineering assessment, key information interview
<b>Site planner</b>	Site assessment, key informant interview
<b>Hygiene specialist</b>	Focus group discussion (FGD), key informant interview
<b>Protection specialist</b>	Focus group discussion (FGD), key informant interview
<b>Local community representative</b>	Guide/instructions, assist with key informant/interview, focus group discussions (FGD)

Source: UNCHR (2020)

Other stakeholders may be included in assessment teams depending on location, context, and governance structure. These stakeholders include representatives from:



- Formal and informal local leaders (e.g., village heads, religious leaders)
- At-risk groups (e.g., women, expecting mothers, children, elderlies, people with disabilities, HIV/AIDS positive, LGBTQ)
- Workers association groups (e.g., farmers, fisheries, SME groups)
- Government agencies from the WASH sector or other relevant sectors
- NGOs
- Private sector
- Research institutions
- Media agencies

The table below presents a stakeholder engagement guide for needs assessment adapted from [Watkins \(2012\)](#).

**Table 4:** Stakeholder engagement guide for need assessments

Stakeholders (Information sources)	Strategic needs assessment	Tactical need assessment	Operational need assessment
<b>Clients</b>	***	**	*
<b>Customers</b>	***	**	*
<b>Community members</b>	***	**	*
<b>Senior managers</b>	***	***	*
<b>Functional heads or managers</b>	**	***	***
<b>Performers</b>	*	**	***
<b>Supervisors</b>	*	**	***
<b>Suppliers</b>	**	**	***
<b>Volunteers</b>	**	**	***
<b>Ministry official</b>	***	**	*
<b>Elected officials</b>	***	**	*
<b>NGOs</b>	***	**	*



Stakeholders (Information sources)	Strategic needs assessment	Tactical need assessment	Operational need assessment
Local community or groups	***	**	*
Executive sponsor	***	***	**
Project Manager	***	***	***
Administrative staff	**	*	*
Data collection staff	*	**	**
Communication staff	***	**	*

Source: Watkins (2012)

Note:

\*= Valued partners who, if available, can improve the quality of the assessment

\*\*= Important partners who, although not essential, contribute to a successful assessment

\*\*\*= Critical partners whose participants are essential for success

## C. Standard Operating Procedure (SOP)

Whenever feasible, all WASH organisations and partners should utilise the same data collection approach, standards, indicators, tools, methods, and operational datasets (based on agreed common population names, population sizes, and administrative boundaries). A common approach is required to ensure that the data gathered can be compared, contrasted, and collated into a single database for shared analysis. The standards, indicators, tools, and methods must be developed ideally as a part of WASH preparedness activities.

A Standard Operating Procedure (SOP) is required when coordinating with relevant stakeholders in an assigned activity area. The SOP is a set of step-by-step instructions compiled by an organisation to help the staff carry out routine operations. Using an SOP helps achieve efficiency, improve quality output, and create uniformity in performance. When establishing an SOP in the context of WASH activities, one must take the following into account:



- The programme's flexibility: Can it accommodate other partners and other stakeholders?
- The capacities of each partner: Is there enough diversity in mandates, knowledge, and specialisations?
- The shared vision between partners: Are your partners working towards a common goal?

Implementing an SOP must include a non-technical briefing first, followed by technical explanations and step-by-step instructions. The number of SOPs needed will depend on the complexity of the programme. But organisations need to be aware too many SOPs can also make WASH activities too mechanical and rigid. Below are some examples of SOP that may be needed in WASH activities:

- SOP for conducting need assessments using certain tools
- SOP for receiving funds and managing budgets
- SOP for performing focus group discussions with affected community members
- SOP for managing WASH cluster coordination meetings
- SOP for distributing hygiene kits
- SOP for conducting primary surveys
- SOP for assuring the assistance of vulnerable and marginalised groups
- SOP for media engagement and representing the WASH programme
- SOP for regular monitoring and evaluation and use of tools
- SOP for creating internal and external reporting with the document template

Below is a sample SOP guidance for conducting refugee WASH coordination meetings from the [Global WASH Cluster \(2009\)](#).

### **Before the meeting**

- If appropriate, ensure (or advocate strongly) for government coordinating or coordinating refugee WASH coordination meetings, particularly in early response.
- Ensure that there is a clear plan that is circulated well in advance. Ensure the Advisory Committee approves the plan.
- Ensure sufficient information for participants to know what to do to prepare in advance (especially those making presentations).
- Ensure WASH actors are contacted to facilitate different parts of the meeting. The variety in presentation style can help keep participants active. It also demonstrates collaboration.



- Ensure a suitable venue for facilitating productive meetings and sharing information. Consider whether venues are appropriate (e.g., many INGOs are uncomfortable or have security restrictions imposed on attending meetings within UN compounds or in hotels used mainly by expatriates). Consider rotating the meeting among refugee WASH sector members' offices.
- Ensure all the required resources (e.g., projectors, extension cables, whiteboards, maps, reports, refreshments).

### During the meeting

- Ensure that the meeting starts promptly and finishes on time. Try to keep the timings to those in the published schedule without limiting time for discussion.
- Allow all members to introduce themselves and provide a short (two-minute) agency update. Allow actors enough time to feel engaged in the meeting (break the ice) - but do not allow actors to talk endlessly. Detailed agency updates should be shared through other means (e.g., written updates and 3W, 4W).
- Ensure that the objective of the meeting is understood and achieved. As the meeting progresses, compile a clear summary of short-, medium- and long-term action points (WHO, WHAT, WHERE, WHEN, HOW). Summarise what needs to be done before the following meeting at the end of the meeting.
- Share and discuss the latest 4W Matrix. Update the 4W matrix based on WASH agency resources. Allocate additional resources are available.
- Share and discuss the short, medium and long-term thematic strategies.
- If lengthy topics for discussion arise, consider the option of tackling them within a separate Technical Working Group or the Advisory Group.

### After the meeting

- Ensure that the meeting starts promptly and finishes on time. Try to keep the timings to those in the published schedule without limiting time for discussion.
- Allow all members to introduce themselves and provide a short (two-minute) agency update. Allow actors enough time to feel engaged in the meeting (break the ice) - but do not allow actors to talk endlessly. Detailed agency updates should be shared through other means (e.g., written updates and 3W, 4W).



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## D. Summary

- Ensure that the meeting starts promptly and finishes on time. Try to keep the timings to those in the published agenda without limiting time for discussion.
- Allow all members to introduce themselves and provide a short (two-minute) agency update. Allow actors enough time to feel engaged in the meeting (break the ice) - but do not allow actors to talk endlessly. Detailed agency updates should be shared through other means (e.g., written updates and 3W, 4W).
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- If lengthy topics for discussion arise, consider the option of tackling them within a separate Technical Working Group or the Advisory Group.



## 1.3 Coordinate data collection from the need assessment

### A. Introduction

Data is a crucial part of needs assessment. The whole activity revolves around data collection and analysis, verification and validation, and communicating the information drawn from the data. Primary and secondary data are general categories of data in a needs assessment.

### B. Needs assessment database

Need assessment should start with secondary data, for it takes less time, money and effort than collecting primary data. Gathering primary data is done only if necessary. Much of the information an organisation needs may already be available and accessible through secondary data sources. But an organisation must determine whether the quality of the data is adequate for their needs assessment. In the early days of an emergency, avoid asking too many questions. Collect only as much information as is required to make the critical decisions for the immediate response.

#### Secondary data

Secondary data is collected by another party other than the primary user. Gathering secondary data is the first step to:

- Raise awareness of the current situation
- Set a baseline for assessing disaster impacts
- Identify information gaps that future assessments can fill
- Choose assessment locations and target demographic
- Explore alternative outcomes of planned activities through scenario-building

Secondary data used for developing baselines information for emergency response are: the population and its distribution, spatial data, socio-economic data, health data; food security and nutrition data, water availability and access data, hygiene and sanitation practices, utilities location and status, infrastructure location and status, disaster preparedness and contingency plans, other useful maps and satellite imagery.

#### Primary data

Primary data is directly collected from the field by a primary user (e.g., organisation) for specific purposes through direct observation, key informant



interviews, focus group discussion and other methods. Primary data will not usually be the main source of information until after the first few weeks of an emergency. It is gathered to fill the information gaps discovered during secondary data analysis.

Analysis should begin as soon as new data (secondary or primary) is received and continue as long as new data is obtained and needed. The process of the analysis entails combining and interpreting existing data. It can begin by comparing the data from multiple places and groups to detect similarities and differences to assist us in how the problem has evolved and will continue to develop. It also aids in determining which groups, locations, and activities to prioritise. It is also vital to track data sources to refer to them in the future.

## C. Communicating the data

Data from needs assessment can lead to a better understanding of the humanitarian situation. Therefore, organisations should share their data with partners and other stakeholders they work with using the right messages and medium at the right time. Here are the [general steps when communicating data](#):

### 1. Identify the needs of internal and external audiences

- External audience: disaster-affected communities, local and national authorities, organisational partners, cluster members, UN and other international agencies, donors, and the media.
- Internal audiences: senior management team, regional and global offices, national and local offices, staff and advisors hired by the organisation to conduct the needs assessment.

### 2. Identify the appropriate format for the audience

There are various format choices, such as assessment report, situation report, PowerPoint presentation, briefing note, verbal briefing, maps, infographics, graphs, charts, etc. Each audience may request a specific format, but others may not. In any case, the needs assessment team must identify which format is appropriate for certain audiences, or instead, we construct a general format suitable for all audiences.

### 3. Determine methods to share the findings

After choosing a specific format, the next thing to think about is how to share it. If an online medium is preferred, this can be done using email, teleconferencing, or web posting. If the preferred medium is offline, it can be shared through meetings, presentations, or handing out printed work.



## D. Data verification and validation

Verification and validation are the continuous practice of comparing the data collected by an organisation with data gathered by other sources. Verification is not about confirming the results but rather about making sense of similarities and differences in the datasets. Validation is also essential because it helps surface biases and errors. Some elements to consider when validating data:

- The quality of evidence
- The reliability of the methods and tools used
- The reputation of the data source
- The number of times data was cross-checked

Table 5 below shows four ways to validate the findings

**Table 5:** *Four ways to validate findings*

Ways to validate our findings	Explanation
<b>Cross-checking</b>	Comparing our data other data with different sources (e.g., comparing population estimates from multiple sources)
<b>Convergence</b>	Ensuring that some evidence from different sources points to one conclusion (does not contradict)
<b>Consultation</b>	Considering biases in data that involve many stakeholders with varied expertise.
<b>Confidence</b>	Balancing the strength between our evidence with the amount of agreement among stakeholders.

Retrieved from [ACAPS \(2014\)](#)

## E. Summary

- Need assessment should start with secondary data, for it takes less time, money and effort than collecting primary data. Gathering primary data is done only if necessary.
- Secondary data is collected by another party other than the primary user. Gathering primary data is done only if necessary. Much of the information an organisation needs may already be available and accessible through secondary data sources.



- Primary data is data directly collected from the field by a primary user (e.g., organisation) for specific purposes through direct observation, key informant interviews, focus group discussion and other methods. It is gathered to fill the information gaps discovered during secondary data analysis.
- When communicating our data, identify the audience, the appropriate format, and the methods for sharing.
- Verification is not about confirming the results but rather about making sense of similarities and differences in the datasets. Validation is also essential because it helps surface biases and errors.
- There are four ways to validate findings: cross-checking, convergence, consultation, and confidence

## 1.4 Contribute to the development of the need assessment recommendations and report

### A. Introduction

Most formal needs assessment concludes with a report or presentation. A report or presentation, or both, is often the medium for sharing findings and recommendations with internal or external partners. It will be beneficial to understand the report's purpose or presentation before conducting the needs assessment so the team knows the specific data to prioritise, analyse, and share.

### B. Needs assessment recommendations

Actionable recommendations usually describe vital issues, the proposed approach, the suggested management structure, staffing requirements, roles and responsibilities, budget, resource requirements (e.g., equipment, supplies), critical timings and timelines. It may also consider implications for the following functions:

- Information and communication technology and management
- Donor relations, fundraising, and media management
- Humanitarian logistics and supply chain management



It is also helpful to address these questions when developing, framing, and providing recommendations to different stakeholders:

- How is the disaster likely to influence pre-disaster vulnerability?
- What is known about the consequences of previous or another disaster in the region?
- What does this tell us about the disaster's probable evolution?
- What are current coping strategies, and how can these be supported?
- What factors could worsen the conditions?
- Is external assistance required, and what are the appropriate responses?

### C. Need assessment reports

Needs assessment reports need to be easy to read and as user-friendly as possible. People also tend to read shorter documents that go straight to the point. Start with an executive summary and then emphasise significant themes using bullet points. Provide a brief of the disaster. Present the results and analysis of the findings. Use footnotes to identify references and sources. Incorporate visual aids (e.g., maps and graphs) when appropriate. Insert a summary of the approaches, methods, and tools used for data collection and analysis in the main body or as an annex. It will enable others to judge the results and findings for themselves. It is also important to acknowledge the assumption, limitations, biases and gaps encountered in the needs assessment process so that readers will get a better sense of how conclusions were reached.

In our report, acknowledge the assumption, limitations, biases and gaps you may encounter during the WASH activities, so that others will understand how you reach our conclusions. To ensure transparency and accountability, it is essential to share and emphasise your methodology. This will enable others to judge our assessment for themselves and have a holistic understanding of our reports. Apart from the need assessment report, our findings must be presented in a suitable form for our target audiences. Think about what information they need, how they want it to be presented, and how they utilise our findings. The table shows the typical contents of a needs assessment report and presentation from [Watkins \(2012\)](#).



**Table 6:** *Typical contents of a needs assessment report and presentation*

Ways to validate our findings	Explanation
Executive summary	Agenda
Introduction	Introduction
Purpose, goals, objectives	Purpose, goals, objectives
Needs	Executive summary
Methods for identifying needs	Needs
Data identifying needs	Methods for identifying needs
Actions considered	Data identifying needs
Methods for identifying alternatives	Actions considered
Data on alternatives	Methods for identifying alternatives
Criteria for comparing	Data on alternatives
Conclusions	Criteria for comparing
Decision or recommendations	Conclusions
Acknowledgements	Decisions or recommendations
Annex: supporting data	Acknowledgements
Annex: tools and instruments	Additional resources

Source: Watkins (2012)

## D. Summary

- Most formal needs assessment concludes with a report or presentation. A report or presentation, or both, is often the medium for sharing findings and recommendations with internal or external partners.
- It will be beneficial to understand the report's purpose or presentation before conducting the needs assessment so the team knows the specific data to prioritise, analyse, and share.
- Actionable recommendations usually describe vital issues, the proposed approach, the suggested management structure, staffing requirements, roles and responsibilities, budget, resource requirements (e.g., equipment, supplies), critical timings and timelines.
- Needs assessment reports should be easy-to-read and as user-friendly as possible.



**4.2**

## Element 2. Contribute to designing customised WASH assessment tools

### 2.1 Identify potential effects of multi-hazard incidents

#### A. Introduction

Due to its geographic location and physical characteristics, an area may be exposed to multiple hazards. Sometimes these hazards trigger or overlap with each other and happen side-by-side. WASH professionals need to understand the multiple hazards that affect the area they operate in, their interactions, and the overall impact of WASH efforts.

#### B. Multi-hazard incidents

There is currently no widely recognised definition of what a multi-hazard incident is. But the UNDRR defines a [multi-hazard](#) incident as the selection of multiple major hazards that the country faces. It can also mean the specific contexts where hazardous events may occur simultaneously, cascading or cumulatively over time, and considering the potential interrelated effects. UNDRR noted that current risk management strategies are insufficient for understanding multiple and cascading disaster events. A system-wide approach to resilience is needed to improve the complex operational management of multiple disasters. Multi-hazard approaches should also consider the dynamics of vulnerability. For example, exposed infrastructures will be more vulnerable to future risks following a first hazard incident.

In practice, the use of the term multi-hazard varies. Sometimes, it represents all relevant risks existing in a particular location. The term is often used to refer to “more than one hazard”. The definitions get more ambiguous when relationships between hazards are discussed. For instance, cascading hazards refer to hazard relationships that occur in a series: one hazard causes the next. The term coupled hazards involves at least two different hazards co-occurring after being triggered by the same triggering event.



**Table 7:** A List of various hazards that could be interrelated

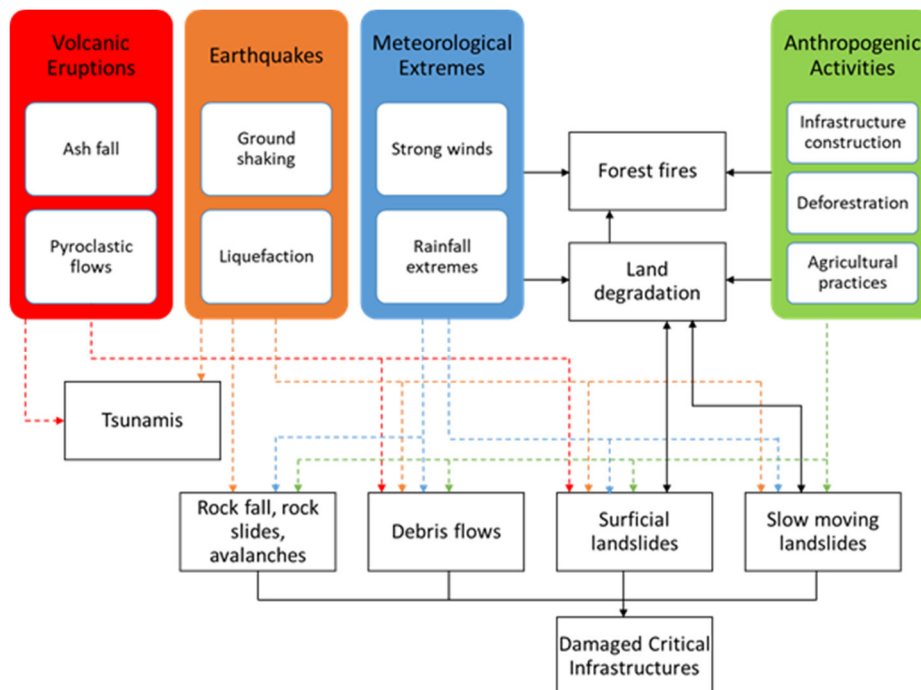
Environmental events (climate-related, meteorological, and geophysical events and trends) and environmental degradation (pollution, industrial hazards)	
<ul style="list-style-type: none"> <li>• Drought</li> <li>• Flooding</li> <li>• Heavy rainfall</li> <li>• Heatwave</li> <li>• Cold Spell</li> <li>• Blizzard</li> <li>• Heavy Snowfall</li> <li>• Melting of snow and ice</li> </ul>	<ul style="list-style-type: none"> <li>• Storms – thunder, hail, dust, ice, wind</li> <li>• Tornado</li> <li>• Tropical cyclone</li> <li>• Salinisation (dryland)</li> <li>• Desertification</li> <li>• Wildfire</li> <li>• Landslide, mudslide</li> </ul>
<ul style="list-style-type: none"> <li>• Avalanche</li> <li>• Rockfall</li> <li>• Subsidence</li> <li>• Soil erosion</li> <li>• Riverbank erosion</li> <li>• River siltation</li> <li>• Coastal erosion</li> <li>• Saline intrusion</li> </ul>	<ul style="list-style-type: none"> <li>• Sea level rise (long-term)</li> <li>• Storm surge</li> <li>• Tsunami</li> <li>• Earthquake</li> <li>• Volcanic eruption</li> <li>• Pollution</li> <li>• other</li> </ul>
Violent/potential conflict (ongoing conflict, socio-political tensions and possible triggers)	Current and potential political/social unrest and instability
Violent conflict Riots Other	Social unrest and protest Political instability Other
Biological hazards	Chemical hazards
<ul style="list-style-type: none"> <li>• Potential viruses/diseases</li> <li>• Insect/animal infestation</li> <li>• Plant or animal contagion</li> <li>• Moulds and fungi</li> <li>• Algal growth</li> <li>• Other</li> </ul>	<ul style="list-style-type: none"> <li>• Arsenic</li> <li>• Fluoride</li> <li>• Nitrate</li> <li>• Phosphate</li> <li>• Chemical spill</li> <li>• Other</li> </ul>
Cross-border dynamics (as a destabilising factor)	Economic downturn/shocks and market instability
<ul style="list-style-type: none"> <li>• Displacement</li> <li>• Migration</li> <li>• Cross-border violence</li> <li>• Other</li> </ul>	<ul style="list-style-type: none"> <li>• Economic downturn</li> <li>• Economic shock</li> <li>• Market instability for specific commodities</li> <li>• Other</li> </ul>

(Source: [GWP & UNICEF, 2017](#))



Several factors can trigger a multi-hazard incident. Most of the time, it is linked to a geophysical condition or human activity. Figure 1 depicts how different hazard interactions can generate other hazards.

*Figure 1: Hazard interactions*



(Source: adapted from [CDEMA, 2016](#))

## C. Impact to WASH

UNDRR defines [critical infrastructure](#) as physical structures, facilities, networks, and other assets that provide essential services to a community or society's social and economic functioning. Multi-hazard incidents can damage critical infrastructures that WASH services rely on, like water and waste management systems. It can reduce the availability of safe and potable drinking water, lessen water supply for good hygiene practices, and limit waste removal. It can also set back hard-won gains of health promotion activities. If there are no WASH services, affected communities will refer to unhealthy behaviours that can increase the risk of disease outbreaks. Inadequate WASH services also affect other sectors that rely on it, such as the health sector, because water is essential for medical care.



*Figure 2: Hazards and the WASH sector*



(Source: [GWP & UNICEF, 2017](#))

## D. Summary

- Due to its geographic location and physical characteristics, an area may be exposed to multiple kinds of hazards. Sometimes these hazards trigger or overlap with each other and happen side-by-side.
- WASH professionals need to understand the multiple hazards that affect the area they operate in, their interactions, and the overall impact of WASH efforts.

## 2.2 Identify secondary consequences in multi-hazard incidents

### A. Introduction

Depending on the context, a hazardous event can create a string of secondary consequences that may cause widespread damages and losses, far more than expected. Infrastructure, including those used in WASH, may get destroyed or unable to function. Situations like this can slow down the response and complicate recovery efforts. In turn, more lives may be affected by a disaster.



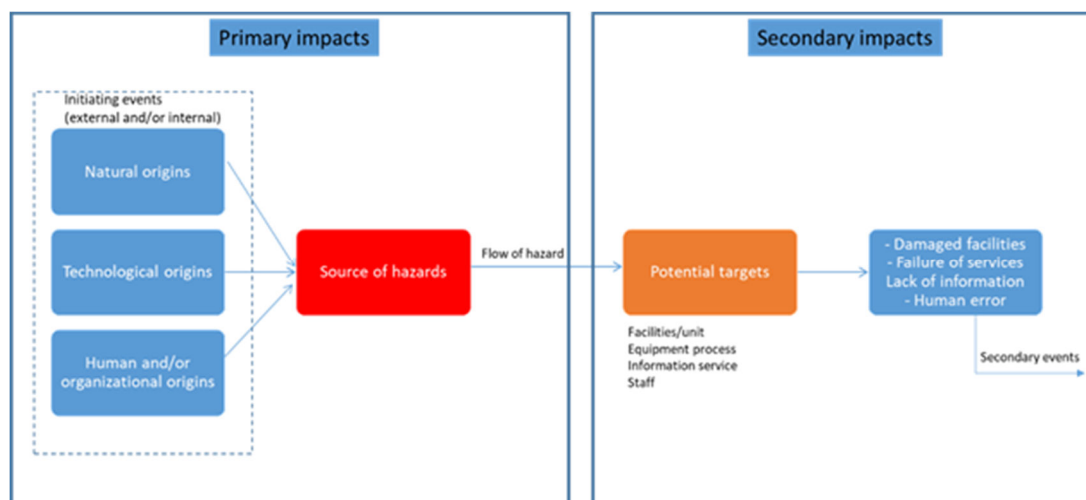
## B. Identifying secondary consequences

One feature of multi-hazards is that hazards are related and connected in a series of chains. One hazard may trigger other hazards or create a cascading or domino effect of secondary consequences.

One method used for assessing multiple hazards is to use Event Trees. Event trees help examine the possible combinations of hazards and likelihood of occurrences based on a particular location's risk profiles and environmental factors. Related events are connected using branches so that the user of the method can see how those events interact and unfold.

The figure below shows how the primary impacts of a hazard can cause secondary consequences. When looking at cascading disasters, it is essential to treat each subsequent event as a potential new source of hazard or a point where several hazards branch out.

*Figure 3: Hazard sequence and its consequences*



(Source: adapted from [Kadri et al., 2014](#))

## C. Secondary consequences affecting WASH

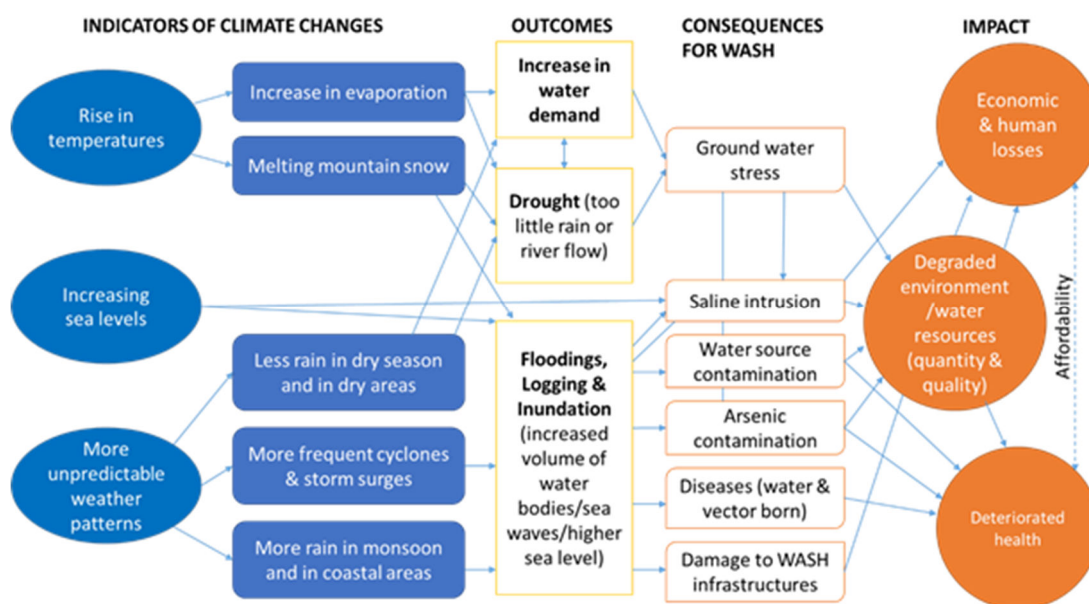
The secondary consequences of multi-hazard events could affect four aspects of a WASH intervention:

- **Functionality:** the loss of latrine capacity and sewage system, broken water pumps and pipes
- **Access:** loss of accessibility of water supply technologies and pit latrines
- **Availability:** the destruction of safe water supply sources
- **Quality:** contamination or pollution water supply sources



Another factor that may trigger multi-hazard events is climate change. The 2021 IPCC report notes that human activities are indisputably causing climate change, making heat waves, heavy rainfall, and droughts more frequent and severe. These effects have adverse impacts on WASH efforts' functionality, access, availability, and quality. Below is a figure showing the possible secondary consequences of climate change to WASH activities.

*Figure 4: Secondary consequences of climate change to WASH activities*



(Source: adapted from [WHO, 2015](#))

## Secondary consequences affecting WASH efforts

In many communities, drinking-water sources (tube wells and ponds) were contaminated with salt water and debris ([UNDRR, 2017](#)). In 2007, Cyclone Sidr struck the southwest coast of Bangladesh – with 240 km/hr wind speeds and six-metre storm surges. Water and sanitation infrastructure was heavily damaged, including 11,612 tube wells, 7,155 ponds, and over 55,000 latrines. Waterborne diseases became a significant public health concern because human waste was generally not treated.

## Damaged WASH infrastructures and health risks

Diarrhoea, Hepatitis A, Cholera, Typhoid and Shigella Dysentery, Intestinal parasites, Malaria, and Trachoma, are among the diseases that a lack of WASH services can exacerbate. Inadequate human excreta management represents a severe health concern owing to the danger of pollution and the loss of local water supplies. An inadequate supply of clean water could hamper health facilities and personnel's functioning and safe practices.



Hepatitis B & C, HIV, haemorrhagic fever, skin respiratory and gastroenteric infections may arise from medical waste exposure.

## D. Summary

- One feature of multi-hazards is that hazards are related and connected in a series of chains. One hazard may trigger other hazards or create a cascading or domino effect of secondary consequences.
- The secondary consequences of multi-hazard events could affect four aspects of a WASH intervention: functionality, access, availability, and quality.

## 2.3 Work collaboratively, including with other sectors, to contextualise WASH assessment tools

### A. Introduction

A multi-hazard incident can cause widespread interconnected damages and losses, requiring different clusters to work closely with each other. An integrated assessment tool is needed where multiple hazards affect sectors with overlapping functions. Inter-sector collaboration is key to designing and implementing assessment tools for dealing with large-scale rapid on-set disasters and secondary consequences.

### B. Working collaboratively

Collaboration is defined in the literature as "a process in which organisations exchange information, alter activities, share resources, and enhance each other's capacity for mutual benefit and a common purpose by sharing risks, responsibilities, and rewards."

Collaboration is defined in the literature as "a process in which organisations exchange information, alter activities, share resources, and enhance each other's capacity for mutual benefit and a common purpose by sharing risks, responsibilities, and rewards."

Emergency management efforts are characterised by urgency and uncertainty. Affected sectors and participating clusters must have an efficient and effective decision-making process to minimise delays and gaps in



response. Communication is the foundation of decision-making during emergencies. It is essential for the "transfer, receipt, and integration of knowledge among participants" needed for partnerships to work.

## **C. Clusters and sectors that WASH collaborate with**

Assessments allow different clusters to perform collaboratively using standard approaches to facilitate inter-sectoral planning and implementation. National and local authorities and members of the affected community should be engaged and included in all assessment activities.

WASH efforts overlap with those from other sectors. Below is a list of other clusters that WASH professionals can collaborate with.

- Rapid Assessment
- Emergency Operation Centre (incl. Information Management)
- Humanitarian Logistics
- Shelter Management
- Health
- Food Security and Nutrition
- Protection (incl. of women and children)
- Camp Coordination and Management
- Education

## **D. Summary**

- A multi-hazard incident can cause widespread interconnected damages and losses, requiring different clusters to work closely with each other. An integrated assessment tool is needed where multiple hazards affect sectors with overlapping functions.



## 4.3

# Element 3. Contribute to implementing exit strategy of WASH programme

## 3.1 Identify barriers to sustainability and contribute to solutions to overcome these barriers

### A. Introduction

A "barrier" is anything that restrains or obstructs growth, improvements, and progress. Barriers affect the short-term WASH activities and the long-term sustainability of efforts. It is crucial for organisations to identify, assess, and address barriers to sustainability as part of their risk management processes.

### B. Identify, assess, and address barriers

The goal of WASH programmes should be to implement sustainable WASH activities. If not feasible, conduct activities that set the foundation for other sustainable solutions to build on. Overcoming barriers to sustainability is what links immediate emergency response to early recovery efforts.

A sustainable WASH programme addresses the needs of affected communities but in a way that engages the beneficiaries and motivates them to continue maintaining the services or adopting healthy behaviours even without the organisation's presence or after the organisation stops operating. Lack of sustainability is one of the main reasons why a programme fails. Sustainability barriers are bottlenecks to the implementation of sustainability initiatives. Identifying these bottlenecks is the first step to spotting opportunities to develop solutions to overcome barriers to sustainability.

#### WASH bottleneck analysis tool

The WASH Bottleneck Analysis Tool, also known as WASH BAT, assesses the enabling environment for sustainable WASH solutions by identifying and tracking the removal of barriers to sustainable and efficient services. The tool also assists in costing and prioritising plans to eliminate the obstacles that hinder WASH progress. The WASH BAT helps analyse the intricate interaction of institutional structures and processes that influence how human, material and financial inputs can transform into long-term access to safe drinking water and sanitation. The WASH BAT provides a rational, evidence-based approach



to developing an efficient and equitable investment strategy for various sectors. Running a workshop and applying the tool with potential partners can bring stakeholders of different clusters together and facilitate collaboration as early as the planning stage.

### **Key elements affecting barriers to sustainability**

The following elements affect how WASH interventions are planned and implemented. They serve as a basis for evaluating whether barriers to sustainability in a particular setting are being addressed

- Needs of the affected communities.
- Local participation.
- Capacity: local to national.
- Alliances and partnerships.
- Governance and accountability.
- Livelihoods.
- Finances: internal and external.
- Conflict, insecurity, and vulnerabilities (political, social, and environmental).

## **C. Summary**

- The goal of WASH programmes should be to implement sustainable WASH activities. If not feasible, conduct activities that set the foundation for other sustainable solutions to build on. Overcoming barriers to sustainability is what links immediate emergency response to early recovery efforts.
- A sustainable WASH programme addresses the needs of affected communities but in a way that engages the beneficiaries and motivates them to continue maintaining the services or adopting healthy behaviours even without the organisation's presence or after the organisation stops operating.
- Key elements affecting barriers to sustainability include needs and demand, participation, capacity, alliances and partnerships, governance and accountability, livelihoods, finances, conflict, insecurity, and vulnerability.



## 3.2 Work cooperatively with others to strengthen the organisation's WASH regular/development programme through recovery activities

### A. Introduction

Cooperation in WASH programmes can produce better outcomes because it can help sustain efforts. No single organisation has unlimited time and resources. Working cooperatively with the right stakeholders can enhance WASH interventions that facilitate recovery activities. The quicker a community can recover, the higher the chances of the community to sustain the gains in WASH efforts.

### B. Key recovery stakeholders

Successful recovery activities have one thing in common: the active participation of communities and the continuous engagement of partner organisations. Below is a list of features of successful recovery efforts:

- Have shared goals based on desired outcomes.
- Consider the changes in community needs or stakeholders' expectations.
- Be guided by someone with experience or expertise and leadership skills.
- Be at the pace desired by the community.
- Reflect well-developed community planning and information gathering before, during, and after a disaster.
- Have transparent decision-making and reporting processes and sound governance that is transparent and accessible to the community.
- Demonstrate a thorough understanding of the roles, duties, and authority of the organisations involved, and work together across agencies to guarantee minimal service disruption.
- Be a part of an emergency management approach that integrates with response activities and helps prevent and prepare for future disasters.
- Use and build on relationships established before, during, and after the disaster.



Recovery is a complex social process that requires the cooperation of different stakeholders. Countries and regions may have their own formal recovery guidelines and processes. But most recovery efforts include the following vital stakeholders (adopted from [Wright & Dickman, 2018](#)):

**Table 8:** Key Recovery Stakeholders

Source	Examples
<b>Impacted communities</b>	<ul style="list-style-type: none"> <li>• Communities are made up of different groups and voices. Thus, they will not be homogeneous.</li> <li>• Will have the necessary skills, expertise, and local knowledge to aid recovery.</li> <li>• The community should be at the centre of recovery efforts to assist its ability to lead its own recovery processes and outcomes.</li> </ul>
<b>Impacted individuals and families</b>	<ul style="list-style-type: none"> <li>• A part of the recovering community</li> <li>• They may live in the disaster-affected area or be geographically spread (as grieving family members are).</li> <li>• Everyone will have varied reactions to the event and various demands for recovery.</li> <li>• Pre-existing conditions such as disease, disability, financial insecurity, and substance misuse may complicate recovery.</li> </ul>
<b>Local government</b>	<ul style="list-style-type: none"> <li>• Recovery responsibilities will vary depending on legislation and emergency plans, but they will generally oversee local emergency management plans.</li> <li>• The government is closest to the people.</li> <li>• Local government offers a wide range of services to communities during and after a disaster.</li> <li>• Extensive local knowledge and relations.</li> </ul>
<b>State/Territory government</b>	<ul style="list-style-type: none"> <li>• It will be responsible for various recovery tasks throughout the government's ministries, including health, education, infrastructure, economic development, and so on.</li> <li>• The structure may contain both regional and state-level agreements.</li> <li>• Plays a crucial role in disaster recovery coordination.</li> </ul>
<b>Schools, universities, and other education providers</b>	<ul style="list-style-type: none"> <li>• It serves as a vital community hub and point of contact for children, teenagers, and families.</li> <li>• Knowledge, experience, and community relationships relevant to the local area.</li> <li>• A source of information on theoretical and evidence-based techniques</li> </ul>



<b>Non-government organisations</b>	<ul style="list-style-type: none"> <li>• Personal assistance, handling of appeal monies, coordinating donated products, and volunteer efforts all play a crucial part in healing.</li> </ul>
<b>Local community and social service organisations</b>	<ul style="list-style-type: none"> <li>• Essential to community recovery and likely to be the first on the scene in terms of establishing first recovery activities.</li> <li>• Reputable, local providers of community health, education, housing, drug/alcohol/family violence programmes, youth and family services, and so on.</li> <li>• Knowledge, abilities, and expertise in the area.</li> <li>• Stay in the neighbourhood for a more extended period.</li> <li>• It may be immediately impacted, affecting service provision for at least a short time.</li> </ul>
<b>Local community groups</b>	<ul style="list-style-type: none"> <li>• Essential to community recovery and likely to be the first on the scene in terms of establishing first recovery activities.</li> <li>• Knowledge, skills, and expertise in the area.</li> <li>• Capable of connecting with and mobilising community resources.</li> <li>• May have pre-existing recovery programmes devised by the community.</li> <li>• Individuals may be directly impacted, which may impact the group's ability to function, at least momentarily.</li> </ul>
<b>Emergent groups</b>	<ul style="list-style-type: none"> <li>• They could come from within or outside the impacted community</li> <li>• Put simply, emergent groups form to help with one or more recovery areas.</li> <li>• It may include organisations that broaden their regular operations to incorporate recovery work.</li> <li>• Can provide critical 'surge capacity' to aid relief and recovery efforts.</li> </ul>
<b>Emergency services</b>	<ul style="list-style-type: none"> <li>• Have well-defined roles and duties for response, transition, and recovery.</li> <li>• It is likely to be headquartered in (and involve members of) the impacted community.</li> <li>• Likely to continue to help with recovery efforts in a formal or informal position, if possible.</li> </ul>
<b>Local businesses</b>	<ul style="list-style-type: none"> <li>• Key players in the economic recovery.</li> <li>• This may also include individuals and families who have been impacted.</li> <li>• They may be especially vulnerable to the consequences of recovery activities, such as limited community access and donated products.</li> </ul>



<b>Industry networks and associations</b>	<ul style="list-style-type: none"> <li>• In-depth understanding of the local economy and businesses.</li> <li>• Able to provide members with assistance and advocacy</li> <li>• Can provide advice on industry-specific recovery programmes and measures, such as agriculture, horticulture, viticulture, manufacturing, tourism, freight, and so on.</li> </ul>
<b>Insurance companies and banks</b>	<ul style="list-style-type: none"> <li>• Key players in the social and economic recovery.</li> <li>• Providing policyholders with information, making assessments, and processing claims.</li> <li>• Providing recovery and re-establishment advice regarding future insurability.</li> </ul>
<b>Media</b>	<ul style="list-style-type: none"> <li>• A key player in the spreading of recovery information.</li> <li>• A significant influence on how disaster and recovery are framed and interpreted.</li> </ul>
<b>Utilities and statutory authorities</b>	<ul style="list-style-type: none"> <li>• Key players in restoring and reconnecting services like water, electricity, and telecommunications.</li> <li>• It may play a role in defining how land use and access to infrastructure services and utilities are handled during reconstruction and recovery.</li> </ul>

Source: Wright, R., Dickman, J. J., 2018

Each group is critical to recovery and plays a distinct and vital role. Coordinating all the work these groups will do and supporting their various needs, priorities, and results is one of the most challenging tasks in recovery efforts. When determining the recovery priorities, it is common for groups to prioritise their own needs, and there may be clashes in perspectives. The programme coordinator managing the recovery activities need to set up coordinated plans and arrangements for common management structures, facilitate public-private partnerships, and secure financial assistance.

## C. Developing a working strategy

### Planning Data Collection

- **Pre-emergency recovery structural arrangements**

Some communities have formed local emergency planning committees or associations to help them prepare for potential disasters. Community-based emergency management is a collaborative planning and implementation process that helps make communities safer and more resilient. Working collaboratively in identifying and determining



disaster management goals and solutions assist in building capacity and establishing connections needed for response and recovery efforts. Emergency management systems must accommodate and recognise the vital and evolving work of communities and the need for letting them conduct recovery work independently.

- **Post-emergency recovery operational arrangements**

Recovery services, information, and resources should be managed at the local level where possible because all recovery frameworks must be based on community needs. If local capacity is insufficient, regional, state, national, and international assistance may be necessary - but only to support, not lead, the recovery activities. A recovery committee or a designated recovery coordinator is the most effective way to manage recovery (supported by a recovery committee). Recovery committees and coordinators analyse the influence of an event and plan for the rebuilding, restoration, and rehabilitation of the impacted community's social, physical, economic, and natural ecosystems. The first step is to create a community recovery action plan that outlines priorities, resource allocation, and management strategies. The recovery action plan establishes the strategic direction and operational steps necessary for a successful recovery at all levels.

### **Common management structures**

The management structures commonly used in recovery are recovery committees and sub-committees, recovery task groups, and local community consultation groups. The government, non-government, and private sector actors are involved in the national-level committees, state/territory and local government committees, inter-jurisdictional arrangements, international arrangements, and public-private partnerships. Not-for-profit organisations, community service providers, and local organisations and groups all play a role in effective recovery by contributing to policy and practice development, sharing local expertise and experience, and providing various services in affected communities.

- **Recovery committees**

The strategic decision-making body for recovery is the recovery committee. Recovery committees give visible and strong leadership and play a critical role in rebuilding community confidence by assessing the emergency's repercussions and coordinating operations to rebuild, restore, and rehabilitate the impacted community's social-economic and natural ecosystems.



Recovery committees are also important because they provide local leadership and community self-determination mechanisms. Members of recovery committees may comprise members of the community, members of emergency management committees, and local representatives from participating agencies (government, non-government, and commercial sector) who can give local knowledge, services, or advice.

- **Recovery task groups or taskforce**

Recovery task groups or sub-committees are pools of experts who provide specialised support and advice on specific operational or policies requiring extensive knowledge. Recovery task groups may be employed to coordinate the operations of their member agencies on behalf of the recovery committee if the nature, size, or complexity of the recovery operation is substantial. The recovery committee or the competent state/territory authority determines the membership of the recovery task group in most cases. Representatives from the following groups can be included:

- Government
- Non-government organisations.
- Business and community groups/individuals from the affected area.

- **Local community consultation groups**

Local community consultation/recovery groups are typically formed to allow members of the local community to come together and provide feedback and direction on the recovery process. The community consultation groups represent the community in the recovery process; facilitate communication between the recovery committee/coordinator and the community; collaborate with the recovery committee/coordinator and task groups to solve a specific problem; assist in the coordination of recovery initiatives undertaken in the community, and identify people who may be vulnerable or marginalised. Local community consultation groups may include people affected by the event, representatives from local organisations, and elected community representatives. The recovery coordinator or a recovery committee member usually facilitates and supports local community consultation groups.



- **Local and state/territory government committees**

Local community consultation/recovery groups are typically formed to allow members of the local community to come together and provide feedback and direction on the recovery process. Local community consultation groups may include:

- People affected by the event.
- Representatives from local organisations.
- Elected representatives of the community.

The recovery coordinator or a recovery committee member usually facilitates and supports local community consultation groups. The community consultation groups represent the community in the recovery process, facilitate communication between the recovery committee/coordinator and the community, collaborate with the recovery committee/coordinator and task groups to solve a specific problem, assist coordination of recovery initiative undertaken in the community, and identify people who may be vulnerable or marginalised.

- **National-level committees**

Committees exist at the national level to guide and support strategic recovery policy and planning. The highest national level committee of a country is responsible for emergency management. The national committee will oversee the creation of national priorities, planning, policy, and practice in emergency management.

- **International arrangements**

There are also plans for events that affect any of the Southeast Asia country's residents and require their repatriation. Existing structures are used at a state/territory level, with coordination and assistance from the national government.

## **Public-Private Partnerships**

Partnerships between the public and private sectors are critical to recovery planning and administration. Private sector participation and support is essential for establishing and maintaining community resilience. Electricity suppliers, insurance firms, the financial sector, telecommunications, local media, retail outlets, private physical and mental health providers, private education providers, significant employers can facilitate or limit the recovery of an affected community. It is critical to involve these providers to promote holistic solutions and ensure that communities have realistic expectations



about the work and deadlines for restoring essential services needed to implement WASH interventions such as telecommunications.

### **Financial assistance**

Communities that want to help persons affected by a disaster may make monetary donations rather than give other types of aid. Cash grants allow those affected by a disaster to select how they want to help themselves recover. They may be used to satisfy immediate needs and are likely to promote the rebuilding of the local economy.

## **D. Summary**

- Successful recovery activities have one thing in common: the active participation of communities and the continuous engagement of partner organisations.
- Key recovery stakeholders are: Impacted community/ies; impacted individuals and families; local government; state/territory government; schools, universities and other education providers; NGOs; local community and social service organisations; local community groups; emergent groups; emergency services; local businesses; industry networks and associations; insurance companies and banks; media; utilities and statutory authorities.
- A working strategy for recovery efforts includes coordinated plans and arrangements, common management structures, public-private partnerships, and financial assistance.

## **3.3 Coordinate the recovery/transition phase of the community elements of emergency WASH programmes, ensuring sustainability of all interventions**

### **A. Introduction**

Coordination is a management function that efficiently integrates the different activities and tasks to achieve a common objective. It allows various stakeholders to communicate, plan, and operate in conjunction to minimise gaps and redundant efforts.



## B. Coordinating the recovery/transition phase

### Human resource management

Human resources must be adequately supported and managed, whether paid or volunteer, to offer consistent and effective services to the affected areas. The recovery process involves the participation of various individuals. Some have short-term jobs, while others stay for more extended periods. Some of them will be community members hired to provide services in their community before the crisis. Others may come from organisations outside of the community.

In all cases, briefing on roles and responsibilities, training, and other capacity-building activities are essential. Workers who are properly briefed, trained, and well supported can be more secure, productive and adaptable in their activities.

As the focus of recovery shifts from urgent survival and physical requirements to the medium and long term, a community development approach to recovery work that focuses on community sustainability may emerge. Human resource management issues both before and after the crisis should be taken into account, such as:

- The work environment
- Role of management
- Management styles
- Recruitment strategies
- Compensation and benefits
- Training and evaluation

### Joint service delivery

Since disaster recovery is a multi-agency problem, it demands the cooperation and teamwork of agencies that do not ordinarily work together. One of the tasks of management is to determine whether surge capacity is required to respond to the incident in a timely and effective manner. Coordination with other actors can help close gaps in service delivery. Joint service delivery is most effective when memorandums of understanding (MOUs) or other formalised arrangements are active before an emergency occurs. MOUs between adjoining local government areas, for example, can facilitate personnel assistance between areas.



## Physical resource management

Facilities, equipment, vehicles, office supplies, documents and records are all examples of physical resources. These physical resources need to be purchased or borrowed and maintained throughout their use. For example, a car may be provided, but it may entail high operating costs (e.g., fuel, repairs) for the recovery organisation.

Before accepting loaned or donated materials, coordinators should double-check their condition and the terms of the loan or donation. To ensure efficient cost recovery, record-keeping and waste minimisation are two of the most critical duties in physical resources management.

## Securing funding

Disaster recovery is primarily the responsibility of states and territories, which provide various financial options to individuals and communities affected by disasters like personal hardship and distress aid funds. The national government can also assist sub-national governments (states and territories) in responding to disasters by releasing national calamity funds or something similar. Other actors like corporate foundations, charitable and faith-based groups, and non-government organisations may also extend financial assistance for recovery efforts.

## C. Summary

- Coordination is a management function that efficiently integrates the different activities and tasks to achieve a common objective. It allows various stakeholders to communicate, plan, and operate in conjunction to minimise gaps and redundant efforts.
- Coordinating the recovery/transition phase of WASH Programmes revolve around four elements: human resource management, joint service delivery, and securing funding.





# Self-assessment Checklist



**ASCEND**



## Self-assessment Checklist

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

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





# Oral Interview and Written Test Guide



**ASCEND**

## Oral interview and written test guide

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

### On observations

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

### On oral interview

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

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.

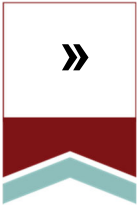




# Recommended Readings



**ASCEND**



## Recommended Readings

Gill and Malamud. (2016). *Hazard interactions and interaction networks (cascades) within multi-hazard methodologies*. Earth System Dynamics 7, 659–679, 2016. Accessible [here](#)

GWP and UNICEF. (2017). *WASH Climate Resilient Development – Guidance Note: Risk assessments for WASH*. Accessible [here](#)

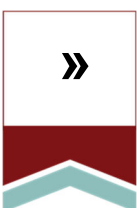
Kadri, Farid & Birregah, Babiga & Chatelet, Eric. (2014). *The Impact of Natural Disasters on Critical Infrastructure*

Kapucu and Garayev. (2011). *Collaborative Decision-Making in Emergency and Disaster Management*. International Journal of Public Administration. Accessible [here](#)

UNDRR. (2017). *Words into Action Guidelines: National Disaster Risk Assessment*. Accessible [here](#)

UNICEF Pacific. (2018). *Pacific WASH Resilience Guidelines*. Accessible [here](#)

WHO. (2015). *Evidence of the Effectiveness of Household and Community WASH Interventions in Increasing Climate Resilience*. Accessible [here](#)



## Learning Resources

CDEMA. (2015). *Caribbean Handbook on Risk Information Management (CHARIM)*. Accessible [here](#)





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ASEAN Standards and Certification for Experts in Disaster Management

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