

**LEARNER'S
GUIDE**



TECHNICAL COMPETENCY UNIT



**ADM.TEC
026.2**

Provide Technical Guidance to
Partners and Stakeholders



ASCEND

ASEAN Standards and Certification
for Experts in Disaster Management

ASEAN Standards and Certification for Experts in Disaster Management

PROVIDE TECHNICAL GUIDANCE TO PARTNERS AND STAKEHOLDERS

ADM.TEC.026.2

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

With ASEAN's rapid development and vulnerability to natural hazards, it requires 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.

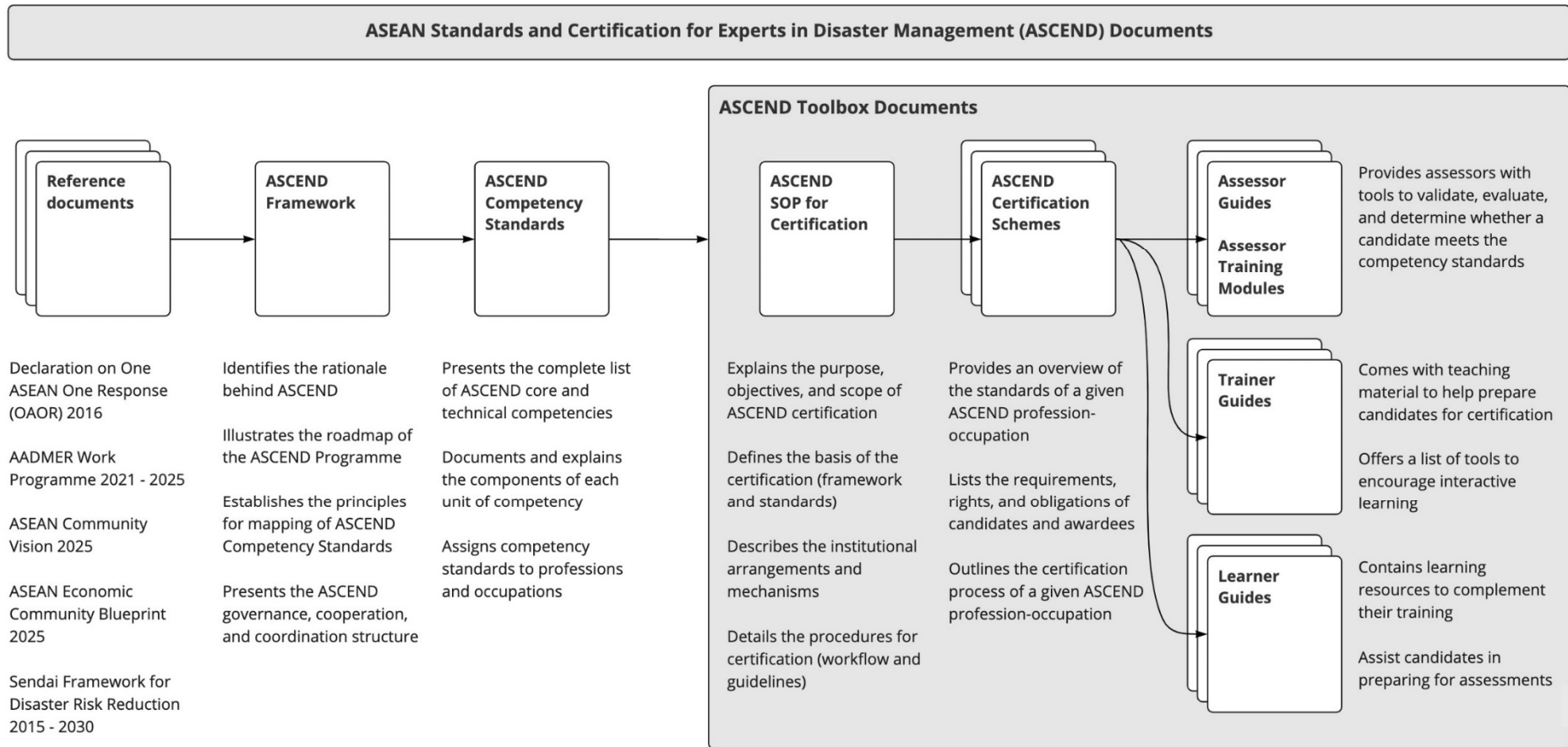
Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of an SOP, Certification Schemes, Assessor 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
Experience	Refers to the qualifications of the candidate that make them eligible to pursue certification. It includes the candidate's formal education, work experience, professional training, and job-relevant life experiences.
Knowledge	Refers to what the candidate needs to know to make informed decisions on how to perform the work effectively.
Skills	Refers to the ability of the candidate to apply knowledge to complete occupational tasks and produce work outcomes or results at the standard required.
Attitudes	Refers to associated beliefs, feelings, motivations, and values that influence a candidate to make decisions and act according to occupational standards and the professional work setting.

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



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

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

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

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





ASCEND Competency Standards and Unit Descriptor



ASCEND

3.1

Competency standards

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

3.2

ASCEND Competency Standards

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

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



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

Table 2: Components of the ASCEND Competency Standards

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



3.3

Unit descriptor

Unit title : **Provide Technical Guidance to Partners and Stakeholders**

Unit number : **ADM.TEC.026.2**

Unit description : This unit deals with the knowledge and skills required to support implementing partners or field staff in a WASH project during emergencies.

Element 1.

Establish coordination internally and externally within the assigned activity area

Performance Criteria

- 1.1 Represent in sub-national WASH coordination platform/sectoral cluster
- 1.2 Support on the organisation's external communications and seek opportunities to advocate for WASH specific needs, including interaction with donors
- 1.3 Promote community engagement in WASH programming, and as appropriate, for participation
- 1.4 Oversees stakeholder engagement and identifies emerging partnerships within the assigned activity area

Element 2.

Incorporate policy or advocacy of WASH issues into planning

Performance Criteria

- 2.1 Contribute to the organisation's advocacy strategy and implementation
- 2.2 Lobbying key stakeholders at the sub-national level
- 2.3 Link issues between sub-national and national level

Element 3.

Facilitate capacity-building measures on WASH in emergencies

Performance Criteria

- 3.1 Provide technical and policy advice for PHE and PHP officers as well as other sectors within the assigned activity area



- 3.2 Perform measures to ensure reaching target population with culturally appropriate and gender-sensitive interventions
- 3.3 Identify gaps in training and knowledge and set goals and objectives for capacity development within the team



3.4

Glossary of Terms and List of Abbreviations

Terms and abbreviations	Descriptions
AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ACDM	ASEAN Committee on Disaster Management
AGP	ASEAN Guiding Principles
AHA Centre	ASEAN Coordinating Centre for Humanitarian Assistance on disaster management
AMS	ASEAN Member States
AQRF	ASEAN Qualifications Reference Framework
ASCEND	ASEAN Standards and Certification for Experts in disaster management
ASEAN	Association of Southeast Asian Nations
CBA	Competency-Based Assessment
GLAAS	Global Annual Assessment of Sanitation and Drinking-water
GWC	Global WASH Cluster
HC	Humanitarian Coordinator
HQ	Headquarters
IOM	International Organisation for Migration
KNFA	Korean National Fire Agency
LGBTQ	Lesbian, Gay, Bisexual, Transgender, Queer/Questioning,



MRA	Mutual Recognition Arrangement
O&M	Operation and Maintenance
OAOR	One ASEAN One Response
OWANS	Organisation's Wants and Needs from Stakeholders
PHE	Public Health Engineer
PHP	Public Health Promoter
PWC	Price-Waterhouse Coopers
PWD	Persons with Disabilities
SMART	Specific, Measurable, Achievable, Realistic, Time-Bound
SME	Small and Mid-size Enterprise
SOP	Standards Operating Procedures
SWANS	Stakeholders Wants and Needs from Stakeholders
UNDP	United Nations Development Programme
UNICEF	United Nations International Children's Emergency Fund
USAID	United States Agency for International Development
WASH	Water, Sanitation and Hygiene
WHO	World Health Organisation
WSP	Water and Sanitation Program





Unit Readings and Activities



ASCEND

**4.1**

Element 1. Establish coordination internally and externally within the assigned activity area

1.1 Represent in Sub-National WASH Coordination Platform/Sectoral Cluster

A. Introduction

One of the key features of the Global WASH Cluster (GWC) Strategic Plan is to strengthen engagement between national and sub-national coordination platforms with GWC. The objective is to build the capacity of national and sub-national coordination platforms to capture information, organise collective efforts, and share lessons during emergency response.

B. WASH sub-national coordination platform

Sub-national level of WASH coordination platforms supports WASH programme planning and implementation by facilitating the assignment of roles and responsibilities, communications and information sharing, progress monitoring, and more. A key global or regional actor in the WASH coordination platform usually assists the host government in coordination. However, a dedicated local field coordinator may also be assigned depending on the scale of disaster impact and the complexity of the response.

The list below shows the typical functions and supporting structures of a WASH sub-national coordination platform ([WASH Cluster, 2015](#))

- **Function**

- Develop plans and strategies – Ensure that sectoral plans are made available and support the realisation of strategies and priorities and WASH programme standards.
- Strategic decision-making – Promote evidence-based and solution-oriented decision-making on recommendations of needs assessment and gap analysis. Lead discussion on funding requirements, prioritisation of resources, contributions of each sub-cluster, and more.
- Advocacy – Identify advocacy concerns, including taking action on behalf of the affected population and WASH stakeholders.



- Support service delivery – Provide a platform to assure the service delivery is supported by strategic priorities and build mechanisms to reduce duplication of service delivery.
 - Monitoring and Reporting – Monitor and report on cluster activities and recommend corrective actions when necessary if activities are not adhering to accepted principles, strategic priorities, cluster policies, and humanitarian standards.
 - Contingency planning and preparedness – Address potential impacts of secondary hazards and make arrangements to address them if they occur.
- **Other Supporting Structures**
Sub-national WASH coordination platforms also offer support structures like:
 - Steering or advisory groups – Adjusting and developing strategic framework, priorities, and cluster activities
 - Technical support teams – Help with specific tasks such as data management, logistic, administration, and resource mobilisation.
 - Technical working groups – Working groups are task-oriented and time-bound. They are usually created on a need basis only, such as to develop appropriate plans and practices or to solve technical issues.

C. Summary

- Sub-national level of WASH coordination platforms supports WASH programme planning and implementation by facilitating the assignment of roles and responsibilities, communications and information sharing, progress monitoring, and more.
- Functions of sub-national coordination platform are to develop plans and strategies, strategic decision-making, advocacy, support service delivery, monitoring and reporting, contingency planning and preparedness, and integrate early recovery



1.2 Support the organisation's external communications and seek opportunities to advocate for WASH-specific needs, including interaction with donors

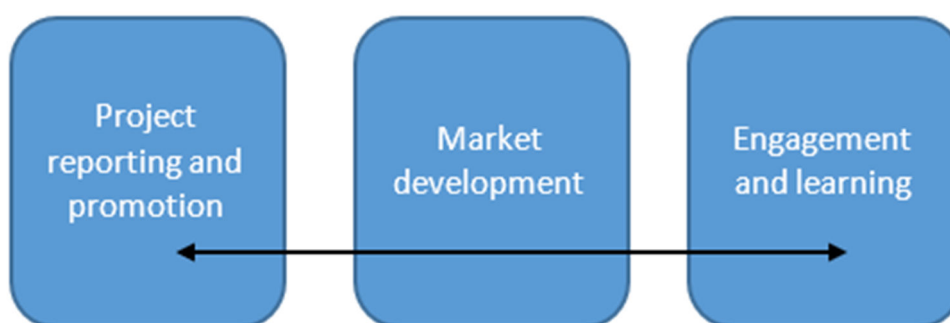
A. Introduction

The success of WASH programmes largely depends on the support from various stakeholders outside of the implementing organisation. Effective external communications and sustained advocacy efforts are crucial to engaging and mobilising support from these stakeholders.

B. External communications

The main areas of WASH external communications are shown in Figure 1.

Figure 2: Main areas of external communications



Source: [USAID WASH, 2017](#)

External communications bring benefits such as:

- Increasing external knowledge and understanding of WASH issues and project objectives
- Enhancing the impact of project results by convincing key stakeholders to get involved in the project
- Promoting accountability, transparency and facilitating a continuous learning process



Key external audiences

WASH Programmes are significant undertakings that affect cross-cutting issues. Each programme component has a specific external audience to target. For instance, the key stakeholders for sanitation marketing development are households and small businesses. For engagement and learning, the main audience includes government agencies, implementing partner organisations, and donors. Stakeholder mapping is a crucial tool that coordinators may use to understand who to engage for what and how to communicate with whom.

C. Advocacy in WASH

Advocacy is a process of actively framing issues and shaping decisions within social, political, and economic systems. Any advocacy effort aims to promote a particular way of thinking (e.g., as reflected in policies and plans) or action (e.g., behaviour and habits). In a humanitarian setting, advocacy efforts seek to raise awareness of the situation of affected communities, promote respect for humanitarian principles and practices, and help people obtain access to humanitarian assistance. The expected output of advocacy efforts includes building partnerships, securing funding, and facilitating sustainable programme outcomes.

The [Water and Sanitation Program](#) (WSP) provides an advocacy toolkit applicable for efforts targeting internal and external audiences. The [Norwegian Church Aid](#) also offers valuable guidelines for implementing advocacy campaigns in emergency contexts. WASH advocacy activities include spreading messages through media campaigns and support from prominent speakers, influencing policy-makers to include community interests, and mobilising affected populations to voice their concerns.

What are the components of advocacy message ([UNICEF,2016](#)):

- Broader statement of what are you trying to do and how it aligns with your organisation's vision and mission
- The immediate benefits to gain
- Long-term directions and impact

Examples of WASH advocacy goals:

- Significant improvement in community access to latrines
- Increased access to and coverage of clean water supply

Table 3: Smart Objectives



SMART OBJECTIVES

Objectives should be:

S: Specific – clearly defined

M: Measurable - measurable

A: Achievable - Attainable

R: Realistic - credible

T: Time-bound – limited by time

D. Summary

- The success of WASH programmes largely depends on the support it gets from various stakeholders outside of the implementing organisation. Effective external communications and sustained advocacy efforts are key to engaging and mobilising support from these stakeholders.
- Advocacy is a process of actively framing issues and shaping decisions within social, political, and economic systems. Any advocacy effort aims to promote a particular way of thinking (e.g., as reflected in policies and plans) or action (e.g., behaviour and habits).
- In a humanitarian setting, advocacy efforts seek to raise awareness of the situation of affected communities, promote respect for humanitarian principles and practices, and help people obtain access to humanitarian assistance. The expected output of advocacy efforts includes building partnerships, securing funding, and facilitating sustainable programme outcomes.
- When formulating the objective for advocacy efforts, remember SMART: Specific, Measurable, Achievable, Realistic, Time-Bound

1.3 Promote community engagement in WASH programming, and as appropriate, for participation

A. Introduction

In the disaster context, community engagement brings about the active participation of affected communities in the overall response and recovery efforts. It facilitates ownership and accountability in what happens in the community concerning disaster management interventions. The key to community engagement is open communication and inclusive participation. It



is essential to understand the perspectives on issues affecting the community members and build on their existing capacities and resources to overcome their challenges.

B. Promoting community engagement

Principles for community engagement

Some principles for community engagement are outlined below ([OXFAM,2019](#)):

- **Be aware of our own attitudes and behaviour:** People are influenced by cultural and social factors, so it is vital to understand the differences in thinking and reactions. One of the solutions is to find a local partner, a mediator who understands the community's culture and language well.
- **Communities are diverse:** The dynamics and structures in every community are different. Understanding the dynamics and structures is essential to engage and engage them. Anthropologists and sociologists can help overcome this challenge.
- **Recognise and build on local knowledge and skills:** Make opportunities for local participation in all work areas. Enable the local participants to make decisions and act on those decisions.
- **Provide practical information in accessible language** – Share information with all relevant stakeholders to strengthen transparency and accountability.
- **Find good translators:** Overcome language barriers by seeking local translators who can communicate messages that affected communities understand.
- **Encourage feedback on the quality and effectiveness of the response** – Seek input from different community members, especially the marginalised and vulnerable groups
- **Open communication:** The communication should be a two-way process and use feedback to adapt your programme
- **Support collaboration and coordination:** The process should be integrated with a people-centred response. Share work and information to develop an appropriate working method with the community.
- **Advocate for community concerns and priorities:** Support community's interests and the long-term sustainability of programmes in their area



Communicating with disaster-affected groups

Communication with disaster-affected groups must be based on a sound understanding of local cultures and beliefs and their impact on perceptions and behaviour. Communication should be culturally appropriate and socially acceptable; otherwise, the message will not strongly affect its intended audience. It is essential to provide space for communities to continually raise questions and clarify things not clear to them, such as the purpose of WASH programmes.

Effective communication ([WHO,2016](#)):

- Locally appropriate, engaging and consistent
- Spread evidence-based information (e.g., dismisses rumours, warns against risky behaviour, addresses gaps in knowledge)
- Encourage practical and feasible solutions
- Provide accurate details about the needs and priorities of communities

Supporting community initiatives

WASH coordinators need to build and strengthen existing capacities and resources if programmes are sustainable. Supporting community initiatives include working within the current social structures and mechanisms for decision-making, incorporating WASH activities in traditional community practices, and more.

WASH coordinators can support the community by ([WHO,2016](#)):

- Being present to help people and families who need support
- Supporting plans for community organisation
- Establishing links between the local community and trusted partners
- Working alongside the community in reducing future dependency on external sources
- Preventing new risks from emerging



C. Activity

Are there other methods applicable to WASH activities for supporting community initiatives in post-disaster contexts?

Answer Box

D. Summary

- In the disaster context, community engagement brings about the active participation of affected communities in the overall response and recovery efforts. It facilitates ownership and accountability in what happens in the community concerning disaster management interventions.
- Principles of community engagement are: Be aware of our attitudes and behaviour; communities are diverse; recognise and build on local knowledge and skills; provide practical information in accessible language; find good translators; encourage feedback on the quality and effectiveness of the response; open communication; support collaboration and coordination; and advocate for community concerns and priorities.
- Communication with disaster-affected groups must be based on a sound understanding of local cultures and beliefs and their impact on perceptions and behaviour. Communication should be culturally appropriate and socially acceptable; otherwise, the message will not strongly affect its intended audience.
- WASH coordinators need to build and strengthen existing capacities and resources if programmes are sustainable.



1.4 Oversees stakeholder engagement and identifies emerging partnerships within the assigned activity area

A. Introduction

An ideal stakeholder engagement process is an iterative process that involves planning, understanding stakeholder interests and needs, preparing, building trust, consulting, responding, monitoring, evaluation, and reporting.

An engagement process is built on shared vision and values. It involves:

- Diverse group of stakeholders
- Two-way communication
- Realistic goals
- Long term commitment

B. How to engage stakeholders

Figure 3 show the steps of a stakeholder engagement process ([Jeffery,2009](#))

Figure 3: Steps of a stakeholder engagement process



Plan

Plan is when an organisation develops their understanding and clarifies why meaningful engagement is needed is essential. The organisation determines the objectives to achieve, the issues to solve, and the stakeholders to support it. It will depend on the organisation's nature, function, priorities, structure, and partnerships.



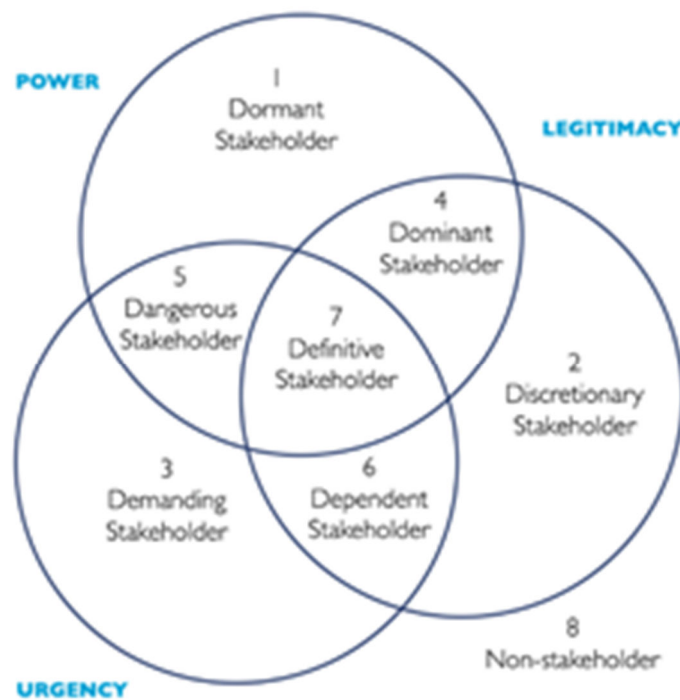
Questions raised during this stage are

- What do we want to reach?
- What are the key issues?
- What resources do we need?
- What is our timeline?
- Who are the affected communities, groups, or individuals?
- What are the challenges and obstacles?

Understanding stakeholders' wants and needs

Figure 3 presents the general stakeholders identified by Mitchell, Ager and Wood.

Figure 4: Identifying stakeholders



Source: Mitchell, R.K., Agle, B.R., Wood, D.J. (1997), "Toward a theory of stakeholder identification and salience: defining the principle of who and what counts", *Academy of Management Review*, Vol. 22 No.4, pp.853-86

The power of stakeholders may be in what and how they control resources. The legitimacy of stakeholders refers to the way they embody or demonstrate society's prevailing beliefs and opinions in their words or actions. The urgency relates to the time-window stakeholders decide and act on something or demand and need something from others. Organisations seeking to engage stakeholders should understand their primary stakeholders' strategies to make connections and interactions with them.

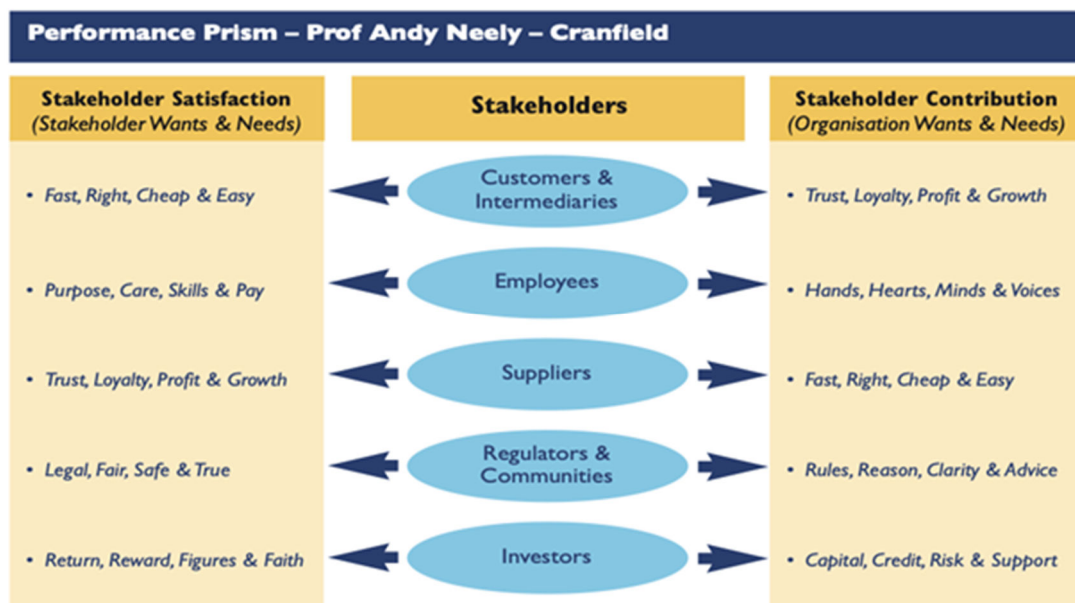


After categorising primary stakeholders, organisations can start to assess the level of their support:

- Influence: the ability of stakeholders to raise public interest and mobilise them around an issue.
- Interest: the level of receptivity of stakeholders to a particular issue receptivity.
- Saliency: the ability of the stakeholder to be prominent, noticeable, and relevant.

Prof Andy Neely from Cranfield School of Management designed a framework for determining how to balance stakeholders wants and needs (SWANS) with the organisation's wants and needs from stakeholders (OWANS), as shown in Figure 4 and Table 2.

Figure 5: SWANS and OWANS



Source: [Prof. Andy Neely, Cranfield University, School of Management, U.K.](#)

Table 4: Performance prism

SWANS	What are the desires and needs of the various stakeholders?
Strategies	What are the strategies to fulfil those wants and needs?
Process	What processes are needed to achieve the strategies?
Capabilities	What capabilities are needed to implement the processes?
OWANS	What do we need from stakeholders to make all of this happen?

Source: [Prof. Andy Neely, Cranfield University, School of Management, U.K.](#)



Internal preparedness and alignment with stakeholders

The highest level of success can be achieved when the interests and objectives of the stakeholder and the organisation can be aligned. Both parties may have different desired outcomes, but their activities should address common interests and objectives. The alignment of interests and objectives apply internally as well. The different departments, units, and teams of an organisation have to support each other, or it may derail the external stakeholder engagement processes. Misalignment between H.Q. and field offices may also produce the same effect ([Jeffery, 2009](#)).

Establishing a dedicated stakeholder management team can help coordinate with external and internal actors. Stakeholder engagement is a dynamic and complex process that require constant attention and quick responses.

Building trust

Trust between stakeholders facilitates two-way communications and information sharing. Trust makes stakeholders willing to understand each other and find ways to help one another. It also speeds up decision-making and the implementation of activities. When building trust, the common challenges revolve around inequitable relationships, power differentiation, and culture and language barriers. Organisations can build trust with stakeholders by ([Jeffery, 2009](#))

- Consulting stakeholders
- Keeping stakeholders updated on the organisation's plans and activities
- Holding regular meetings and maintaining contact with stakeholders (even informally)
- Finding commonalities and using appropriate language and
- Do what you say you will do
- Establish mechanisms to strengthen accountability

Consultation

Any consultation should be:

- Representative: Segments of a population affected by a WASH programme need adequate representation in the consultation process. The success of a programme depends mainly on the extent it addresses the needs of affected communities. If community members are not well represented in consultation, then programme objectives may not be helpful. Ensuring the representation of marginalised and vulnerable



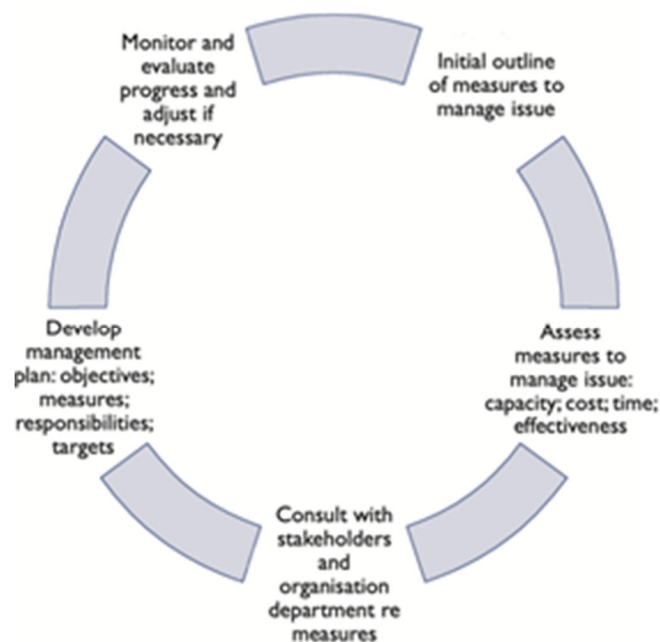
groups gives them an avenue to voice out their concerns and build relationships.

- **Responsive:** Organisations that act on their word can build trust with the affected communities faster.
- **Realistic:** Consultation processes must consider and adapt to the historical, socio-cultural, political, and economic factors that shape the operating context. It should also be able to tackle and resolve trade-offs. Various stakeholders have different expectations driven by desires and interests. These expectations must be aligned, clearly communicated, agreed on, and managed carefully. Support for WASH programmes will continue as long as stakeholders can see or feel that they meet their expectations.

Respond and implement

After consultations, stakeholders will want to know which recommendations the programme will take on board and what issues it will address. Since no programme can address all needs simultaneously, WASH coordinators need to outline the priority of action, the scope of work, timeline, reporting, and other arrangements

Figure 6: Possible route of scale implementation



Source: [Jeffery, 2009](#)



Monitoring, evaluating, and documenting

One essential thing is the management of information and knowledge in the engagement process. Ensuring the effectiveness of monitoring and evaluation can be done by employ their expertise and experience in knowledge management system and also outcomes and output got from other business operations in evaluation. Some international standards can be used as a reference to develop monitoring and evaluating capacity.

Vital elements related to the engagement process are documenting, reporting, and keeping precise records, especially when reporting them to third parties. Giving feedback to stakeholders is an essential part of the learning process, as it gives a mechanism to judge based on the stakeholder's reaction toward organisation behaviour and action. The transparency of the organisational engagement process is influenced mainly by the quality, efficiency and perceived fairness of feedback system, documenting, and reporting. Giving the stakeholder idea of how the resources expended between resources also shows the organisation's ability to critically assess the impact and level of their stakeholder engagement are essential for the organisation.

One of the essential components of any engagement process is regular communication. Monitoring, evaluating, and documenting activities are not just tools for continuous improvement; they also help keep WASH programmes relevant and sustainable. Monitoring processes provide mechanisms for promoting transparency and giving feedback to stakeholders. Evaluations support accountability, learning from past performance, and allow stakeholders to re-shape the programme activities if needed. Documentation aids in knowledge management and sharing of information to other stakeholders that might benefit from the experience. These three activities help strengthen relationships with stakeholders. Here are some recommendations for engaging with stakeholders when monitoring, evaluating and documenting ([Jeffery, 2009](#)):

- Consult the wants and needs of the stakeholder concerning reporting activities
- Determine the appropriate format, medium, method, and time to share the reports
- Request regular communication schedules with the stakeholder
- Ensure access to public reports is accessible to different members of the community



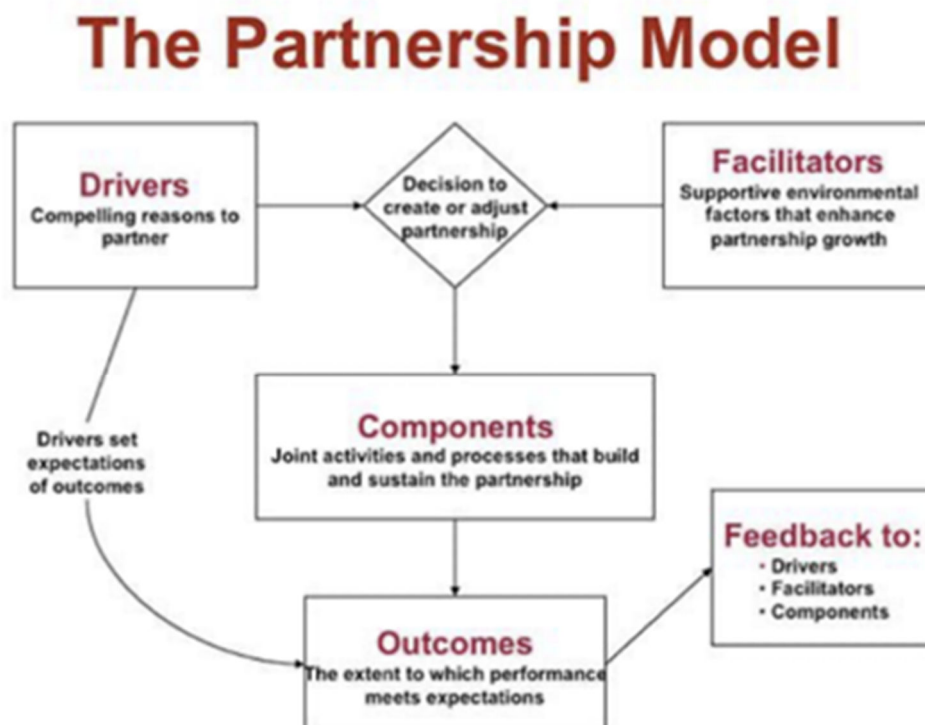
C. Emerging partnerships

Emerging partnerships occur in all phases of a programme. Different stakeholders will want to get involved when they see that it is in their interest. Therefore, WASH programmes should invest in finding ways to clearly and regularly communicate the advantages and benefits of programme outcomes to community members. Example outcomes relevant to WASH stakeholders include ([PWC,2014](#)):

- Health – control NTDs, service utilisation, increased service coverage and quality, health outcomes
- WASH – increasing access, coverage, use, and functionality
- Education – Quality, equity, attendance, enrolment, literacy
- Corporate – Market share, earning, population purchasing power, corporate social responsibility

The Partnership Model is a tool that WASH coordinators can use to develop and maintain new types of partnerships (see Figure 6).

Figure 7: Partnership model



Source: [PWC,2014](#)



D. Summary

- An ideal stakeholder engagement process is an iterative process that involves planning, understanding stakeholder interests and needs, preparing, building trust, consulting, responding, monitoring, evaluation, and reporting.
- Steps to engage with stakeholders are planning, understanding stakeholders' wants and needs, Internal preparedness and alignment with stakeholders, building trust, consultation, responding and implementing, and monitoring, evaluating, and documenting.
- Emerging partnerships occur in all phases of a programme. WASH programmes should invest in finding ways to clearly and regularly communicate the advantages and benefits of programme outcomes to community members.



Element 2. Incorporate policy or advocacy of WASH issues into planning

2.1 Contribute to the organisation's advocacy strategy and implementation

A. Introduction

Every WASH programme should address ongoing issues that increase vulnerabilities and intensify the risks a community faces. Advocacy is one of the tools that an organisation can use to tackle such issues. This element will describe the strategy and implementation of WASH advocacy efforts.

B. Advocacy strategy

The advocacy strategy must be designed with local advocacy partners in line with the local context. It must also be communicated at various levels of advocacy work (e.g., local, national, regional, and global). The [minimum requirements](#) of a WASH advocacy activity are outlined by the Global WASH Cluster.



Table 5: WASH advocacy minimum requirements

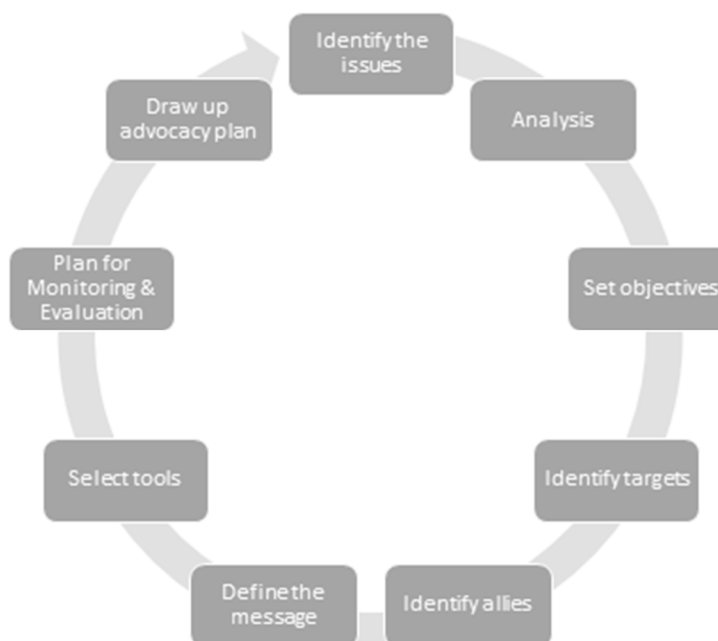
Core Function 6: To support robust advocacy by:	
Minimum requirements	
<p>Identifying concerns and contributing essential information and messages to higher-level messaging and action.</p> <p>Undertaking advocacy on behalf of the cluster, cluster members and affected people.</p>	<ul style="list-style-type: none"> • Critical WASH issues are identified and brought to the attention of the relevant stakeholders. • When required, advocacy initiatives are undertaken to communicate WASH issues to key stakeholders (donors, government, Humanitarian Team, etc.).

(Source: GWC, 2018)

The cycle diagram below helps set up an advocacy strategy (adapted from [U.N. Water's Brief Guide of Advocacy for Sanitation](#)). The steps in the diagram need to be adjusted depending on the impact of the emergency on WASH. Any advocacy strategy must have the following features:

- Considers the best interest of the affected population
- Rights-based
- Context-specific
- Evidence-based
- Partner focused

Figure 8: Steps of setting up advocacy strategy



(Source: U.N. Water, 2009)



A matrix below shows how an organisation can concretise the agreed advocacy strategy, adapted from the [Government of Zimbabwe's National Sanitation and Hygiene Advocacy Strategy 2016-2020](#).

Table 6: Advocacy strategy mix

Objective	Advocacy issue	Intervention / action	Target audience	Policy demands	Advocacy channels
Increase household contribution to sanitation and hygiene	Low prioritisation of household expenditure on sanitation and hygiene	Households prioritise sanitation and hygiene	<ul style="list-style-type: none"> Local leader Households Sanitation action groups Health communities Local authorities 	Prioritisation of sanitation and hygiene by households	<ul style="list-style-type: none"> Community mobilisation meetings Meetings with local leader Meetings with coordination platform Health communities

(Source: Government of Zimbabwe, 2016)

C. Advocacy strategy

Creating an advocacy work plan based on the advocacy strategy matrix is allows for the coherent and structured implementation of advocacy efforts. The advocacy work plan is the primary tool of a WASH coordinator for monitoring and evaluating the impact of advocacy and whether goals are met. The sample advocacy work plan with indicators is shown below:

Table 7: Advocacy work plan

Objective #1: Advocacy capacity building					
Activities	Responsible Staff	Partners	Cost	Timeline	Indicators
Carrying out sector advocacy capacity needs assessment					Capacity building needs
Developing sector advocacy capacity building plans	John Doe	UNICE	\$1000	1 Month	WASH sector capacity building plans by intervention area (human, material, etc.)



Building advocacy
capacity of
stakeholders

- WASH training needs assessment conducted
- WASH training plan developed
- WASH training conducted
- WASH capacity-building equipment and materials supplied

(Source: adapted from [ACF-IN, 2013](#) and [Government of Zimbabwe, 2016](#))

D. Summary

- Every WASH programme should address ongoing issues that increase vulnerabilities and intensify the risks a community faces. Advocacy is one of the tools that an organisation can use to tackle such issues.
- Any advocacy strategy must have the following features: Considers the best interest of the affected population, rights-based, context-specific, evidence-based, and partner-focused.
- Creating an advocacy work plan based on the advocacy strategy matrix is allows for the coherent and structured implementation of advocacy efforts.

2.2 Lobbying key stakeholders at the sub-national level

A. Introduction

Lobbying is a form of advocacy that seeks to influence the decisions and activities of the decision-makers and policy-shapers. This element will describe lobbying activities and who to lobby in advocating WASH issues.

B. Lobbying activities

Lobbying is a mode of advocacy action that involves targeted meetings with decision-makers, policy-shapers, and those who influence them to convince them to support particular advocacy goals. Lobbying also could lead to negotiation, which involves promoting an alternative viewpoint and engaging the opposition in debate. This mode of advocacy can be informal or formal. Additionally, a deep understanding of power dynamics between stakeholders is required. Below are the four critical steps to take when engaging in lobbying:



- **Become familiar with “the corridors” of power:** Learn about the system, procedures, timelines, and key leaders and players.
- **Classify the players:** Find out where they stand on the issue and how much influence they have as key decision-makers or in persuading others.
- **Inform and build relationships:** Help the target understand the issues through various meetings and visitations. Gain their trust as both a reliable source of quality analysis and representative of the stakeholders.
- **Get attention and show your reach:** Time media releases and outreach mobilisation activities so that decision-makers know the support behind your proposal.

If lobbying advances to negotiation, the focus shifts from raising awareness to persuading decision-makers to support shared interests. Successful negotiation entails a thorough investigation of the position of decision-makers on the issue and what can be done to shift their stance. The basic steps for preparing for negotiations are:

- **Check carefully:** Do your homework. Look at the weaker parts of your proposal, then plan to overcome them.
- **Prepare your facts:** A lack of information creates anxiety. Collect the facts that support your case, and learn as much as you can about the other group, their circumstances, perspectives and interests. Information and knowledge must be substantial enough to make reasonable demands. The decision-maker may have a valid point to address, and a coalition partner may not believe in everything you do on the specific matter. Find ways to understand and accommodate their concerns.
- **Develop alternatives:** Use the information acquired to formulate alternatives and assess what the other party will do. It will help you decide whether to compromise under their terms or walk away.
- **Get different perspectives:** Talking with others whose judgement you trust often helps you see the situation in a new light.

The most common area of lobbying in the WASH sector revolves around budget allocation for building WASH facilities because it takes political will to release large amounts of funds. Lobbying can convince key stakeholders that the design and delivery of WASH services are appropriate and necessary.

C. Lobbying targets at sub-national level

Lobbying efforts are generally aimed at decision-makers and stakeholders who have the power to influence political will. The most important actors are usually local leaders, influential actors (e.g., tribal elders, religious heads), and



civil society organisations at the sub-national level. Below is a list of whom to engage in lobbying efforts:

- Local (formal or informal) leaders
- Government agencies from WASH and other sectors.
- Civil society organisations and NGOs.
- Private sector.
- Research institutions.
- Media outlets.
- At-risk groups (e.g. women/mothers, children, elderly, PWDs, LGBTQ).
- Workers association groups (e.g. farmers, fishers, SME groups).

D. Summary

- Lobbying is a mode of advocacy action that involves targeted meetings with decision-makers, policy-shapers, and those who influence them to convince them to support particular advocacy goals.
- If lobbying advances to negotiation, the focus shifts from raising awareness to persuading decision-makers to support shared interests. Successful negotiation entails a thorough investigation of the position of decision-makers on the issue and what can be done to shift their stance.
- The most common area of lobbying in the WASH sector revolves around budget allocation for building WASH facilities because it takes political will to release large amounts of funds.

2.3 Link Issues between Sub-National and National Level

A. Communication Plan ([Emergency WASH Knowledge Portal](#))

A Communication Plan is a key part of an in-emergency communication strategy and provides an overview of why, how and with whom communication is needed in an emergency WASH response. The plan should be structured, easy to read and regularly updated and shared with all key stakeholders.

A communication plan can be developed once it is understood:

1. How different groups are adapting their hygiene to the current situation



2. What the priority risks [A.2](#) to health are and how they can be minimised
3. Social norms, beliefs, practices ([B.4](#), [B.5](#), [B.6](#), [B.7](#)) and structures related to WASH
4. Existing local capacity to respond [A.6](#)
5. The communication channels and networks used by different groups [C.3](#)

Well-designed communication activities can increase the knowledge of the target audience, influence their perceptions, beliefs and attitudes, change norms (chapter [B](#)), motivate action, foster the development of skills, advocate for change [P.10](#), promote demand for services and deepen understanding of community perceptions [C.6](#). A communication plan should provide a framework to support the implementation of these activities.

Communication plans should be coordinated with the overall response and with representatives from other sectors and government departments e.g. a Ministry of Information (if one exists).

A communication plan must outline the following:

1. What: aims, objectives, issues and concerns to be addressed
2. Who: primary and secondary participant audiences (e.g. the primary audience for promoting infant feeding practices may be mothers with young children. The secondary audience may be other family members)
3. How: channels of communication ([C.4](#) and [C.5](#)) and strategies to make them interactive (listening and seeking feedback), accessible to all and adapted to different audiences ([C.3](#) and chapter [E](#)). Communication methods and approaches (chapter [I](#) and chapter [F](#)) should be included, the human and other resources required (and over what time period) as well as indicators for monitoring and adapting communication and plans for collecting feedback and community perceptions ([C.6](#) and chapter [M](#)).
4. The plan must also detail the concepts and ideas to be communicated for different elements of the intervention (e.g. for promoting engagement and participation (chapter [E](#)), involvement in the design of facilities (chapter [P](#)), supporting accountability [M.4](#), social and behaviour change (chapter [B](#)), countering misinformation ([C.6](#) and [C.9](#)) and for different groups e.g. mothers with young children, teenage men and primary school children (chapter [E](#)).



B. Process and Good Practice ([Emergency WASH Knowledge Portal](#))

- Update communication plans continuously; they are living documents that should be kept up to date by the WASH workers, communities and other relevant stakeholders.
- Assess the community [A.7](#) and the communication preferences of different actors.
- Coordinate, share and discuss rapid communication assessments with stakeholders and identify communication priorities as quickly as possible. Build on the initial messaging over time.
- Remember that assessments of communication needs are ongoing; initial information is usually incomplete and needs may change.
- Promote and encourage transparency by sharing assessment findings and plans with the affected community and involving them wherever possible in defining and refining objectives.
- Develop strategies for supporting the WASH team to actively listen and communicate effectively with affected communities rather than just convey one-way information.
- Collaborate with others [P.9](#) to develop a shared method for obtaining community feedback and perspectives and for tracking and responding to rumours and disinformation [C.6](#); include this in your communication plan.
- Make a budget for the implementation of the communication plan.
- Monitor and evaluate the communication plan to record feedback and learn lessons; use the information to take corrective measures during the programme (chapter [M](#)).



**4.3**

Element 3. Facilitate capacity building measures on WASH in emergencies

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

A. Introduction

Capacity development is about implementing a transformation process that empower individuals, leaders and organizations. If something does not lead to change that is generated, guided and sustained by those whom it is meant to benefit, then it cannot be said to have enhanced capacity, even if it has served a valid organizational development purpose.

B. Steps to plan capacity building activities

According to the [Guides for capacity mapping and assessment of WASH emergency response](#), published by Humanitarian Library, there were 7 steps to conduct / facilitate the capacity building program

1. Getting agreement on process

The very first step in the whole process is getting the agreement of the WASH group on doing this process. It is essential that everyone is on board from the beginning as it is much easier to get agreement on action if everyone has been involved in the planning. The first step is a very important one, and one worth taking some time over, as it is far easier to get buy-in at the start, then trying to get it half way through the process. You may need to vary the approach suggested here as it may not suit your particular context

2. Identify the background data

Originally it was foreseen that the WASH group as a whole would identify the background vulnerabilities. However, it was soon recognised that this placed a very large workload on the WASH group and that a more efficient approach would be to have a consultant or one member of the WASH group assemble the background data under the supervision of the WASH group.



The procedure is as follows:

- The consultant assembling background data in a draft report
- The consultant suggesting a possible distribution of WASH Zones.
- The WASH group discussing and agreeing the zones
- The consultant preparing both the background data tool and a report summarising the background data

The background data process has two outputs. The first is the filled background data spreadsheet, some guidance for filling this is presented in an annexe. The second output is the background data report that contains not only all the data for the zones presented in the spreadsheet, but also the underlying data (e.g. data by province) from which the zone data is constructed. The following is a suggest layout for the WASH Background Data Report:

- Introduction: Setting out why and when the report was written (and who wrote it).
- Zoning: Setting out the WASH zones and the logic underlying the suggested zoning.
- Basic zone data, including the zone data and hazard profile. The hazard profile should indicate the severity and frequency of different hazards in the zones. Details on how to fill the Hazard profile are given in Appendix B: Notes on the background data tool.
- Water data. While each zone may be represented as having a particular average level of consumption, the background data report should present a more complete picture of the variability in the different zones. Official figures may need to be overlaid with a picture of the real situation.
- Sanitation data. This is often more difficult to obtain than water data and this is where using an experienced consultant will prove useful. Again, official data may have to be modulated by the real situation
- Hygiene data including personal hygiene data. This is usually the hardest data to find, and your consultant may be forced to extrapolate from small scale surveys.
- Resources, including:
 - A bibliography of the sources used for developing the background data report,
 - A list of key resource people and institutions similar to the list on the excel spreadsheet for the tool.



- A list of datasets and maps similar to the list in the excel spreadsheet in the tool.
- A list of internet resources similar to the list in the excel spreadsheet in the tool.

3. Identify the likely gaps

The underlying reason for looking at WASH sector capacity is to ensure we are better able to respond in emergencies. The original approach focused on mapping existing capacities and building on this to identify areas of weakness. In order to do this we developed a series of tools for measuring capacity:

- The capacity of different agencies.
- The capacity of the overall WASH cluster, paying particular attention to planning and coordination.

Given the problems with establishing abstract levels capacity or needs and estimating gaps from this, it makes more sense to base plans for capacity improvement on capacity gaps in WASH response. In this guide we set out three ways in which we can try to identify gaps in WASH emergency response using:

- Contingency planning for known hazards (where the contingency plans are based on ideal capacities rather than being limited by actual Capacities).
- After-action reviews of emergency responses. This is particularly useful where there has been a recent emergency, or emergencies are frequent enough to be able to identify gaps.
- Exercises to test contingency plans

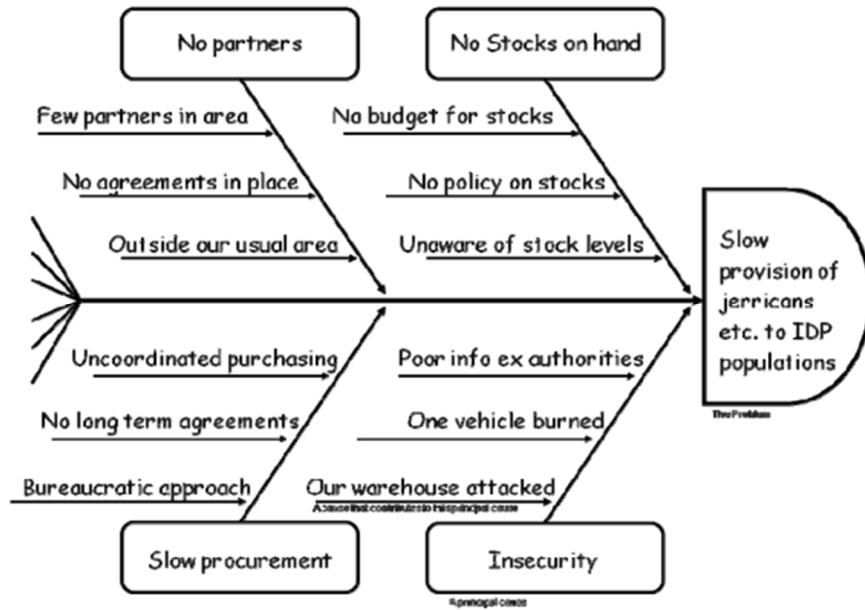
4. Analysing the capacity gaps

Two tools for analysing problems that you can use in a workshop setting are the Ishikawa (or fishbone) diagram and the problem tree.

a. Fishbone diagram

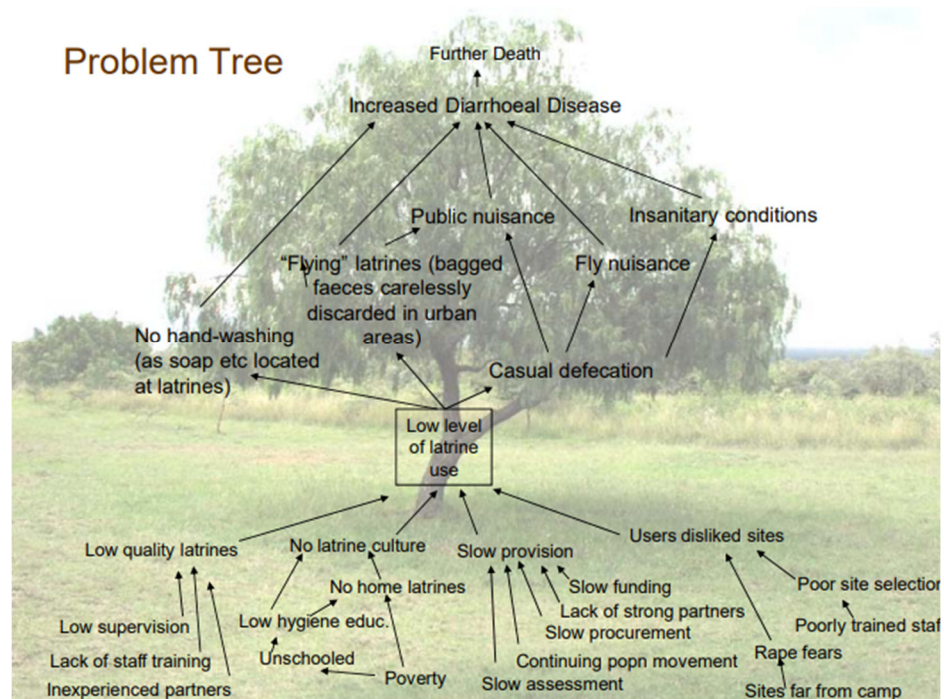
We can fill in the Ishikawa diagram starting with a problem statement, then with the principal cause, and finally the contributory causes. Each of the issues identified in planning, or in the after action review can become a problem statement, but the number will reduce as some problems will found to be caused partially by other problems identified.





b. The problem tree

The problem tree is another tool to help you analyse a problem and to separate it from its causes and effects of the problem it is particularly useful with dealing with very complex multi-factor problems, or where there is some doubt as to where something is key problem or an underlying cause.



5. Identify priorities for action

Issue triage The first stage is to separate the list of issues into:

- a. Issues which fall inside the control of the sector members (for example, stockholding policy or training policy).
- b. Issues which fall outside the direct control of the sector member, but which sector members could advocate for (for example, rapid customs clearance for relief items in a declared emergency).
- c. Issues which fall outside the control of the sector members and where the issues are so broad that advocacy by the sector would be meaningless (for example, poverty).

Impact and ease of action: the second stage is to classify the remaining issues in terms of:

- a. The likely cost of addressing them
- b. The likely impact of addressing them

Given that these may be difficult to assess, it is probably enough to divide them into low, medium, and high cost and impact.

	High cost	Medium Cost	Low Cost
High impact	Set up stocks		Establish stockholding policy
Medium Impact		Survey stocks	Standby agreements Build relationships with local government Set up long term agreements with suppliers
Low impact	Coordinated procurement		Gather data on all areas



6. Developing the capacity building plan

Building on the priority list identified earlier, the next question is who should implement the actions identified. In some cases, the actions will be for all the WASH group members, in others, for only one member or a group of members. After agreement in principle you need to agree actions that are:

1. **Specific** - it must be clear exactly what is to be done. For example, “train staff from five WASH agencies to conduct rapid needs assessment” rather than “train staff from WASH agencies in rapid needs assessment”.
2. **Measurable** - there should be a target, so it is possible to tell whether the action has been done as planned or not. For example “train 50 staff from five WASH agencies to conduct rapid needs assessment” rather than “train staff from five WASH agencies to conduct rapid needs assessment”.
3. **Accountable** - the person or entity responsible for implementing the action should be clearly identified. For example “Oxfam will train 50 staff from five WASH agencies to conduct rapid needs assessment” rather than “train 50 staff from five WASH agencies to conduct rapid needs assessment”
4. **Realistic** - they should be within the realm of the possible. For this reason, you need to give a clear statement of what the resource implications are.
5. **Time-bound** - the timetable for implementing the action should also be given “Oxfam will, by December 2010, train 50 staff from five WASH agencies to conduct rapid needs assessment” rather than “Oxfam will train 50 staff from five WASH agencies to conduct rapid needs assessment”
6. **Coherent** - The planned actions should be coherent with each other and should neither contradict nor seem to contradict each other.
7. **Ordered by priority** - so that it is clear which actions are of primary concern and which ones are secondary
8. **Limited in number** - if you make a large number of action points, this may be so demanding that not action one gets implemented. You might want to divide the actions up into phases to get around this.
9. **Economic** - the proposed actions should clearly deliver benefits in proportion to their costs



3.2 Perform measures to ensure reaching target population with culturally appropriate and gender-sensitive interventions

A. Introduction

Standards may make it easier for humanitarian workers to respond to a particular situation. However, it is best to consider standards as a baseline or minimum requirements instead of strict guidelines for planning and implementing a programme. A WASH coordinator should know the various ways to access and serve target populations with culturally appropriate and gender-sensitive interventions.

B. Ensuring culturally appropriate and gender-sensitive interventions

Culturally appropriate initiatives are those activities that accommodate and embrace local people's beliefs, practices, traditions, and viewpoints. Gender-sensitive interventions consider and respect individuals regardless of sex and seek to reduce barriers created by sexism. There are several key indicators that WASH coordinators may use to promote culturally appropriate and gender-sensitive interventions

- **The specific water and sanitation needs of vulnerable groups are considered in WASH programs.**
 - Women, the elderly, people with disabilities and other vulnerable groups such as ethnic minorities are represented on water and/or sanitation committees.
 - All people, including women, children, the elderly, and those with disabilities, can use water and sanitation facilities.
 - There is sufficient space for women to clean, dry, and dispose of sanitary items privately and professionally.
 - Individuals or groups can use a system to voice their complaints concerning water and sanitation facilities.
- **Water and sanitation programs provide affected populations with equitable access to water and sanitation facilities.**
 - The role of responsible government bodies in ensuring access to water and sanitation facilities is identified and supported where practicable.



- o Discrimination by community groups in terms of access to water and sanitation services is observed and addressed.
 - o Representatives from various segments of the affected population, including women, monitor water and sanitation inputs.
 - o Water and sanitation facilities are in a secure location where all members of the community may access them and use them in a way that promotes both protection and privacy.
- **Safety and dignity of the affected populations is a core consideration in water and sanitation programs.**
 - o Water stations are strategically placed to ensure the safety of vulnerable populations while also providing a clear vision of the surrounding region.
 - o For men and women, separate interior lockable bathrooms and washing facilities are provided. They should be placed in regions that are well-lit and visible.
 - o The critical factors in the design and placement of toilets and washing facilities are safety and convenience of access.
 - o The community, particularly women, children, and vulnerable groups, were consulted on the design and location of toilet and washing facilities and any safety or accessibility issues that may have been addressed.
 - o Pit latrines and shallow wells were built with kid safety in mind, both in design and access to the latrine and pit.
 - o When disinfection goods are provided, they are maintained in a secure location and prominently labelled as dangerous in the local language's written and graphic form. If they are ingested, the community understands what to do.
 - **Data on WASH programs for affected populations are routinely collected, analysed and reported on to inform program direction.**
 - o The affected population, particularly women and vulnerable groups, is included in developing a monitoring plan.
 - o To quantify impacts and changes, disaggregated baseline data on sex, age, and disability is collected.
 - o Monitoring systems keep track of the intended and unforeseen consequences of relief activities for women, girls, boys, men, and other vulnerable populations, and program design is adjusted as needed.
 - o Compliance with the CI Policy on the Prevention of Sexual Exploitation and Abuse is monitored, and tools for detecting and reporting abuse are available



Other questions to tackle when designing gender-sensitive interventions:

- Is it possible to find and design water points, latrines, and bathing facilities in a way that ensures privacy and security?
- Is it safe to use water points? Is it possible for users (mainly women and children) to access them safely at all hours of the day and night? Some cultures forbid women from leaving the house during daylight hours. Thus, alternative requirements that go beyond those provided in SPHERE to meet social and cultural standards should be explored.
- What kinds of sanitary products should be distributed to women and girls?
- What are the cultural beliefs about water and sanitation practices, such as during menstruation?
- What are the population's hygiene habits and overall health? What amount of knowledge and skills do women have if they are responsible for their own and their family' hygiene?
- How do women see themselves and their role in the community? How much of it can be changed, and how much can it not?

Other questions to tackle when designing gender-sensitive interventions:

- **Hand gestures**
 - The most widely known belief about hands is considering the left hand as “unclean” and reserved solely for “hygienic” reasons, such as in Hindu and Islam. It is considered proper to use the right hand for offering, receiving, eating, pointing at something, or gesturing. Meanwhile, washing hands in a clockwise motion are recommended by Buddha and correspond to the positive attitude of happy and auspicious occasions.
- **“Visibly Dirty” Hand concept**
 - It may become increasingly challenging to discover a consistent meaning of this term from a transcultural standpoint. In reality, the skin colour can make it more challenging to perceive dirt on hands. For example, a spot of blood or other proteinaceous material is more difficult to discern on very dark skin. Furthermore, in some extreme heat and humid conditions, the desire to wash hands with fresh water may be prompted by a sensation of sticky or humid skin.
 - Some cultures may find it challenging to train PHPs to limit handwashing with soap and water to only a few situations.



According to some religions, the concept of dirt is not strictly visual but rather reflects a broader meaning that refers to both interior and exterior purity. External and internal cleanliness, for example, is a scripturally enjoined value in Hinduism and is consistently listed among the cardinal virtues in authoritative Hindu texts. In the Jewish religion, the custom of washing hands immediately after waking up in the morning refers to the fact that hands may have touched an impure site during the night, considered one-sixtieth of death. It thus implies that dirt can be invisible to the naked eye.

- **Alcohol-based hand-rubs (and alcohol prohibitions in religions)**
 - Alcohol use is prohibited or considered an offence requiring penance in some religions because it is thought to cause mental impairment (Sikhism, Hinduism, Islam). As a result, the use of alcohol-based formulations as the gold standard for hand hygiene may be inappropriate for some PHPs, either due to aversion to alcohol or concern about alcohol ingestion or absorption through the skin. Even the simple designation of the product as an “alcohol-based formulation” could pose a significant barrier to implementation.
 - Alcohol prohibition is interpreted differently in different religions and even within the same religious affiliation. On the other hand, some other faiths believe that the problem does not exist.

A WASH coordinator should ensure that all WASH programme staff understand the importance of culturally acceptable and gender-sensitive interventions. Moreover, they need to ensure that these interventions are appropriately implemented. Any errors or shortcomings must be addressed immediately.

C. Summary

- A WASH coordinator should know the various ways to access and serve target populations with culturally appropriate and gender-sensitive interventions.
- Culturally appropriate initiatives are those activities that accommodate and embrace local people's beliefs, practices, traditions, and viewpoints. Gender-sensitive interventions consider and respect individuals regardless of sex and seek to reduce barriers created by sexism.



3.3 Identify gaps in training and knowledge and set goals and objectives for capacity development within the team

A. Introduction

Identifying gaps in training and knowledge and setting goals and objectives for capacity development within the team is crucial to improving the team's performance during humanitarian response.

B. Training and knowledge gaps

The list below is a guide for identifying training and knowledge gaps:

1. Define the organisational goals and objectives

Begin by writing down your organisational goals and objectives.

- What is there to achieve?
- What are the significant changes to consider?
- How can the organisation successfully adapt to those changes?

2. Determine the necessary knowledge and skills

Note that when thinking about the future, it is crucial to think about the *present and how to get from one to the other*.

- What critical knowledge and skills are needed to achieve goals and objectives?
- Will this also require adopting new approaches or using cutting-edge technologies?

3. Assess the current situation

Now is the time to assess the current situation. KPIs, according to experts, are one of the best sources for evaluating the knowledge skills gap analysis.

- To obtain an overall performance trend, one should conduct an in-depth analysis of the KPIs. Employee competency-based assessments, group discussions, 360-degree reviews, and on-the-job shadowing and observation techniques are also options.
- The goal is to map your employees' current knowledge and skills accurately. Make sure to keep the results separate from the long-term goals.

4. Identify the gaps

Once the data are gathered and analysed:



- What knowledge and skills are missing, and what kind of training is needed?

5. Bridge the gaps

After having done all of the above, start acting on it. It is also essential to keep in mind that training is not the only option. A well-rounded strategy may include hiring and maximising your internal resources through mentoring, coaching, or shadowing programs, if possible.

Human resource challenges in the areas of water and sanitation usually come from:

- Inability to attract and retain staff as a result of:
 - Inadequate budgets and salaries.
 - Limited opportunities for trained professionals.
 - Poor incentives for staff retention.
 - Insecurity in some areas.
 - Perception that WASH is not an attractive area of work.
- Lack of adequate training.
- Failure to implement recommendations of institutional and organisational studies

C. Set goals and objectives for capacity development

- **Identifying short-term objectives:**
Scheduling and planning short-term objectives in the capacity development plan are critical to building confidence, gaining experience, and demonstrating results and value. These goals can be used to guide subsequent interventions.
- **Aim to set long-term objectives:**
Capacity development is a change process that frequently involves multiple activities. Long-term objectives and milestones should be incorporated into WASH programmes.
- **Linking with existing strategies and plans:**
Capacity development efforts should not be implemented in isolation but rather as part of existing national strategies and plans.

Capacity development activities include:

- Classroom-based training
- On-the-job training
- Online learning/computer-based training



- Tours and observational trips
- Conferences, workshops, and seminars
- Coaching and mentoring

D. Summary

- Identifying gaps in training and knowledge and setting goals and objectives for capacity development within the team is crucial to improving the team's performance during humanitarian response.
- Simply put, the knowledge and skills gap is the difference between the knowledge and skills needed and the knowledge and skills available now

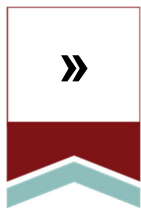




Self-assessment Checklist



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Self-assessment Checklist

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

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





Oral Interview and Written Test Guide



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Oral interview and written test guide

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

On observations

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

On oral interview

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

Please review the Unit Readings and complete the Self-assessment Checklist in this document. It may include verification questions about what you learned from the training content and material. It may also include competency questions about your knowledge and skills. Assessors may ask you what knowledge or skill you will use or apply to address a specific occupational issue or problem. Candidates need to think about how they will carry out their critical job functions in a defined work setting.

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

On written tests

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



Accuracy, brevity, and clarity are the ABCs of good writing. The first thing candidates are suggested to do is answer the questions as accurately as possible. It helps structure your response and sharpen your main points in an outline before writing them down. Candidates are advised to use short and simple sentences and paragraphs. The key messages and transitions between your sentences and paragraphs must be clear. Your answers need to be easy to read and understand. It includes removing and leaving out irrelevant material. Candidates are also expected to write coherently and logically so that readers can follow their thought.

Proofread and correct errors in your work before submitting it. How you format your work also matters. If you are using a computer, please check whether your indentions, margins, spacing, listings (bullets, numerical sequencing), and page numbers are in order.





Recommended Readings



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Recommended Readings

ACF. (2013). *ACF International Advocacy Toolkit*. Accessible [here](#).

Global WASH Cluster. (2009). *The Human Right to Water and Sanitation in Emergency Situations: The Legal Framework and A Guide to Advocacy*. New York: Global WASH Cluster, UNICEF New York. Accessible [here](#).

Global WASH Cluster. (2009). *Water, Sanitation, and Hygiene (WASH) Cluster Coordination Handbook: A practical guide for all those involved in the Water, Sanitation, and Hygiene Cluster*. New York: Global WASH Cluster, UNICEF New York. Accessible [here](#).

PATH. (2014). *Stronger Health Advocates Greater Health Impacts: A workbook for policy advocacy strategy development*. Accessible [here](#).

U.N. Water. (2009). *Advocacy for sanitation: a brief guide*. Accessible [here](#).

UNICEF. (2010). *Advocacy Toolkit: A guide to influencing decisions that improve children's lives*. Accessible [here](#)

WHO. (2016). *Strategising national health in 21st century: a handbook – Chapter 11*. Accessible [here](#).



Learning Resources

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





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ONE RESPONSE

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ASEAN Standards and Certification for Experts in Disaster Management

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