

2nd Edition

**LEARNER'S  
GUIDE**



**TECHNICAL COMPETENCY UNIT**



**ADM.TEC  
025.2**

Supervise the Implementation  
of WASH Programme



ONE ASEAN  
ONE RESPONSE

**ASCEND**

ASEAN Standards and Certification  
for Experts in Disaster Management

## ASEAN Standards and Certification for Experts in Disaster Management

# SUPERVISE THE IMPLEMENTATION OF WASH PROGRAMME

ADM.TEC.025.2

### Learner's Guide



#### ONE ASEAN ONE RESPONSE

The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam. The ASEAN Secretariat is based in Jakarta, Indonesia.

The "ASEAN Standards and Certification for Experts in Disaster Management (ASCEND)" is under Priority Programme 5: Global Leadership of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2021-2025 that envisions ASEAN as a global leader in disaster management.

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ASCEND programme and  
Toolbox:  
**Introduction**



**ASCEND**

**1.1**

## The ASCEND Programme

Southeast Asian governments, through the ASEAN Committee on Disaster Management (ACDM), continue to invest in strengthening disaster management systems for a more secure and resilient region. However, the compounding risks and increasing uncertainty of disasters in our new climate reality threaten to set back the socioeconomic development gains of ASEAN societies. Widespread and recurring disaster damages and losses can overwhelm national capacities and worsen regional transboundary effects.

The Declaration on One ASEAN One Response (OAOR) at the 2016 ASEAN Summit in Vientiane, Lao PDR, reaffirms ASEAN's vision to move towards faster and more integrated collective responses to disasters inside and outside the region. However, ASEAN's past experiences responding to large-scale disasters showed that realising the OAOR can be challenging. Various responders from different countries, institutions, organisations, and companies seek to contribute to the overall response. Their goodwill is appreciated, and several provide much-needed assistance. But ASEAN and affected Member States sometimes found it challenging to determine what knowledge and skills responders have and how they can effectively contribute to national and regional efforts.

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

**1.2**

## The objectives of ASCEND

- To ensure disasters across the region are met with competent disaster management professionals in order to reduce the loss of life, respond effectively, recover more quickly, and decrease risks throughout the ASEAN region wherever possible. Note: In cases of extraordinary,



diminished capacities, non-certified persons may be utilised at the discretion of the AMS in compliance with local governance/rules/laws.

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

## 1.3

# Advantages and benefits of an ASCEND certification

### For ASEAN

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

### For the AHA Centre

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

### For disaster management professionals

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



**1.4**

## The ASCEND Toolbox

A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management professions. The Competency Standards outline the work elements and performance criteria that guide for certification of disaster management professionals across the region.

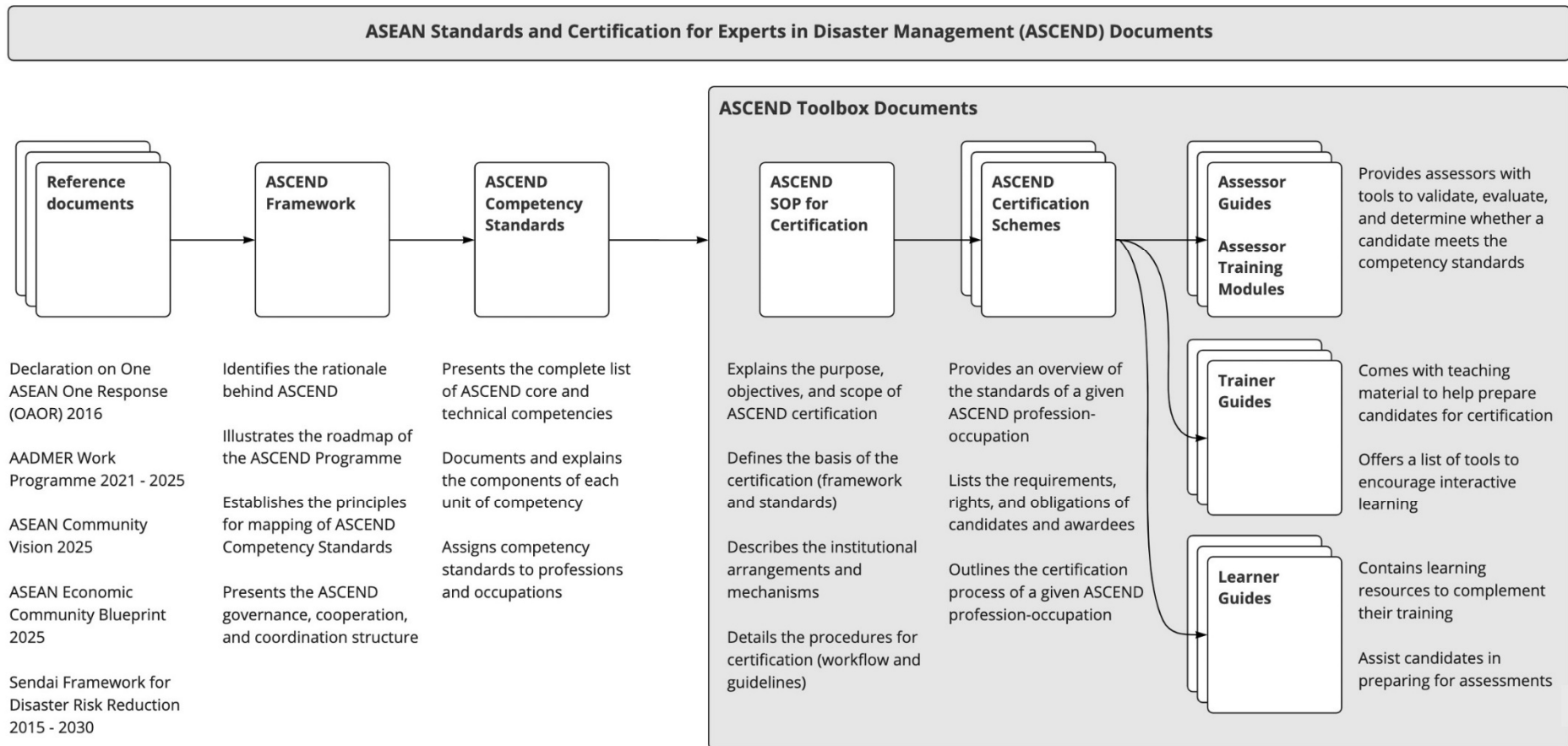
Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of an SOP, Certification Schemes, Assessor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

<b>Component</b>	<b>Description</b>
<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** : **Supervise the Implementation of WASH Programme**

**Unit number** : ADM.TEC.025.2

**Unit description** : This unit deals with the skills and knowledge required to supervise and monitor a WASH project in an emergency setting.

### Element 1.

#### **Supervise the activities within the assigned activity area in all phases of emergency WASH programme**

##### **Performance Criteria**

- 1.1 Develop detail implementation plan to ensure all deliverables to WASH programming is delivered in a timely fashion
- 1.2 Develop detailed guidelines for community mobilization and participation in the delivery of programme activities
- 1.3 Perform measures to integrate Early Recovery and Disaster Risk Reduction approaches
- 1.4 Establish effective links with other clusters or sectoral coordination platforms that are relevant to the WASH programming within the assigned activity area
- 1.5 Operate and maintain sound internal controls, coordinate financial and supply management requirements and ensure accountability
- 1.6 Contribute to overall WASH reporting and documentation within the assigned activity area as well as effective information sharing
- 1.7 Supervise and coordinate WASH staff within the assigned activity area
- 1.8 Contribute to the design, management and communication of a responsible exit strategy

### Element 2.

#### **Monitor and report against key WASH indicators**

##### **Performance Criteria**

- 2.1 Coordinate collection of data and information within the agreed monitoring plan and strategy
- 2.2 Support other sectors in the effective monitoring and reporting of key WASH indicators
- 2.3 Make changes into planned activities, strategies, or approaches based on the monitoring results and feedback from relevant stakeholders
- 2.4 Implement a WASH programme learning review as per agreed monitoring and evaluation plan and strategy



## 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>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>DRR</b>	Disaster Risk Reduction
<b>ECHO</b>	European Civil Protection and Humanitarian Aid Operation
<b>FGD</b>	Focus Group Discussion
<b>GFDRR</b>	Global Facility for Disaster Reduction and Recovery
<b>GWC</b>	Global WASH Cluster
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome



<b>ICRC</b>	International Committee of the Red Cross
<b>IFRC</b>	International Federation of Red Cross and Red Crescent Societies
<b>KNFA</b>	Korean National Fire Agency
<b>M-FTE</b>	Modified Time Equivalent
<b>MRA</b>	Mutual Recognition Arrangement
<b>NGOs</b>	Non-Governmental Organisation
<b>PDCA</b>	Plan-Do-Check-Act
<b>PDNA</b>	Post-Disaster Needs Assessment
<b>OAOR</b>	One ASEAN One Response
<b>SOP</b>	Standards Operating Procedures
<b>UNDP</b>	United Nations Development Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>WASH</b>	Water, Sanitation and Hygiene





# Unit Readings and Activities



**ASCEND**



## **Element 1. Supervise the activities within the assigned activity area in all phases of emergency WASH programme**

### **1.1 Develop detail implementation plan to ensure all deliverables to WASH programming is delivered in a timely fashion**

#### **A. Introduction**

The implementation of WASH programmes needs to be coordinated to minimise gaps and redundant activities. Behind the efficient delivery of WASH programmes are detailed plans that help WASH coordinators to assign the right staff, allocate the right resources, and conduct activities at the right time and order.

#### **B. A detailed implementation plan**

Detailed implementation plans help team members understand their roles and responsibilities, how their activities relate to each other, the sequence of tasks to be completed, and assess their progress against a defined scope, the budget available, and the expected quality of work.

##### **Understand the issues and needs**

Disasters can negatively affect societies in four general ways. It can lead to loss of lives, well-being, livelihoods, destroyed properties and assets (e.g., infrastructure), disrupt governance and service delivery, increase vulnerabilities and intensify or create new risks. Organisations usually consider these general impacts of disasters and the geography, environment, and other relevant social aspects (e.g., sex, age, ethnicity, religion). The design of the detailed implementation plan must match the issues and needs of the target beneficiaries.

Conducting a needs assessment is the first step to understanding affected communities' issues and needs and how WASH programmes can assist. The



issues referred to here will be closely related to the type of risks, the nature of the primary hazards and their sources, and secondary consequences. Here's a [step-by-step](#) guide on how to identify contextual issues.

### 1. Recognise the types of hazards in the area

The following is a list of hazards common in Southeast Asia:

- Earthquake.
- Volcanic eruptions.
- Land instabilities.
- Floods.
- Storms (e.g., typhoons, hurricanes, tropical storms and tornadoes).
- Water-related hazards (e.g., tsunamis, storm surges, collapse of dams or dykes).
- Drought.
- Forest fire.

It is essential to understand the characteristics, root cause, and potential impacts of each hazard to WASH needs.

### 2. Recognise the environmental damages caused by the disasters

Many disasters affect water resources and systems, which in turn create WASH problems. These are the examples of environmental damages caused by disasters, whether natural or human-induced disasters, retrieved from [ECHO](#), [GFDRR](#), [UN \(2014\)](#). The damages are divided into primary environmental damages directly caused by a disaster and secondary environmental damages that may occur due to the primary damages.

*Table 3: Environmental damages caused by disasters*

Type of disasters	Primary environmental damages	Secondary environmental damages
<b>Cyclone/hurricane/typhoon</b>	<ul style="list-style-type: none"> <li>• Saltwater intrusion into underground fresh water reservoirs</li> </ul>	<ul style="list-style-type: none"> <li>• Soil contamination from saline water</li> </ul>
<b>Tsunami</b>	<ul style="list-style-type: none"> <li>• Water pollution through sewage overflow</li> <li>• Saline incursion</li> </ul>	<ul style="list-style-type: none"> <li>• Groundwater reservoirs contamination</li> </ul>
<b>Earthquake</b>	<ul style="list-style-type: none"> <li>• Subsurface geological disturbance</li> <li>• Possible mass flooding if dam infrastructure is weakened or destroyed</li> </ul>	<ul style="list-style-type: none"> <li>• Displaced and contaminated groundwater supplies and groundwater infrastructure</li> </ul>



Type of disasters	Primary environmental damages	Secondary environmental damages
<b>Flood</b>	<ul style="list-style-type: none"> <li>Water pollution through sewage overflow</li> </ul>	<ul style="list-style-type: none"> <li>Groundwater contamination</li> </ul>
<b>Volcanic eruption</b>	<ul style="list-style-type: none"> <li>Water and sanitation infrastructure destruction</li> </ul>	<ul style="list-style-type: none"> <li>Surface water contamination</li> <li>Secondary floods caused by lava flow blocking the rivers or valleys</li> </ul>
<b>Fire</b>	<ul style="list-style-type: none"> <li>Water and sanitation infrastructure destruction</li> </ul>	<ul style="list-style-type: none"> <li>Watershed retention destruction and infiltration potential</li> </ul>
<b>Chemical and industrial accidents</b>	<ul style="list-style-type: none"> <li>Water and sanitation infrastructure destruction</li> </ul>	<ul style="list-style-type: none"> <li>Surface and groundwater contamination</li> </ul>
<b>Security breakdown, civil disturbance, war</b>	<ul style="list-style-type: none"> <li>Water and sanitation infrastructure destruction</li> </ul>	<ul style="list-style-type: none"> <li>Reduced service provision, operation and maintenance capacity</li> </ul>

Source: ECHO, GDRR, UN (2014)

### 3. Consider [other effects](#) of disasters that have adverse impacts on WASH services

#### Effects on properties and physical assets

The impact on drinking water supply, wastewater, and solid waste systems in urban and rural regions needs to be assessed. Damages to components of WASH facilities, such as dams, wells, water-treatment plants, pumping stations, pipelines, storage tanks, latrines, septic tanks, solid waste collection, treatment and disposal facilities, should all be considered.

#### Effects on delivery and access to goods and services

There will be impacts on the production flow in WASH activities. Often, a suspension of operations with partial supply of critical services while repairing assets and increasing operational costs due to the temporary alternative source (e.g., water source).



### Effects on governance and public functions

The capacity of public authorities to respond to an emergency and prepare for long-term recovery will be affected after a disaster. There may be loss of life or incapacity of affected public authorities to fulfil administrative functions due to illness or injuries, damages to documents, equipment and supplies, loss of financial sources, and more.

### Effects on vulnerabilities and risks

One of the most critical elements to consider when designing and implementing a detailed plan for WASH programmes is how the disaster can increase vulnerabilities and intensify or create new risks. If WASH programmes cannot address vulnerabilities and risks, their activities will not be sustainable, and worse, it may even create more issues. It is vital to understand the different historical, social, political, and economic factors that shape the context where affected communities live.

### Determine the activities to address the issues and needs

After understanding the issues and needs that may arise in a disaster, the next step is to review the activities to consider in WASH interventions, retrieved from [ECHO, GFDRR, UN \(2014\)](#). It is also essential to consider several aspects when deciding which WASH activities are appropriate for the affected community.

- local culture (e.g., perceptions of menstrual hygiene)
- geographical condition (e.g., may affect water supply distribution)
- national regulations (e.g. for solid waste management)
- water source quality (e.g. for water source selection)

**Table 4:** Five main types of WASH interventions: Work areas and activities

WASH interventions	Work areas and activities	
Hygiene promotion	Facilities and infrastructures	Toilets/latrines facilities Bathing/washing facilities Hygienic water collection, transport, and safe storage of water Proper facilities for women's menstrual hygiene
	Education and practices	Proper excreta disposal practice and anal cleansing practice (no open defecation). Hand-washing practice after defecation, before food preparation and eating Children education



<b>WASH interventions</b>		<b>Work areas and activities</b>	
<b>Water supply</b>	Main water source	Surface water sources (rivers, lakes, ponds) Groundwater sources (e.g. boreholes) Rainwater harvesting	
	Water treatment systems	Large-scale plants Large- and small-scale filtration systems Chemical and material treatment for filtration	
	Water distribution systems	Reservoirs, water towers or household rainwater tanks Pumping stations Piped distribution systems Trucks for transporting water	
<b>Excreta disposal</b>	Large-scale sanitation facilities	Storm and runoff collection systems Wastewater and sewage treatment facilities (e.g. settling ponds) Pumping systems	
	Small-scale sanitation facilities	Toilets/latrines Septic tanks French drains	
<b>Vector control</b>	Education and practices	Vector breeding and feeding sites removal Protective clothing for people who collect and dispose of solid waste Regular waste clean-up campaign	
<b>Solid waste management</b>	Urban areas	Shared collection points (e.g. rubbish containers) Collection transport (e.g. trucks, small motor transport) Waste management site for dumping, sorting, compacting with proper infrastructures (e.g. road access, drainage)	
	Rural areas	Household pits with fencing protection Communal collection pits with fencing protection Collection with a hand cart or small motor transport	

Source: ECHO, GDRR, UN (2014)

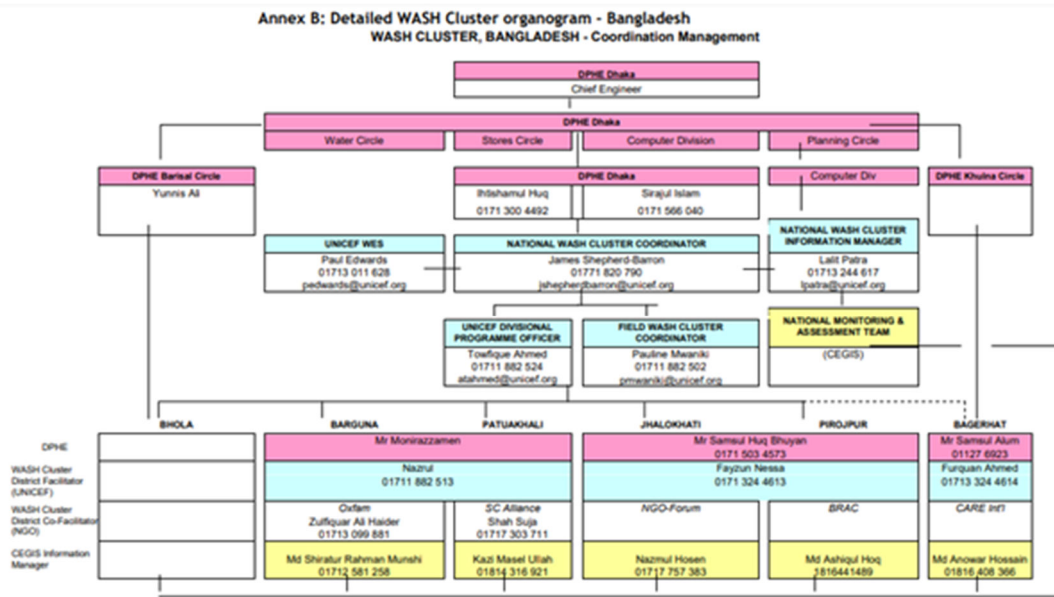
### **Match roles and responsibilities to activities and set timelines**

Assigning roles and responsibilities is key to accountability. Each activity must directly link to a WASH programme team member who can implement or





Figure 3: Example of a cluster organogram in Bangladesh,



WASH Cluster Coordinator Handbook (2009)

One other way to match roles and responsibilities with programme activities is to conduct a workload analysis using [Modified Time Equivalent \(M-FTE\)](#) and [NASA-TLX](#).

## C. Summary

- The implementation of WASH programmes needs to be coordinated to minimise gaps and redundant activities.
- Behind the efficient delivery of WASH programmes are detailed plans that help WASH coordinators to assign the right staff, allocate the right resources, and conduct activities at the right time and order.
- Detailed implementation plans help team members understand their roles and responsibilities, how their activities relate to each other, the sequence of tasks to be completed, and assess their progress against a defined scope, the budget available, and the expected quality of work.



## 1.2 Develop detailed guidelines for community mobilization and participation for the delivery of programme activities

### A. Introduction

Communities are the primary stakeholders of a humanitarian WASH programme. Emergency WASH interventions must address the issues and needs of a disaster-affected community. Successful WASH programmes facilitate community participation and mobilisation.

### B. Community participation

Community participation is the involvement of the affected community in initiatives that seek to solve their shared problems. Meaningful participation means more than getting community members to contribute their labour and time or applying participatory approaches. It is a co-creation process that brings together locals and partners in doing what's best for the community. Community participation is crucial in every phase of the WASH programme cycle: from needs assessment, planning, mobilising, training, implementation, monitoring and evaluation. Therefore, it is for WASH programme team members to understand the factors that make people willing or unwilling to get involved.

*Table 5: Factors affecting people's willingness and unwillingness to participate*

Factors affecting people's willingness to participate	Factors affecting people's unwillingness to participate
<ul style="list-style-type: none"> <li>• People are motivated to work together, and they are aware of the importance of their contributions</li> <li>• People feel that it is their duty to assist for social, religious, or traditional reasons</li> <li>• People see the benefits of the projects to their own lives</li> <li>• Receiving compensation in cash or other forms</li> </ul>	<ul style="list-style-type: none"> <li>• People feel that the workload and job description are not distributed fairly among the community member</li> <li>• People are not used to working together</li> <li>• People think that it's the government's responsibility instead of theirs</li> <li>• People feel that the organisation do not respect them</li> </ul>

Allocating dedicated resources such as hiring local staff or setting up local work areas can help facilitate community participation.



## Participation matrix

The participation matrix is a technique for determining how different stakeholders may be involved at various programme phases. It is also helpful in identifying which phases community involvement is needed and optimising resources. WASH Programme team members have to consider the following factors when completing a participation matrix:

- **Stakeholder analysis**

Since not all community members can participate in WASH activities equally, key groups and individuals with a more significant stake in the programme must be identified. The importance and influence of each stakeholder in the community may change for each phase of a WASH programme.

- **Vulnerable and marginalised groups**

It is imperative to involve vulnerable and marginalised groups in the consultation process. These are women, children, the elderly, people with disabilities, and more. They should not be left out since they may have different needs than the majority of WASH facilities.

*Table 6: Example of participation matrix*

Type of participation in program	Inform	Consult	Partnership	Control
Rapid assessment and priority setting		Agency staff Authorities Community	Donor agency NGOs/UNHCR Authorities	
Programme design		Community: leader, focus. Groups, women's, groups, etc.	Donor agency NGOs/UNHCR Authorities	Implementation agency
Implementation	Agency headquarters Donors	Agency staff Community	Agency NGOs/UNHCR Authorities Community	Implementation agency
Monitoring and evaluation	Agency headquarters Donors	Authorities UNHCR Community	Agency NGOs/UNHCR Authorities Community	Implementation agency Consultants

Source: Harvey, Baghri, and Reed. (2002).



## C. Community mobilisation

[Community mobilisation](#) is the process of engaging different sectors in a coordinated effort to resolve health, social, or environmental concerns. It brings policymakers and opinion leaders from local, state, and federal governments, professional organisations, religious groups, corporations, and community members. In the WASH sector, community mobilisation also means that people are encouraged and motivated to participate in the WASH activities. It expresses that individuals and groups are empowered to create change. Mobilising a community is essential to WASH programmes because it helps:

- Obtain community buy-in and support to infuse new energy into an issue (in this case, WASH activities in disaster).
- Strengthen the base of community support for WASH activities.
- Encourage local ownership and decision-making related to WASH activities.
- Avoid duplication and redundancy in WASH activities.
- Create public awareness and pressure to improve laws, policies, and practices—a reminder that no single person or group can achieve alone.
- Increase cross-sector collaboration and shared resources.
- Increase access to funding opportunities for the WASH sector.

The community mobilisation process includes mobilising essential resources, distributing information, creating support, and encouraging collaboration across the public and commercial sectors in the community. The entire process has [five \(5\) phases](#).

- **Phase I: Planning for community mobilisation**
- **Phase II: Raising awareness**
- **Phase III: Building a coalition**
- **Phase IV: Taking action**
- **Phase V: Monitoring and evaluating**

### Phase I: Planning for community mobilisation

[Planning for community mobilisation](#) includes:

- Conducting community assessments
- Involving the right people and leader
- Defining goals and strategies
- Developing ways to measure and monitor the mobilisation



The first step in developing an effective programme is to assess the community's strengths, weaknesses, resources, and needs. Community assessment is helpful to get a better understanding of the community and allow us to determine the WASH priorities. An organisation can uncover the appropriate WASH facilities or services and enhance the community's capacity to initiate efforts on their own by taking the time to learn about them first.

Assessments are the foundation of any humanitarian programme because they enable organisations to understand what issues need to be addressed. It also assists in building relationships and encourage local to engage in long-term community development.

It is vital to involve the right people in designing community mobilisation and participation and select a strong leader. An adequate leader is crucial to successful WASH activities—the one who can be innovative and have the capacity to bring together people with diverse viewpoints and vested interests to achieve shared goals.

When conducting a [community assessment](#), organisations have to pay close attention to these general principles:

- **Maintain an open-minded mind.** Be receptive to the situation and seek to understand the issues communities face and the reasons behind their problems before making any assumptions.
- **Be careful in choosing participants.** Include a diverse cross-section of groups based on gender, age, ethnicity, religion, income level, etc.
- **Ensure the involvement of vulnerable and marginalised groups.** Consider the perspectives and needs of women, children, the elderly, ethnic and religious minorities, etc.
- **Manage the community's expectations.** Do not promise anything when there is still a lot of uncertainty. Involve the community to take part in further decisions.
- **Empower stakeholders.** Ensure that stakeholders take an active role in the assessment and throughout the project.

Community assessment can be conducted through many methods, such as community meetings, surveys, interviews, and Focus Group discussions (FGD). In a community meeting, a facilitator guides the participants by discussing challenges and opportunities and encourages them to engage. The community raises their strengths, weaknesses, resources, and needs in a survey through multiple-choice, rating scales, or open-ended questions. Interviews are used to gain a deeper understanding of a particular topic from a key informant. Interviews can initiate one-on-one conversations, and the respondents are more likely to share personal opinions more freely than other



methods. On the other hand, Focus Group Discussion (FGD) can help determine a target group's opinions on a particular idea.

**Table 7:** *Basic community assessment's questions*

Question	Following question
<b>Who is most affected by the disaster?</b>	<ul style="list-style-type: none"> <li>• What is their gender, race, ethnicities, and religion?</li> <li>• What are their socio-economic levels?</li> <li>• Where do they live?</li> <li>• What other information do you have on this population?</li> </ul>
<b>What are the impacts of the disaster on the community?</b>	<ul style="list-style-type: none"> <li>• What are the impacts for individuals most affected?</li> <li>• What are the impacts on their families?</li> <li>• What are the impacts on the community as a whole?</li> </ul>
<b>What are the barriers?</b>	<ul style="list-style-type: none"> <li>• Are there any barriers to addressing the community's WASH issues (social, economic, political, etc.)?</li> <li>• How to overcome the barriers?</li> </ul>
<b>What are the resources?</b>	<ul style="list-style-type: none"> <li>• What kind of resources does your organisation need to address in WASH activities?</li> <li>• What kind of resources does the community need to address in WASH activities?</li> <li>• Where and how can these resources be acquired?</li> </ul>
<b>What has been done for existing WASH activities in the community?</b>	<ul style="list-style-type: none"> <li>• Who was involved in those activities?</li> <li>• Have the efforts been ongoing? What are the results?</li> <li>• If the efforts already exist, can those already involved be enlisted to help?</li> <li>• How did the disasters affect the existing WASH facilities?</li> </ul>
<b>What does the community know about WASH activities?</b>	<ul style="list-style-type: none"> <li>• What are the myths and beliefs surrounding WASH, if any?</li> <li>• How can these perceptions be changed, if necessary?</li> </ul>
<b>What is the community's attitude toward WASH activities?</b>	<ul style="list-style-type: none"> <li>• Do they see it as an essential issue?</li> <li>• If not, what will make it important?</li> <li>• What do the community recommend in conducting WASH programme in crisis?</li> </ul>



## Phase II: Raising awareness

[Raising awareness](#) means identifying the individuals or community members to connect with and the best way to reach them. Some practical steps in raising community awareness include:

- With the available community assessment any other information, create a community impact statement based on the community's WASH situation. This information should be available in various formats (e.g., community bulletins, press releases, social media posts).
- Identify the organisations, agencies and other partners involved in this initiative. Plan on the best way to communicate with them.
- Seek assistance from diverse community leaders (e.g. local government, religious heads, media).
- Prepare a proper presentation of the WASH case and adjust them to be relevant to the audience.
- Continue to engage partners in a dialogue about community issues related to WASH.

## Phase III: Building a coalition

[Building a coalition](#) can help initiate and sustain change. When individuals become aware of a common need and act together to achieve shared benefits, they form a community. Those concerned about the situation must build and direct momentum to progress joint efforts. The practical steps in building a coalition in community mobilisation include:

- Organise a planned meeting for all interested partners to agree on a unified vision for the coalition.
- Identify other community and professional networks related to WASH programmes that may be recruited.
- Prepare and train coalition members to become advocates for WASH activities.

## Phase IV: Taking action

When the goals and strategies have been defined and relevant partners have agreed to join the coalition, it is time to start [taking action](#). Do not forget to consider the vulnerable and marginalised groups and the involvement of other parties in the WASH activities. The practical steps in taking action in community mobilisation include:

- Develop a strategic plan, including a detailed timeline, activities, and needed resources based on the community's needs.
- Distribute the workload fairly among the coalition members.
- Identify and prepare relevant materials that may be useful.



- Take coordinate action.

### **Phase V: Monitoring and evaluating**

It is critical to keep track of WASH activities to identify the most effective methods and the adjustments needed to drive more successful community participation and mobilisation activities. [Monitoring and evaluating](#) for community participation and mobilisation has three general steps:

- Plan how the progress will be assessed based on the goals and strategies. Determine the methods, data collection and tools, and analytical frameworks.
- Figure out the community mobilisation activities will be tracked to measure its effectiveness to be scaled up or reproduced while also revised and changed if needed.
- Remember to keep the coalition informed of any adjustments and changes in the programme based on the monitoring and evaluation

## **D. Summary**

- Communities are the primary stakeholders of a humanitarian WASH programme. Emergency WASH interventions must address the issues and needs of a disaster-affected community. Successful WASH programmes facilitate community participation and mobilisation.
- Community participation is the involvement of the affected community in initiatives that seek to solve their shared problems. Community mobilisation is the process of engaging different sectors in a coordinated effort to resolve health, social, or environmental concerns.
- The community mobilisation process includes mobilising essential resources, distributing information, creating support, and encouraging collaboration across the public and commercial sectors in the community. The process has five (5) phases.: planning for community mobilisation, raising awareness, building a coalition, taking action, and monitoring and evaluating.



## 1.3 Perform measures to integrate early recovery and disaster risk reduction approaches

### A. Introduction

Early recovery programmes offer a window of opportunity to reduce disaster risks and vulnerabilities. It provides a platform to "build back better" or "build differently". Therefore, sectoral early recovery programmes like those in WASH need to be integrated into broader disaster risk reduction (DRR) agendas.

### B. Early recovery programmes in the WASH context

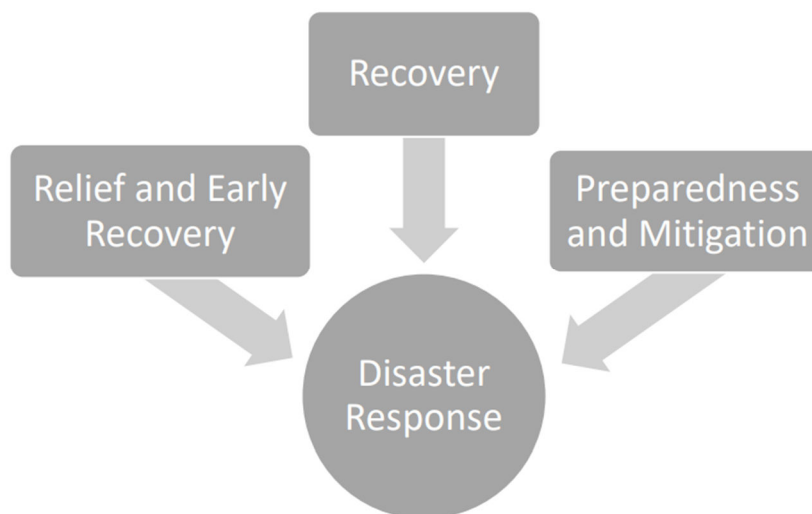
#### What is an early recovery programme?

According to the [IFRC Recovery Programme Guidance](#), recovery is the process of restoring normalcy in people's lives so they can bounce back as soon as possible from disaster impacts. The extent of recovery depends on pre-disaster levels of vulnerability and capacities available to cope with the adverse effects of disasters. The time needed for recovery is affected by many factors—some are relatively quick, and some may take years. Early recovery entails assisting people in the early phases of disaster response while also delivering relief, increasing the impact of immediate assistance, and laying the groundwork for longer-term recovery. The purpose of early recovery includes:

- Improve the quality and impact of relief while acknowledging that actions made during the relief stage can significantly impact early recovery and vice versa.
- Create the groundwork for longer-term recovery.
- Respond to the community's needs immediately to improve their capacity to cope early.
- Support programmes are more directly related to the community's priorities and the surrounding economy.



*Figure 4: Disaster response from a recovery perspective*



[Recovery programming](#) is designed to build on the immediate efforts of those affected to cope, heal, and rebuild. Community and public health, temporary and long-term provisions, protection and psycho-social support are part of recovery programming. Both early recovery and recovery programs take long-term development methods and adapt them to the humanitarian context. The [IRFC Recovery Programming Guidance](#) identifies seven fundamental principles for conducting recovery programming, which are also applicable to early recovery programmes.

*Table 8: Tips for incorporating recovery efforts in programmes*

Principles	Do	Do not
<b>Participatory</b>	<b>Do plan</b> for the affected community's ongoing engagement in early recovery and identify the potential community to involve.	<b>Do not confuse</b> an active engagement in decision-making with a simple consultation method.
<b>Inclusive</b>	<b>Do use standards</b> and guidance to identify the needs of different individuals and groups	<b>Do not restrict</b> the effort of our work if the current structures do not reflect all members of the community
<b>Accountable</b>	<b>Do determine</b> what it means to be accountable in the workplace and build a communication and feedback strategy with the affected community.	<b>Do not assume</b> that methods used in one situation will work in another. Accountability varies depending on the situation.



Principles	Do	Do not
<b>Does no harm</b>	<b>Do learn how</b> the projects might have both intentional and unforeseen positive and negative consequences.	<b>Do not become hesitant</b> because of difficulties – emergencies and crises are never ideal.
<b>Timely</b>	During the relief phase, <b>do use</b> available information to identify recovery needs.	<b>Do not</b> wait until the relief phase is finished to start planning for recovery.

Source: IFRC. (n.d.)

## WASH early recovery programmes

Disasters can cause many different WASH-related issues. For instance, widespread flooding can damage household and livelihood assets (e.g., municipal water supply systems, irrigation schemes). Recovery programmes to address this will typically include building rainwater harvesting as an alternative method and implementing a water filtration system tapping into new sources.

### What is the difference between relief and early recovery programmes?

Relief and early recovery programmes work alongside each other. Their activities often overlap, but the two are distinct in their core purpose. Relief focuses on assistance to protect life and meet the immediate life-saving needs of the affected communities. Early recovery programmes focus on helping the community cope with post-disaster circumstances and regain normalcy in their lives.

**Table 9:** *The differences between relief activities and early recovery activities in WASH context*

Relief activities	Early recovery activities
Provision of emergency water supply systems	Rehabilitation of ponds for rainwater collection before the next rainy season
Distribution of emergency kits with water filters	Installation of water treatment infrastructure.
Building of shower facilities and latrines	Community-based hygiene promotion to prevent an epidemic



## C. Linkages between early recovery and disaster risk education

**Disaster Risk Reduction (DRR)** is a method of assessing the likelihood and effect of disaster events by identifying and evaluating hazards and the susceptibility of communities to these hazards, and their ability to cope with them. DRR is a cross-cutting theme that should be incorporated into all early recovery interventions, focusing on high-risk communities. Interventions informed by DRR approaches can help mitigate risks, enhance emergency and recovery preparedness, and strengthen response capacity. The goal of DRR is to lessen damages and losses in lives, health, livelihoods, and disruptions to socio-economic functions by addressing the social, political, and economic drivers of risks and vulnerability.

DRR emphasises more on the [level of vulnerability](#) of the high-risk communities. Disaster **vulnerability** refers to the lack of capacity to cope with a hazard's impact or respond to disasters. Early recovery programmes and other recovery programmes seek to contribute to building the capacity of affected communities to cope with future disasters despite existing challenges (e.g., limited access to resources).

[DRR activities](#) in early recovery programmes include:

- **DRR mainstreaming**  
DRR mainstreaming involve using DRR guidelines and provisions in programme design and implementation, regular evaluations from a DRR perspective, and advocacy during early recovery to emphasise the importance of DRR.
- **Strengthening policy frameworks and organisational structures**  
Appropriate policy frameworks and organisational structures are needed to support DRR efforts.
- **Knowledge management**  
An integrated information system should be made available and accessible to stakeholders. It must provide helpful information such as future hazards and a location's vulnerability.
- **Community-based DRR**  
Refers to the active involvement of affected or at-risk communities in DRR efforts, such as designing evacuation routes and watershed management.

Some good examples of DRR mainstreaming in WASH interventions can be viewed [here](#).



## E. Summary

- Early recovery programmes offer a window of opportunity to reduce disaster risks and vulnerabilities. It provides a platform to "build back better" or "build differently". Therefore, sectoral early recovery programmes like those in WASH need to be integrated into broader disaster risk reduction (DRR) agendas.
- Recovery is the process of restoring normalcy in people's lives so they can bounce back as soon as possible from disaster impacts. The extent of recovery depends on pre-disaster levels of vulnerability and capacities available to cope with the adverse effects of disasters. The time needed for recovery is affected by many factors—some are relatively quick, and some may take years.
- Early recovery entails assisting people in the early phases of disaster response while also delivering relief, increasing the impact of immediate assistance, and laying the groundwork for longer-term recovery.

### 1.4 Establish effective links with other clusters or sectoral coordination platforms that are relevant to the WASH programming within the assigned activity area

#### A. Introduction

The WASH sector works with different agencies and collaborates with other sectors to improve programme design, response quality, and accountability mechanisms. Therefore, there must be an appropriate coordination platform that enables various stakeholders to work more efficiently. It is essential to determine the best method for each cluster in a particular situation. There is no one-size-fits-all approach. Other clusters may have specific requirements that shape how they link or coordinate with other clusters.

#### B. Links between the WASH cluster and other clusters

WASH actors must strengthen their efforts to coordinate amongst agencies and work across sectors to ensure that people from vulnerable and marginalised groups safely receive timely and appropriate services.



Joint assessment and analysis are needed for the wash team as a minimum requirement to work together effectively. It needs to cover software and hardware activity planning—joint analysis of monitoring data to identify both engineer and promotor implications. Coordination is essential to ensure that the agencies use harmonised data collection, standard datasets, and indicators. Through analysis, an analysis of WASH needs and gaps can be developed.

### Linkages with other sectors

WASH interventions cut across several sectors and are close to the health, nutrition, and education clusters. Representatives of these clusters need to coordinate to reduce gaps and prevent duplication of efforts. These are examples of linkages between WASH sectors to other sectors retrieved from [UNDP \(2014\)](#).

*Table 10: Linkages of WASH sectors to others*

Sectors	Linkages of WASH sector to others
<b>Health</b>	Installation of water and sanitation services and promotion of hygiene practices in healthcare facilities (e.g., appropriate waste management, drug's disposal handling)
<b>Nutrition</b>	Water supply for daily consumption and as a critical component to food preparation Appropriate food to maintain barriers to diarrheal diseases
<b>Education</b>	Appropriate and gender-segregated sanitation facilities for learning spaces (e.g., schools)
<b>Environment</b>	Take existing environmental conditions into consideration when conducting WASH activities Consider the positive and negative impacts of WASH activities on the environment
<b>Culture</b>	Consider ethnicity, gender, religion, and socio-economic factors in designing and implementing WASH programmes
<b>Disaster Risk Reduction (DRR)</b>	DRR interventions cut across development work, and WASH is one of the sectors affected. Coordination with DRR can occur in policies and legislation, advocacy and awareness, coordination of actions and capacity development, and "building-back-better" efforts

Source: UNDP (2014)



Moreover, there may be additional issues in addressing and establishing effective links with WASH sectors. For example, we must take climate change, political processes, and security conditions into account to adopt holistic approaches in conducting WASH activities.

### Managing contacts

One of the keys to effective communication is establishing regular contacts with partners and stakeholders. The WASH programme team need to create mechanisms for sharing regular updates and assign dedicated staff to handle this huge responsibility and time-consuming tasks. The method and mediums for communication should be adjusted according to what is familiar and preferred by other partners and stakeholders. Contacts can be [sourced](#) from:

- Contact list in the organisation database
- Contact information from mailing lists (i.e. Yahoo, Google mail)
- Attendance lists from events and meetings

### Managing contacts

The WASH cluster's ability to function and succeed heavily depends on regular communications and information exchanges. There are several methods for managing communications with multiple parties. The table shows the advantages and disadvantages of each method as shared by the [Global WASH Cluster \(2009\)](#).

**Table 11:** Advantages and disadvantages of different communication methods

Mean of communication	Advantages	Disadvantages
<b>Shared website</b>	<ul style="list-style-type: none"> <li>• Accessible for all clusters</li> <li>• Act as one source of information</li> <li>• Facilitate shared activities and cross-cutting interventions</li> </ul>	<ul style="list-style-type: none"> <li>• Not accessible to non-partners</li> <li>• Its usage is limited at the subnational level, where more detailed information is required</li> </ul>
<b>Email lists</b>	<ul style="list-style-type: none"> <li>• Enable to share information with a large number of people in a short time</li> <li>• Do not need a direct contact</li> </ul>	<ul style="list-style-type: none"> <li>• Depends on internet access</li> <li>• The email lists have to be updated regularly</li> <li>• Need good copy-writing skills</li> <li>• Partners can get irrelevant information</li> </ul>



Mean of communication	Advantages	Disadvantages
<b>Google/Yahoo apps</b>	<ul style="list-style-type: none"> <li>• Allows information sharing between partners</li> <li>• An alternative to conventional meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Depends on internet access</li> <li>• Not applicable in some government mechanisms</li> <li>• May be unfamiliar to some actors</li> </ul>
<b>Telephone or mobile phone calls</b>	<ul style="list-style-type: none"> <li>• Establishes direct contact with national and local partners</li> <li>• Immediate exchange of information and decision-making</li> <li>• Most people are familiar with this method</li> </ul>	<ul style="list-style-type: none"> <li>• May be expensive</li> <li>• Time-consuming Not all stakeholders have access to phones</li> <li>• More difficult to delegate to other staff or actors</li> </ul>
<b>Hardcopy deliveries</b>	<ul style="list-style-type: none"> <li>• Establishes direct contact with national and local partners</li> <li>• Most people are familiar with this method</li> </ul>	<ul style="list-style-type: none"> <li>• May be expensive,</li> <li>• Time-consuming,</li> <li>• Does not provide instant two-way communication</li> <li>• Need additional mechanisms for people to respond</li> </ul>
<b>Public meetings</b>	<ul style="list-style-type: none"> <li>• Establishes direct contact with national and local partners</li> <li>• Most people are familiar with this method</li> </ul>	<ul style="list-style-type: none"> <li>• May be expensive</li> <li>• Time-consuming</li> <li>• Can be dominated by powerful interests</li> </ul>
<b>Posters</b>	<ul style="list-style-type: none"> <li>• If placed well, it can be visible to many people.</li> </ul>	<ul style="list-style-type: none"> <li>• Slow information exchange</li> <li>• Not an appropriate method for daily information</li> </ul>

## C. Summary

- The WASH sector works with different agencies and collaborates with other sectors to improve programme design, response quality, and accountability mechanisms. Therefore, there must be an appropriate coordination platform that enables various stakeholders to work more efficiently.



- There is no one-size-fits-all approach. Other clusters may have specific requirements that shape how they link or coordinate with other clusters.
- WASH interventions cut across several sectors and clusters: health, nutrition, education, environment, culture, and DRR.
- One of the keys to effective communication is establishing regular contacts with partners and stakeholders. There are several methods for managing communications with multiple parties. Each method has advantages and disadvantages.

## **1.5 Operate and maintain sound internal controls to coordinate financial and supply management requirements and ensure accountability**

### **A. Introduction**

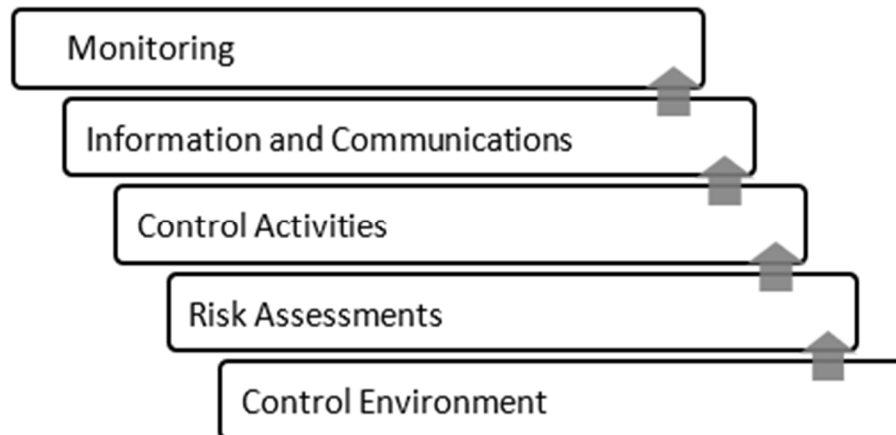
Technical staff contributes immensely to WASH activities. But organisations have to pay equal attention to those coordinating the internal matters, such as human resource management, administrative functions, financial and supply management activities. These team members contribute to operating and maintaining internal controls that promote accountability throughout the operational cycle be integrated into broader disaster risk reduction (DRR) agendas.

### **B. Operating and maintaining internal controls**

Internal controls are methods and processes designed to keep the organisation safe from damages and losses, including those affecting team members lives and the organisation's finances and reputation. The main purpose of internal control systems is to increase organisational performance and reduce operational risks through defined policies, rules, and procedures. The figure below shows an internal control structure.



*Figure 5: Internal Control Structure*



### Human resource management

Behind every successful programme, there is a dedicated and motivated team. One of the critical functions of any internal control system is to ensure that the right team member with the right experience, knowledge, and skills are assigned to do the right job. It is essential to have competent and qualified technical staff and collaborative support staff members.

### Administration functions

Administration as a support system that usually involves the following tasks:

- **Processing of funds and budget monitoring**

WASH activities often entail costs and expenses, especially when labour and physical material is needed for building facilities or conducting hygiene campaigns. Having an efficient mechanism for quickly processing the release of funds, especially during an emergency, is critical to speed up the implementation of operations. It is also essential to monitor budgets to allocate resources appropriately to where it needs to go. Dedicated staff usually keep the system for budget revisions, reimbursements, and more running. Furthermore, in an emergency, local banks may cease to operate. An administration staff helps control the spending plan and distribution of cash (e.g., wages).

- **Personnel administration**

Running a human resource management system involves many processes like recruitment, compensation and benefits, performance appraisal, and more. Support staff make sure that the various activities involving the organisation's management human resources are integrated, standardised, and optimised.



- **Coordinating functions**

Internal control includes coordinating the work of different functions, departments, units, and teams. The key here is ensuring that information is managed so that details are recorded and shared, and messages reach those who need to know about it. For instance, support staff can help track transaction dates, activities of people, and other essential information required for coordination

## C. Establishing controls in WASH financing activities

WASH finance needs an additional level of risk management oversight because WASH loan products, credit processes, and regulations differ from other financial instruments, internal controls and audit procedures. There are four board areas that the organisation should focus on when establishing controls in WASH financing activities: human resources, policies and procedures, partners and collaborators, and information systems

*Table 12: WASH financing activities and areas to control*

Areas of control	Linkages of WASH sector to others
<b>Human resources</b>	<p>There should be staff with the following expertise when designing WASH financing programmes:</p> <ul style="list-style-type: none"> <li>• <b>Engineering</b> expertise, to assess the infrastructural capacity, advise about WASH infrastructure design</li> <li>• <b>Community mobilisation</b> expertise to design community mobilisation activities in the operational area</li> <li>• <b>Monitoring and evaluation</b> expertise, to regularly monitor the loan and conduct load utilisation</li> <li>• <b>Government entities</b> expertise to coordinate with the government to ensure the accessibility of WASH programmes</li> <li>• <b>Market research and product development</b> expertise, to conduct market demand assessment and design WASH loan products</li> </ul>
<b>Policies and procedures</b>	<p>When creating loan products, WASH staff in financing must consider many factors, for WASH loans are not backed by an income-generating industry and are often provided at a reduced (but manageable) interest rate. There are several control points for WASH loans, such as:</p> <ul style="list-style-type: none"> <li>• Loan eligibility criteria</li> <li>• Loan appraisal</li> <li>• Loan approval</li> <li>• Loan disbursement</li> </ul>



Areas of control	Linkages of WASH sector to others
<b>Partners and collaborator</b>	Multilevel collaboration is needed to ensure the success of WASH financing programmes. There may be some activities that other partners and collaborators may better conduct with their expertise (e.g., understanding of the local context, specialised services with sophisticated information management systems)
<b>Information systems</b>	Implement the following to better control the gathering, evaluation, and sharing of information: <ul style="list-style-type: none"> <li>• Identify WASH indicators to track (e.g., water quality measurement, water supply quantity)</li> <li>• Develop procedures for proper data collection and analysis</li> <li>• Design standard reporting formats for staff</li> </ul>

## D. Establishing controls in WASH supply management activities

Most WASH intervention requires adequate materials and equipment. Effective supply management systems help ensure the timeliness and quality of engineering intervention in all phases of programme management. Consider the following factors when [managing supply](#):

- **Type of equipment**  
WASH equipment in the market can be compared based on quality, price, and technology. Other factors to consider when choosing equipment include:
  - It should be a ready-stock with the right quantities and can be packed right away
  - It should be easy to use
  - It should be solid and long-lasting
  - It should be adaptable in various conditions that may need adjustment
  - It should come with instructions for proper maintenance
  - Its spare parts should be easy to obtain
- **Rapid-response equipment**  
It is easy-to-transport and easy-to-use equipment for rapid response and early recovery. This includes lightweight water equipment, flexible pipework, tap standards, etc.



- **Specification**

Exact specifications are necessary to guarantee that the right purchases are made and that the materials and equipment utilised on the job site operate as expected. Wrongly specified supplies (e.g., faulty pumps) are a waste of resources and create delays and suffering in the field.

- **Emergency stocks**

Materials and equipment might be standard or non-standard, and they might come from two distinct sources: emergency stockpiles and supplies acquired as needed. There are some advantages of holding emergency stocks, such as its speed of use, reliability because it is on hand, familiarity with using them, and may entail lower costs (e.g., no delivery fees).

- **Direct procurement**

Some items and equipment are not stored in emergency stockpiles because they are too large, perishable, or difficult to stock and transport (like local construction materials or pesticides) or because they are too specialised to be of widespread use (like local construction materials). This issue is usually tackled by identifying companies that can supply equipment and materials with standard specifications on short notice. There are three options:

- Local purchasing
- Regional purchasing
- International purchasing

- **Transport**

There are many kinds of transportation to transfer equipment and materials, such as air transport and surface transport. International logistics, which logistics workers should usually control, should not be a problem for field managers. They are in charge of ensuring that supplies from outside the project region arrive on schedule, in excellent shape, and on budget.

- **Field logistic systems**

A supply-chain management system is necessary to handle commodities and equipment, ensuring a record of their orders, arrival, storage, transit, final usage, and payment. Goods may be carried and stored many times before being used. Controls used in field logistic system include 'Supplies request' form

- 'Goods received' form
- Stock report / Inventory form
- Regional purchasing



Moreover, creating a proper supply system is time- and energy-consuming. Dedicated and skilful support staff are needed to set up procedures, arrange warehousing and transport, secure office space and accommodation, and more. By following a few simple [guidelines](#), water supply and sanitation programme team members may make the task of running the field logistics system. Some examples include:

- Involve logistic staff in programme-planning and decision-making
- Implement a stock-issue system and conduct checks regularly (daily, weekly, or monthly)
- Record the use of goods (goods taken from the store, goods used, goods transferred between sites, etc.)

## E. Cash Transfer Programming

When cash transfer programming takes place based on the assessment, coordinators should plan the activities and resources. First, a time frame has to be identified, for each time-based condition may result in different needs. For example, does the time frame include when affected people move to the transitional shelter? Or is it a post-harvest season?

Moreover, institutional and administrative requirements are shown below.

**Table 13:** *Institutional and Administrative requirements for Cash Transfer Programming*

Requirements	Descriptions
Programme budget	Programme budget should consider the contingency between current prices and the worst-case scenario based upon seasonal and historical prices. It should also monitor the local prices and adjust the transfer amount to account for significant changes. In cases of extreme inflation, it is essential to reassess whether CTP is still the appropriate mechanism to achieve program objectives.
Delivery mechanism	Instead of establishing bank accounts, beneficiaries can safely withdraw cash with a program-distributed check. This method offers security to the recipients and the program team, and allows for more accurate cash distribution. To reduce security risks, distributions may be in the form of checks or vouchers redeemable at a financial service provider. The consequence of this is the cost of printing, distributing the checks and the staff time required. Issues that need to be considered are spelling and identification requirements to cash the check. Financial service providers may also charge beneficiaries check-cashing fees.

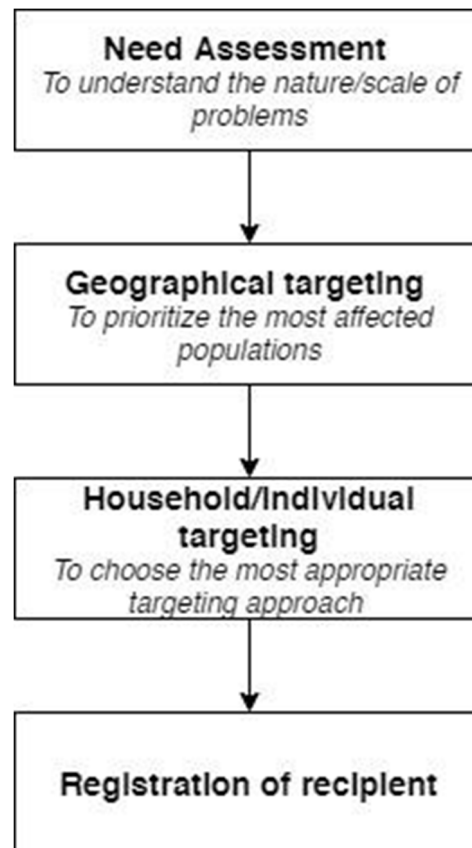


Requirements	Descriptions
Human resources	Availability of officers (human resources) in identifying priority needs and target communities those affected by the natural and man-made crisis, conducting IDPs verification assessment, conducting market assessment in the areas of a needy community, conducting post-distribution monitoring, establishing relationships with community, local government and leaders, overseeing field-level operations, such as the delivery of materials/inputs, registration of complaints, and payment to beneficiaries.
Administrative issues	Administration databases identify people who meet the required benefit criteria. For beneficiaries in the formal labour market and/or those covered by the social security network, the government should utilise social security and tax administration databases to identify people who meet the required benefit criteria. Where the government does not have access to data that provide reasonable information about beneficiaries in the informal sector, it could adopt an incremental approach. In the first stage, the scheme would cover as many potential beneficiaries as possible and provide a small amount of immediate relief. In a second stage, applicants would be required to undertake a full enrolment process, including validating beneficiary requirements.
Coordination	In the implementation of CTP, coordination is very critical. Therefore, it is important to coordinate with stakeholders implementing CTP in the same area. Variation in the number of cash transfers, procedures and timing among different implementing stakeholders may create disputes, negatively affect local markets and create unreasonable expectations

The next important thing in cash transfer programming is targeting. Targeting can be done by following this chart.



**Figure 6:** Flowchart in targeting cash transfer programmes recipients



(ICRC & IFRC, 2007)

Coordinators have the role to approach the targeted recipients. Before that, the WASH teams should already have the targeting criteria, such as context-specific area (loss of assets, home destroyed, etc.), social welfare criteria (people who are ill, disabilities, etc.) or specific vulnerable groups (people with HIV/AIDS, marginalised populations, etc.).

After the recipient lists are constructed, the next step would be the registration process. Registration process is used to form the baseline data at the start of the programme so that adequate monitoring can be undertaken later. This would ensure the programme's sustainability. Registration can be by:

- Signing/fingerprinting lists during distribution;
- Paper registration card (with photo and plastic cover);
- Smart card;
- Iris scanning.



## F. Summary

- Technical staff contributes immensely to WASH activities. But organisations have to pay equal attention to those coordinating the internal matters, such as human resource management, administrative functions, financial and supply management activities. These team members contribute to operating and maintaining internal controls that promote accountability throughout the operational cycle.
- Internal controls are methods and processes designed to keep the organisation safe from damages and losses, including those affecting team members lives and the organisation's finances and reputation.
- The primary purpose of internal control systems is to increase organisational performance and reduce operational risks through defined policies, rules, and procedures

## 1.6 Contribute to overall WASH reporting and documentation within the assigned activity area as well as effective information sharing

### A. Introduction

Regular monitoring of WASH indicators assists in determining whether WASH programmes in emergency settings are on track to satisfy basic requirements and agreed-upon objectives. The documentation and reporting of monitoring results allow stakeholders, including the affected community members, to see how far the WASH efforts have progressed.

### B. WASH documentation and reporting

The documentation and reporting of WASH activities make monitoring and evaluation processes more efficient. The main purpose of documenting and reporting systems is to ensure that programmes are on track, meet high-priority needs, and use resources efficiently. Organisations have to document and report not just at the end of the programme but also throughout, from initiation, planning, implementing, and closing. Such documents and reports are often the basis for improving organisational performance.



Understanding the success or failure of the WASH component and judging the organisation's potential to function well in future scenarios require the evaluation of several programme components. The three most important questions to ask when evaluating programmes are:

- **Was it effective?**  
Did the programme achieve the targets most relevant to addressing the needs of affected communities?
- **Was it efficient?**  
Did the programme use its available resources efficiently to achieve its objectives?
- **Was it equitable?**  
Did the programme cover the most community members it can, considering its scope and resources in an equitable way?

Organisations can also evaluate programme performance based on these three areas:

- **Outcome** (the desired impact): There are two kinds of impact: direct impact (e.g., improved access to water supply) and indirect impact (e.g., morbidity and mortality improvement). Outcomes of collaborative efforts (e.g., with health and nutrition sectors) may also be assessed.
- **Outputs** (the planned target): Outputs include the number of taps installed, the number of volunteers trained, etc.
- **Inputs** (the use of resources): Inputs include the budget spending (e.g., whether it is overspent or not) and staff expertise (e.g., whether it is used accordingly).

Moreover, there may be other sources of information to help the organisation conduct their evaluation, such as assessment information, monitoring information, other programme reports, and field information.

- **Assessment information**  
It helps to get a clear image of the situation before the emergency response begins and figure out why programme objectives were defined that way.
- **Monitoring information**  
Monitoring information serves as a record of programme implementation and the significant changes in the situation, allowing us to understand better how the programme progressed over time. Such reports are useful for reviewing programme accomplishments, challenges, and expenditures.
- **Other programme reports**  
Other programme reports, including those from other sectors like health and nutrition, include some of the WASH programme's key influences and events explaining specific decisions or modifications.



- **Field information**

Field information is gathered in the operating space of WASH programmes. It may be necessary to collect new data to fill in gaps in reports, measure previously uncaptured indicators, or learn specific lessons as part of a more extensive operational research process.

## C. Communicate sensitive data as needed

[Sensitive data or personal data](#) is usually defined as information on one's health, colour or ethnicity, religious/political/armed group affiliation, or genetic and biometric data. This data, if exposed, might lead to discrimination or repression. All sensitive data requires enhanced security, though different forms of data may present different sensitivity levels. In some cases, an essential list of names, for example, could be extremely sensitive if it puts the people on the list and their families in danger of persecution.

However, it might be challenging to meet the fundamental requirements of valid consent (informed and freely provided) under emergency settings in which humanitarian organisations typically work. For example, agreeing to the processing of personal data may be a need in a pre-condition to receiving assistance. In communicating sensitive data, the organisations should consider the following (See [ICRC. n.d.](#)).

*Table 14: Considerations when handling sensitive data*

Considerations	Descriptions
<b>Consent</b>	For consent to be valid, it must consider the following: unambiguous, timing, validity, vulnerability, children's consent, informed, documented, and withholding/withdrawing consent.
<b>Vital interest</b>	If valid consent cannot be obtained, sensitive data may still be processed if humanitarian organisations deem it in another person's vital interests. For instance, to protect the person's life, integrity, health, dignity, or security.
<b>Public interest</b>	Public interest should be considered when the action in question is part of a humanitarian mission established under national or international law.



Considerations	Descriptions
<b>Legitimate interest</b>	Humanitarian organisations may also handle sensitive data in their legitimate interest, and this interest does not outweigh the data subject's fundamental rights and freedoms.
<b>Performance of a contract</b>	Humanitarian organisations may handle sensitive data on a legal basis if it is required to fulfil a contract to which the data subject is a party or take actions at the data subject's request before entering into a contract.
<b>Compliance with legal obligations</b>	Humanitarian organisations may handle sensitive data if it is essential to comply with a legal obligation they are subject to or submit. It may be the case, for example, in the domain of employment law or for organisations that do not benefit from privileges and immunities if compliance with an enforceable legal requirement is required.

Source: ICRC. (n.d.).

## D. Data and information sharing

Before planning other WASH programmes, it is important to consider how the organisation will utilise previous evaluations and act based on lessons learned. Below is a table of the stakeholders with whom WASH programme teams may share data and information.

*Table 15: Data and information sharing*

Stakeholders	Purpose	Method options
<b>Programme staff</b>	Allow them to verify and challenge it, learn from it, and add to it if necessary	Regular meetings
<b>Affected community</b>	Allow them to judge its accuracy and relevance and suggest further improvement if necessary	Focus groups, public meetings, posters
<b>Staff from other partners/organisations</b>	Allow them to understand the program and lessons for their work	Regular meetings, teleconference



Stakeholders	Purpose	Method options
<b>Coordinating, funding, and hosting government agencies</b>	To report on the program and demonstrate the organisation's accomplishments and openness to examination	Regular meetings, teleconference, telephone contact, hardcopy deliveries, email
<b>Fundraisers</b>	To inform the donating public on what has been accomplished with their help	Regular meetings, teleconference, telephone contact, hardcopy deliveries, email
<b>Internal staff (technical support, administrative)</b>	To help them understand the projects and improve institutional knowledge and supports activities (e.g., training)	Regular meetings
<b>Researchers and trainers</b>	To help them incorporate the lessons learned into a larger body of knowledge and improved practice in emergencies	Regular meetings, teleconference, telephone contact

## E. Summary

- Regular monitoring of WASH indicators assists in determining whether WASH programmes in emergency settings are on track to satisfy basic requirements and agreed-upon objectives.
- The documentation and reporting of monitoring results allow stakeholders, including the affected community members, to see how far the WASH efforts have progressed.
- The documentation and reporting of WASH activities make monitoring and evaluation processes more efficient.
- The main purpose of documenting and reporting systems is to ensure that programmes are on track, meet high-priority needs, and use resources efficiently. Such documents and reports are often the basis for improving organisational performance.



## 1.7 Supervise and coordinate WASH within the assigned activity area

### A. Introduction

The staff needed in WASH depends on the objectives and scope of the programme. Assigning the right people to the right job is as essential as having enough hands working on a WASH programme. Time is also a significant factor. For instance, speed of execution is essential in construction projects. WASH coordinators must have the ability to supervise and coordinate WASH staff effectively.

### B. WASH staff in activity areas

#### Field staff

Managing WASH staff in the field is one of the most challenging responsibilities of coordinators. Coordinators face similar management issues as those working in the office, with the added challenge of leading and motivating staff in high-stress and volatile emergency settings. Coordinators in the field also have to deal with a broader range of stakeholders in situations where they have minimal control. One of the first things coordinators need to do in this regard is to [determine](#) the personnel requirements

- **Identify the key project components and form a management team.** WASH programmes often include an: emergency programme manager, water supply project manager, hygiene promotion project manager, logistics manager, administration manager, and more.
- **Form activity-oriented field teams.** The size and number of teams will depend on the quantity and speed at which activities must be completed. Each team should be composed of no more than 20 members, including a team leader/manager.
- **Assign leadership/management positions.** Delegating responsibility to those closest to the affected community helps ensure the adequate management of field teams and that the core management team is not overburdened. Leadership/management positions may be assigned separately regionally (e.g., one manager per camp covering several emergency camps) or based on a programme activity (e.g., Water Project Management and Hygiene Promotion Project Manager)



## Labour forces and contractors

Labour forces and contracts usually hire labour-intensive work, such as drilling boreholes, installing pipes, and building latrines. In supervising the contractor teams, the areas of responsibility include hiring and firing, daily administration, staff supervision, technical supervision, monitoring and reporting. Together with programme managers, coordinators must execute a formal and legally enforceable contract to guarantee that work is completed on schedule, on budget, and at the agreed quality standard.

There are three options for [paying](#) labour forces and contractors:

- **Day work**  
Employees are paid daily, regardless of how much labour they complete. The arrangement is helpful for skilled activities where both quality and speed are crucial. It also offers managers a lot of flexibility in deploying their employees, allowing them to change tasks in response to difficulties or shifts in priorities.
- **Piecework**  
Employees are paid for doing specific work agreed upon with the hiring party. The arrangement is appropriate for less complex activities like trench digging and pipe laying. It involves specifying the quality of work required and checking the work to verify that it satisfies the quality standards.
- **Task work**  
Task work is the combination between day work and piecework. Each day, a job is assigned, and the employees are free to depart once they have completed the work for the day. It allows managers to plan and track progress based on daily accomplishments

## Staff from the affected community

During emergencies, engineers and administrators, community workers, health educators, artisans, and labourers perform most WASH programme implementation work. Members of the [affected community](#) may be involved in these efforts. The following are some considerations to keep in mind when hiring and managing workers from the affected community

- People affected by a disaster may be disoriented, injured, struggling with losses, and traumatised. They must be appropriately compensated and protected when involved in WASH activities.
- On the other hand, people impacted by emergencies may lose their sense of purpose. The opportunity to use their knowledge and skills productively in a useful occupation and earn a living may help them regain their sense of purpose.



- Many crises bring together people from all walks of life. It can create a large talent pool and open up alternative information sources useful for WASH programmes.
- Be mindful of the political dynamics inside camps or settlements and their pressures on local staff. This may impact how your organisation and the WASH programmes are perceived.
- Staff members from the affected community may be unpaid volunteers, receive tangible non-monetary compensation, or be provided with a regular salary. The appropriate approach depends on the circumstances in the area, and no solution is universally applicable. The practical considerations for this are the needs of the community members, the security situation (e.g., incidents of materials theft), and local rates.

It is ideal for opening the same job opportunities to marginalised and vulnerable groups (e.g., healthy women and physically fit elderlies) whenever possible. Including them in WASH programmes allows members from these groups to earn money, participate in decision-making, and contribute to their communities. Nonetheless, one should keep the following points in mind when engaging people from marginalised and vulnerable groups for work

- **Quality:** choose people based on their technical skills, language skills, status and influence, and other necessary factors
- **Workload:** are the people capable of extra work, and will it affect their household activities?
- **Training:** are they already skilful, and what training do they need to develop their skills?
- **Contracts:** it is vital to check the country's contract laws, especially if an affected person may not have the legal right to work

## C. Summary

- The staff needed in WASH depends on the objectives and scope of the programme. Assigning the right people to the right job is as essential as having enough hands working on a WASH programme. Time is also a significant factor.
- Managing WASH staff in the field is one of the most challenging responsibilities of coordinators. Coordinators face similar management issues as those working in the office, with the added challenge of leading and motivating staff in high-stress and volatile emergency settings.
- Coordinators also have to deal with a broader range of stakeholders. This includes field staff, labour forces and contractors, and staff from the affected community.



- There are three options for paying labour forces and contractors: day work, piecework, or task work.
- When working with staff from affected communities, be mindful of how they are coping with the disaster, regaining their sense of purpose, knowledge and skills, local political dynamics, and appropriate forms of payment.
- It is ideal for opening the same job opportunities to marginalised and vulnerable groups (e.g., healthy women and physically fit elderlies) whenever possible. Consider the following when engaging these groups for work: quality, workload, training, and contracts.

## 1.8 Contribute to the design, management and communication of a responsible exit strategy

### A. Introduction

Exit programme involves the withdrawal of assistance or resources from the operating settings in the affected communities. The goal of exit programmes is to support affected communities to build on the gains of programmes and sustain the activities independently. Exit programmes mark the transition from early recovery to long-term recovery. Exit programmes also assist in resolving tensions that may arise from the handover of tasks. Designing, managing, and communicating a responsible exit strategy is essential.

### B. Design a responsible exit strategy

The [criteria](#) for determining when to “exit” WASH programmes are time limit, WASH programme impact, and achievement of benchmarks

- **Time limit**  
There is a time limit in every WASH programme defined, most often, by funding cycles. Funding cycles impose temporal limitations on relief, recovery, and development efforts. Time restrictions may improve a programme’s focus on developing sustainable systems or impose false time limitations.
- **Programme impact**



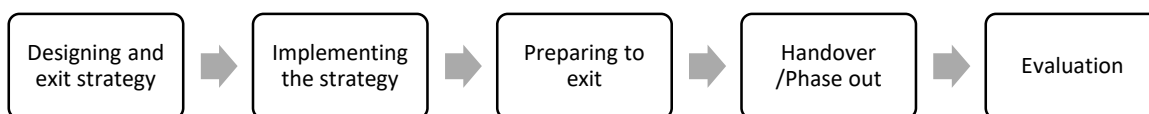
Impact indicators can be used to concentrate “programme graduation” on more self-sufficient communities or practical programme components.

- **Achievement of benchmarks**

Achieving benchmarks, like completing milestones, indicate whether WASH programmes can initiate the exit strategy’ graduation process

These are the general steps for designing and implementing an exit strategy in humanitarian programmes, retrieved from [Oxfam \(n.d.\)](#).

*Figure 7: General steps of an exit strategy design and implementation*



*(Oxfam, n.d.)*

## Designing an exit strategy

The most essential task is linking the exit strategy to long-term programme goals when designing an exit strategy. For instance, using local materials to minimise reliance on external resources may be an explicit component of an exit plan

### 1. Determine “Where to start?”

To identify where to start, we have to discuss this question with all relevant partners/organisations, affected community, and other beneficiaries in our WASH programme: What outcomes do we want to sustain after it has ended? The answers can be obtained from surveys, focus group discussions, in-depth interviews, or other methods. The lesson learned in Exit Strategy in Zambia and Zimbabwe states that: A detailed plan for “exit” really should be developed at the “entry” point.

### 2. Develop an exit strategy tool

Involve the same actors to develop an exit strategy tool. Carry out this step with the same group of persons who identified “where to start”. This might take the shape of a group gathering or a facilitator-led workshop.

### 3. Define the WASH exit strategy and plan the exit activities

These questions may help an organisation design an exit strategy, define tasks, allocate tasks, create a timetable, choose benchmarks, and draft a monitoring plan (C-Safe, 2005).

- What should the strategy achieve (What are the objectives)?



- What exit strategy do you purpose for this program or specific components of your program?
- What will be your overall criteria for exiting?
- What exit activities (different from the programme activities) need to be implemented to meet the criteria and achieve the objectives?
- Specify who (partners, stakeholders—not necessarily a person’s name) should do exit activity and when?
- What are benchmarks for measuring the implementation and results of each exit activity?
- Decide who should monitor each benchmark and when to monitor them.
- Develop the budget for your exit strategy. Be sure to include the costs for each exit activity, including monitoring.

The matrix can help organise the answers to the questions above, retrieved from [Gardner, Greenblott and Joubert. \(2005\).](#)

**Table 16:** Matrix to organise a WASH exit strategy and planning

Exit Activity	Actors: Who will do this?	Project cycle: When in the project cycle this will be done?	Monitoring: How will it be monitored	Manpower: Who will do the monitoring and when?	Budget: <i>What is the cost of this activity?</i>

Source: Gardner, Greenblott and Joubert. (2005)

#### 4. Develop the WASH exit strategy timeline

Having a flexible timeline will be crucial to the exit strategy’s success. Consider charting the WASH exit strategy timeline alongside the implementation timetable for the program. It will enable the organisation to perceive them as a whole and increase the ability to connect the different phases in the exit strategy to those in its program implementation plan. For example, a monitoring method may be conducted regularly (e.g., biweekly) where indicators for the exit strategy can be added to save on energy, resources, and time



## Implementing an exit strategy

During the WASH programme implementation, set indicators and evaluate the exit plan and timetable against them regularly. WASH exit criteria should be reviewed and adjusted during the program to adapt to changing conditions, always cooperating with other stakeholders. Moreover, clarify how different stakeholders share duties and responsibilities. Integrate programme activities within the structures of local organisations that will take over once the programme is over

### Preparing to exit

Review the WASH exit criteria with all stakeholders and agree on the handover and phase-out procedure when preparing to exit. Define clear capacity-building indicators, for it is often applied too loosely. Gaining managerial capacity or essential technical abilities or securing financial and other resources to continue activities should be included in the indicators—Focus capacity-building on particular stakeholders to increase their capability to continue implementing the WASH programme.

### Hand-over/Phase-out

Sign legal agreements on the handover of funds/resources. It is crucial to exit the WASH programme gradually. Oxfam's organisational function, for example, shifts from implementer to financier to adviser before eventually ceasing to exist. This gradual retreat allows local organisations to expand their capacity and experience. It also enables them to monitor the exit process to learn what works and detect and fix issues.

### Evaluation

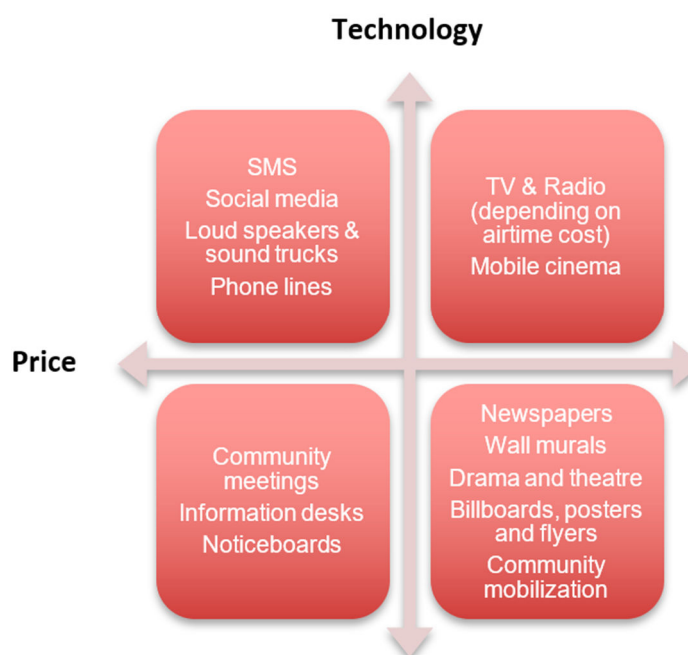
Every WASH strategy or programme should be evaluated to determine the good practices and lessons learned for future programming. WASH exit strategies may integrate post-exit evaluation into the programme to examine the program's sustainability. Several months after the program's conclusion, a review can uncover difficulties and impacts not anticipated upon departure. Do not forget to involve as many relevant stakeholders as to gather a range of perspectives.



## C. Communicate the exit strategy

[IFRC](#) has provided a list of considerations that guide coordinators of humanitarian programmes in choosing an appropriate communication channel for sharing the exit strategy:

*Figure 8: List of considerations*



- Based on assessment data
  - What channels do community members use?
  - Cultural and literacy considerations?
- Based on the programme needs
  - One or Two-way communication?
  - Change behaviours or improve accountability?
  - What is the geographical spread of the people to reach?
  - How much time do you have to get activities up and running?
- Which channels are the Government using?
- How could the choice of channel affect neutrality and impartiality?



## D. Summary

- Exit programme involves the withdrawal of assistance or resources from the operating settings in the affected communities. The goal of exit programmes is to support affected communities to build on the gains of programmes and sustain the activities independently.
- The criteria for determining when to “exit” WASH programmes are time limits, WASH programme impact, and achievement of benchmarks.
- The practical steps to build an exit strategy into the organisation's exit programs are: designing an exit strategy, implementing the strategy, preparing to exit, hand-over/phase-out, and evaluation.

## 4.2 Element 2. Monitor and report against key WASH indicators

### 2.1 Coordinate collection of data and information within the agreed monitoring plan and strategy

#### A. Introduction

Evidence-based decision-making and actions are essential to efficient and effective WASH programming. Data and information come from many sources and means different things to different actors. Efforts for collecting and sharing them requires careful coordination. The coordinator should also ensure that none of the data and information is being shared illegally or unethically.

#### B. Coordinating collection of data and information

Data and information exchange platforms will help facilitate a more participatory implementation of the response and recovery strategy. The key actors participating in the Assessment and PDNA Team should be included in data and information collection and sharing efforts. The list of the arrangements may include:

- Collaboration within the WASH cluster and intra-sectoral coordination with other clusters.
- Agreements with the government, civil society, and the private sector for coordination.



- Inter-agency management arrangements (e.g., coordination unit or similar arrangements), support services to be developed (e.g., offices, human resources, etc.).

## C. Sharing data and information to stakeholders

This process determines who should know what, when, and through what form and medium. It is essential to think about how data and information will be used after collecting it and act on the results and findings. For instance, before producing a report, think about how to format the material and communicate it to be engaging and easy to understand. It may require translation, illustration, and a presentation program for sharing the report. The information may be shared in part or whole with the following actors:

- Programme staff, to allow them to verify or challenge it, learn from it, and add to it if necessary.
- The affected community allows them to judge its accuracy and relevance and suggest further improvements, if appropriate.
- Staff from other implementing agencies help them understand the programme and lessons for their work.
- Coordinating, funding, and host-government agencies, to report on the programme and demonstrate the agency's achievements and openness to scrutiny.
- Fundraisers to communicate with the public about what has been or can be achieved with their support.
- Support staff within the agency, such as technical support or administrative support teams, to help them understand projects and improve institutional knowledge and support activities, including training.
- Researchers and trainers, to incorporate help lessons learned into the broader body of knowledge and improve practice concerning emergencies.

## D. Summary

- Evidence-based decision-making and actions are essential to efficient and effective WASH programming. Data and information come from many sources and means different things to different actors.
- Efforts for collecting and sharing them requires careful coordination. The coordinator should also ensure that none of the data and information is being shared illegally or unethically.



## 2.2 Support other sectors in the effective monitoring and reporting of key WASH indicators

### A. Introduction

Disaster management is not the responsibility of a single sector. A WASH programme coordinator must understand how WASH supports other sectors and how other sectors contribute to WASH efforts. They must strive to build and sustain strong partnerships with other stakeholders in various activities, including monitoring and reporting of key indicators.

### B. Effective monitoring of key WASH indicators

Monitoring is a management tool that allows coordinators to keep programmes on track and evaluate whether such programmes effectively meet high-priority needs and allocate resources efficiently. The term "effectiveness" refers to how well something works. On the other hand, "efficiency" is a metric that measures the amount of work done in relation to the number of resources used.

These are the four essential questions that coordinators must ask themselves:

1. Do programme activities contribute to achieving the programme goals?
2. Are the intended beneficiaries benefitting from the programme?
3. Is the programme progressing as expected?
4. Are resources being utilised effectively (are inputs resulting in the activities and outputs anticipated)?

The [OXFAM's Managing Water Supply and Sanitation in Emergency \(1999\)](#) offers guidance on selecting programme indicators. It is essential to consider what management information is required first and then use the appropriate indicators.

- **Objective:** Indicators can be quantitative or qualitative data, but they must be based on facts rather than assumptions, backed up by proof if necessary, and verifiable using the same measuring method
- **Relevant** to the aspect of the programme is measured.
- **Timely:** The indicator should generate information quickly enough to allow timely actions to remedy problems or adapt to new situations.
- **Builds on available data:** Monitoring indicators should rely on readily available data collected as part of the programme implementation.



- **Simple** enough for workers with little training to monitor and for non-specialists to understand.

## C. Reporting of key WASH indicators

The following steps can guide coordinators seeking to set up and run monitoring systems:

- Collect datasheets from project workers and other relevant sectors (such as health, administration, and shelter).
- Verify, if necessary, through spot checks or cross-checking with other sources of information.
- Gather and summarise information about indicators that have been chosen.
- Analyse the data for patterns and occurrences, compare progress against plans, and search for connections between inputs, actions, outputs, and outcomes (if measured).
- As needed, report, communicate display, and feedback information to project employees, the impacted population, and other sectoral personnel (especially health personnel).
- Reports should be consolidated and filed to be retrieved and compared for future reference.

External reports are typically produced every week, two weeks, or month depending on the situation and the programme. It can also be released quarterly, bi-annually, annually, or at the end of the programme. These consolidated reports should include the period's significant accomplishments, trends, and events and explain the programme's development during that time. Furthermore, donors may have their own reporting requirements, which is beneficial to be aware of to collect the necessary data as part of routine activity.

## D. Summary

- The number of indicators employed should be kept to a bare minimum. Select indicators that are reliable, relevant, timely, sensitive, based on available data, and straightforward.
- Monitoring is a management tool that allows coordinators to keep programmes on track and evaluate whether such programmes effectively meet high-priority needs and allocate resources efficiently.
- The term "effectiveness" refers to how well something works. On the other hand, efficiency is a metric that measures the amount of work done in relation to the number of resources used.



- External reports should include the period's significant accomplishments, trends, and events and explain the programme's development during that time

## **2.3 Make changes into planned activities, strategies, or approaches based on the monitoring results and feedback from relevant stakeholders**

### **A. Introduction**

Even the best-laid plans can result in non-ideal results. The reason is plans have assumptions, and the actual situation and operating setting may differ from those assumptions. For example, considering the easiest and fastest way on building latrines, an organisation has made a plan based on the general approaches and designs. However, by the time the organisation has worked on it on the site, they gradually realise that the latrines they built are unsuitable for people with disabilities or oppose cultural beliefs. A coordinator must oversee these problems and make changes based on the monitoring results and feedback from relevant stakeholders

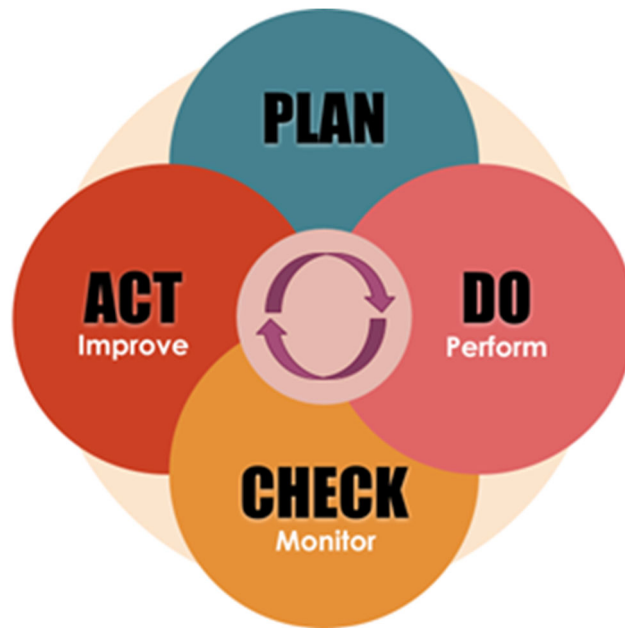
### **B. Making changes based on monitoring results and feedback**

A coordinator must first know the programme plan thoroughly and keep track of every implemented activity. It is also important for a coordinator to seek feedback from different sources before the review process and make appropriate changes to the plan. Plans are living documents. Coordinators are in an excellent position to update and revise the plans because they are far enough to see the big picture but close enough to understand the details programme.

Coordinators can use the Plan-Do-Check-Act (PDCA) cycle. Figure 6 from the [American Society for Quality](#) presents the overview PDCA cycle. PDCA is a four-step continuous improvement process



*Figure 9: The Plan-Do-Check-Act (PDCA) Cycle*



### When to use the PDCA cycle?

The PDCA cycle can be used when:

- Starting a new project for improvement.
- Creating a new or enhanced process, product, or service design.
- Defining a repetitious labour procedure.
- Data gathering and analysis are planned to confirm and prioritise issues or root causes.
- Any change must be implemented.
- Continual progress is a goal.

The table below shows the [components of the PDCA cycle](#)

*Table 17: The components of the PDCA cycle*

<b>Plan</b>	Recognise an opportunity and make a plan to alter it.
<b>Do</b>	Put the change to the test. Conduct a small-scale investigation.
<b>Check</b>	Go over the test again, this time analysing the findings and figuring out what has been learnt.
<b>Act</b>	Take action based on the information gathered during the research phase. If the change does not work, repeat the process with a new strategy. If one happens to pass the test, one must apply what one has learned to more significant improvements. Restart the cycle by using what was learned to plan new improvements.

Source: American Society for Quality, n.d.



After applying the PDCA cycle, it is essential to incorporate changes with particular attention to specific needs. Specific needs may include the height of the door, the type of the toilet, toilet handlebars, and so on. Do note that these particulars will have to be adjusted to the specific needs of women, children, PWDs, other cross-cutting areas, etc.

## C. Summary

- Even the best-laid plans can result in non-ideal results. The reason is plans have assumptions, and the actual situation and operating setting may differ from those assumptions.
- PDCA is used when starting a new project for improvement; creating a new or enhanced process, product, or service design; defining a repetitious labour procedure; data gathering and analysis are planned to confirm and prioritise issues or root causes; any change must be implemented; and continual progress is a goal.
- After applying the PDCA cycle, it is essential to incorporate changes with particular attention to specific needs.

## 2.4 Implement a WASH programme learning review as per agreed monitoring and evaluation plan strategy

### A. Introduction

Even the best-laid plans can result in non-ideal results. The reason is plans have assumptions, and the actual situation and operating setting may differ from those assumptions. For example, considering the easiest and fastest way on building latrines, an organisation has made a plan based on the general approaches and designs. However, by the time the organisation has worked on it on the site, they gradually realise that the latrines they built are unsuitable for people with disabilities or oppose cultural beliefs. A coordinator must oversee these problems and try to make changes based on the monitoring results and feedback from relevant stakeholders



## B. Implement a WASH programme learning review

The main objective of a learning review is to learn and improve. It is carried out using methods and tools to reveal the incident, including details that a routine investigation could overlook. Rather than focusing on individuals, learning reviews seek to provide recommendations to improve the entire 'system' (the way work is done in the WASH programme). Learning reviews reveal how the system may have led to errors and how the system may be changed to limit the impact of those errors. Learning reviews recognise two key points:

- Human error is unavoidable. Even the most skilled operators make mistakes.
- Faults are typically caused because of the system rather than by individual workers.

### Collecting information

Gathering information begins with a conversation to determine what the operation entails, how it is carried out, and what occurred on the day ([Safetree 2017](#)). It is all about getting individuals to tell their experiences - not explanations, but descriptions.

*Table 18: Guide on getting individuals to describe their findings*

<b>WHO</b>	<p>Who do you talk to?</p> <ul style="list-style-type: none"> <li>• Operational individuals involved in the incident, whether they were directly involved or just observed it occur.</li> <li>• Talking with managers helps in gaining a better understanding of the contrasts between how they felt the task was done and how it was done</li> </ul>
<b>What</b>	<ul style="list-style-type: none"> <li>• The objective is to gather as much data as possible.</li> <li>• Without mentioning the incident, try to figure out the 'normal' operational routine. When the interviewee is at ease and has a better knowledge of the Learning Review process, bring up the incident at the end.</li> <li>• Encourage them to describe what happened from their perspective and add as much detail as they can while talking about the occurrence. Begin by asking simple questions and avoid making assumptions.</li> <li>• Build an understanding of the history of those involved in the incident.</li> <li>• Do not try to persuade, defend, or interrupt anyone. Be open-minded and non-judgmental. The job is to listen.</li> </ul>



<b>Where</b>	<ul style="list-style-type: none"> <li>• Ideally, meet the members on the site of the operations. Being in a comparable setting can help people remember things and make it easier for the reviewer to grasp difficult to convey using words alone. Operations can also continue, which is vital for promoting review cooperation.</li> </ul>
<b>How</b>	<ul style="list-style-type: none"> <li>• Reviewers/coordinators should talk to participants one-on-one, without the presence of supervisors.</li> <li>• Conduct a separate interview with the supervisor if necessary.</li> <li>• Catch people on breaks.</li> <li>• Listen carefully and make notes on any facts that come to mind.</li> <li>• It is crucial not to solve problems, generalise, or make conclusions during this stage.</li> </ul>
<b>Timeframe</b>	<ul style="list-style-type: none"> <li>• The procedure can take anywhere from two hours to two days. There is, however, no time limit.</li> <li>• Exchange contacts in case any further clarifications are needed.</li> </ul>

Source: Safetree, 2017.

The next step is to build a report based on the findings described by team members. Avoid attempting to reconcile conflicting reports into a cohesive view. Allow persons engaged in the incident to review the draft story to ensure it accurately portrays their memories.

**Table 19:** *What to do with the information*

<b>Divide the information</b>	<p>Divide the gathered data into two categories:</p> <ul style="list-style-type: none"> <li>• Objective information (unbiased and observable facts).</li> <li>• Subjective information (opinions and judgments, something that is relatively difficult to be proven).</li> </ul>
<b>Identify Key Actions</b>	<ul style="list-style-type: none"> <li>• Identify key decisions/actions.</li> <li>• Avoid phrases like "the worker did not adhere to tool control protocols." Instead, concentrate on how the acts appeared to the persons involved in the incident (e.g., the worker returned the closed toolbox, complying with the tool control procedure, but was unaware the tool was still in the machine).</li> <li>• Do not get immersed in determining whether an action was deliberate or not. Simply make a list of them.</li> </ul>
<b>Identify Key Influences</b>	<ul style="list-style-type: none"> <li>• Determine what variables may have influenced people. Understanding how these components interact is crucial for the following phase, therefore the more information gathered, the greater the chances are to comprehend what happened.</li> </ul>



### Create an Information Map

- Individuals, activities, events, and timelines can all be used to organise data. For example, one can use different coloured Post-it notes for various persons and organise them on a timeline. One can also separate the data into subjective and objective categories. Interactions, interconnections, decisions/actions, and paradoxes can be represented as a map in this method.

### Write the Report

- Using the information collecting mapping, write the incident's and preceding days' scenarios.
- To generate the timeline, use objective information.
- On the page's left side, display subjective information. It is essential to the plot and allows readers to put themselves in the main characters' shoes.
- The report should be written from the perspectives of individuals involved, not from outsiders' perspectives.
- People will always have different opinions and memories of what happened and why. Do not try to persuade them to change their minds. Instead, note these distinctions since they may assist explain someone's mental state and how it influenced their judgments. It could also indicate problems with the 'system,' which will be addressed in the following phase.

Source: Safetree, 2017.

## Analysing and *sense-making*

Sense-making is about figuring out why people did what they did at the time. It eliminates the distorting effects of hindsight, making it easier to say what people should have done during an event. After understanding why people did what they did, it is possible to make more effective improvements. Focus groups discussion with highly experienced individuals help reviewers make sense of the situation. These 'experts in their area' discuss what they often do in similar situations to the occurrence, providing insight into how they reduce risk exposure. The focus groups discussions should not include anyone who was involved in the incident but can involve:

- **The whole team**  
The benefit of speaking with the entire team is that they are more likely to have worked in multiple roles and better understand the job. This requires fewer resources than bringing people from various teams together.
- **Task-specific team**  
Alternatively, go to various teams and speak with others who do the same job or bring together three or four workers from various teams, allowing these experts to share their knowledge and facilitate spontaneous problem-solving.



- **Subject matter experts**

To get a different view of what happened and assist in crafting innovative solutions, speak with seasoned professionals or academic specialists.

Focus groups should ideally be held on-site. Experts who cannot attend or are only required to provide specialised advice can be contacted via calls. However, it is understandable to prefer off-site focus groups discussions as there are fewer interruptions, and the discussion can be more focused. It would help run focus group discussions with at least two facilitators: asking questions and taking notes. In addition, do understand that assuring confidentiality is important for collecting honest views and experiences.

## C. Reporting and sharing

Create a report that examines the significant issues that arose throughout the review. The report should focus less on error control measures and more on system management and resolving conflicts to create a more productive work environment. It should indicate system flaws that necessitate management involvement. Be sure to thank interviewees and focus group participants for their input and inform them of any implemented recommendations. Participants, especially those involved in the incident, must see how their ideas and commitment lead to changes.

## D. Summary

- The three main components of the WASH learning review are collecting information, sense-making, and reporting and sharing. However, note that every step must be coordinated and adjusted according to the situation.
- The process of gathering information begins with a conversation to determine what the operation entails, how it is carried out, and what occurred on the day of the occurrence. It is all about getting individuals to tell their experiences - not explanations, but descriptions.
- Sense-making is about figuring out why people did what they did at the time. It eliminates the distorting effects of hindsight, making it easier to say what people should have done during an event.
- Create a report that examines the significant issues that arose throughout the review. The report should focus less on error control measures and more on system management and resolving conflicts to create a more productive work environment 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.

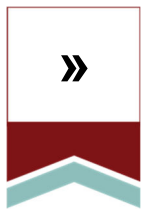




# Self-assessment Checklist



**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

Adams, John. (1999). *Managing Water Supply and Sanitation in Emergencies*. London: OXFAM. Accessible [here](#).

American Society for Quality. (n.d.). PDCA Cycle. Accessible [here](#)

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ECHO, GFDRR, UN. (2014). *PDNA Guidelines volume B: Water & Sanitation*. Accessible [here](#).

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Global WASH Cluster. (2009). *WASH Cluster Coordinator Handbook: A practical guide for all those involved in WASH Cluster*. Accessible [here](#).

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OXFAM. (n.d.). *Rough Guide to Exit Strategies*. Accessible [here](#).

Niederberger, Knight, and O-Reilly. (2019). *An Introduction to Community Engagement in WASH*. Oxfam. Accessible [here](#).

Safetree. 2017. *Guide to doing a Learning Review*. New Zealand. Accessible [here](#).

UNDP. (2014). *Post-Disaster Needs Assessment (PDNA) Guidelines Volume B - Water & Sanitation*. Accessible [here](#).



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ASEAN Standards and Certification for Experts in Disaster Management

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