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The Global WASH Cluster Coordination Tool Kit (CTK) provides guidance, tools and field examples to support all members of WASH coordination platforms to implement the functions and tasks linked to Humanitarian WASH coordination.
How does it works

The CTK is divided into 12 chapters, outlining core cluster functions, or functions linked to a specific HPC phase when relevant. The 12 chapters are outlined and can be selected in the navigation panel on the left. For each chapter, there is a presentation page, and several subpages, as follows:

- **Presentation pages** are structured in the following way:

<table>
<thead>
<tr>
<th>What is it about</th>
<th>A summary of the coordination function</th>
</tr>
</thead>
<tbody>
<tr>
<td>What are the objectives</td>
<td>The list of reasons why the coordination platform must implement the function, and its expected positive impact on the response</td>
</tr>
<tr>
<td>At least you should do</td>
<td>The list of minimum requirement associated to the function, selected from the list of Minimum Requirements for National Humanitarian WASH Coordination Platforms established by the GWC</td>
</tr>
</tbody>
</table>

- **Sub-pages** can be expended and selected in the navigation panel on the left. They are structured in the following way:

<table>
<thead>
<tr>
<th>Key guidance &amp; tools</th>
<th>Expansible text where can be found links to relevant support documents related to the subpage's task, that can be downloaded. Click on the link to open or download the document.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Field examples</td>
<td>Other tools</td>
</tr>
<tr>
<td>Main task</td>
<td>Main task that must be performed by the WASH coordination platform in relation with the subpage's topic</td>
</tr>
</tbody>
</table>
**Coordination platform**

**What is it about?**

The first of the 6+1 functions of the WASH Coordination platform as defined by the Inter Agency Standing Committee (IASC) is to “support service delivery”, by setting up a platform allowing partners to 1) deliver services to the beneficiaries according to a Humanitarian Response Plan and the WASH sector/cluster strategic priorities; and 2) avoid duplication. Depending on the context, the coordination platform will have to be set up or strengthened. In both cases, the WASH sector/cluster coordinator (WCC) works hand in hand with the Information Management Officer (IMO) to achieve all coordination requirements set up by the IASC, OCHA, GWC and relevant governmental authorities.

**What are the objectives?**

Ensures delivery of WASH services to the affected population is driven by the Humanitarian Response Plan, and that use of available resources is maximized.

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**At least, you should do...**

- **GWC Minimum Requirements**
  - Cluster/sector at national level is adequately staffed
  - Cluster/sector at national level has a Term of Reference
  - Cluster/sector meetings are organised with minutes and action points
  - Strategic decisions for the cluster / sector are taken by a group of partners representing the interest of all the WASH Stakeholders
  - There are clear sub-national focal points or coordinators in place where relevant.
  - Information sharing platform established ([humanitarianresponse.info](http://humanitarianresponse.info)) or other.
  - Activity reporting form is established (4W or...
Contribute to the intersectoral humanitarian coordination system

Know the humanitarian coordination system and humanitarian program cycle (HPC)

The WASH coordination team must be up to date with the system set up by the Humanitarian Reform and the Transformative Agenda. On this page you will find key general coordination tools, guidance and templates developed by the IASC. In 2005, the Humanitarian Reform set up the humanitarian cluster system and defined the 6 cluster’s core functions (see 2015 IASC Cluster Coordination Reference Module) that have not changed since. The intention of the Cluster Approach is to ‘strengthen overall levels of accountability for humanitarian response’. Humanitarian actors in and out of the WASH sector are linked by different level of accountability, summarized below:

<table>
<thead>
<tr>
<th>The WASH Cluster Coordinator is accountable to:</th>
<th>UNICEF (as Cluster Lead Agency) is accountable to:</th>
<th>WASH Cluster partners are accountable to:</th>
<th>National government and state institutions are accountable to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The affected population</td>
<td>• The affected population</td>
<td>• The affected population</td>
<td>• The affected population</td>
</tr>
<tr>
<td>• The WASH Cluster Lead Agency (UNICEF) at country level</td>
<td>• The Humanitarian Coordinator (HC) and the Humanitarian Country Team (HCT)</td>
<td>• National government</td>
<td>• Donors</td>
</tr>
<tr>
<td>• WASH Cluster partners</td>
<td>• WASH Cluster agencies</td>
<td>• Donors</td>
<td>• Each other, to work cooperatively and avoid waste of resources</td>
</tr>
<tr>
<td>• Other clusters, through OCHA</td>
<td>• National government</td>
<td>• The affected population</td>
<td>• The affected population</td>
</tr>
<tr>
<td>• Humanitarian Coordinator</td>
<td>• Donors</td>
<td></td>
<td>• Donors</td>
</tr>
<tr>
<td>• National government</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In 2012 the Transformative Agenda was developed in which the IASC emphasized the necessity for each cluster/sector to follow the 2015 IASC HPC Reference module. They defined standard products (HNO, HRP, flash appeal, PMR etc.) associated to the HPC, as well as general inputs required from clusters/sectors. The coordination platform, from these developments, needs to have a clear view on the national HPC calendar and products, and on the inputs they should provide. To make sure that coordination staff are up to date with general and sector specific methodologies and tools, the GWC set up a training pathway (see also capacity development chapter), including various e-learning, face to face briefing and trainings.

Gather documentation on current humanitarian crisis and local context

The first task of a newly deployed coordination staff will be to gather documentation on the current humanitarian crisis and the local context. In the key tools you can find a list of reliable web resources that can be used.
**Conduct a WASH coordination diagnosis against the GWC Minimum Requirements**

The GWC defined a set of Minimum Requirements (MR) for country level WASH humanitarian coordination based on the IASC core cluster coordination functions and commitments for accountability to affected populations. The MR are considered the basic package required to achieve effective WASH humanitarian coordination at the country level. The WASH cluster/sector coordinator should make an initial diagnosis of the current WASH coordination system against the MR, and update it regularly. MR’s achievements should be integrated into the coordination work plan, and carefully monitored (See an example of work plan in ToR and Work plan section)

**Identify and meet key partners**

The Humanitarian Reform was set up to promote improved coordination and partnership between humanitarian actors as coordination cannot function without the participation and commitment of the partners. WASH coordination platforms must be pro-active to meet all key WASH actors, either to include them in the partnership, or interact with them to build and implement relevant cluster strategies. Partners include relevant ministries and public institutions (often leading or co-leading the WASH coordination), UN agencies, other sector/cluster coordinators, HC, Red Cross, INGOs & LNGOs, donors, private sector.

**Participate in inter-sector humanitarian fora**

Inter-sector coordination is key to deliver the Humanitarian Response Plan’s strategic objectives in the most efficient way. OCHA provides capacity to lead and support inter-sector coordination, sometimes with inter-sector dedicated staff through the in-country Inter cluster/sector coordination group (ICCG). Some strategic objectives of the Humanitarian Response Plan may require contributions from all sectors and others from a more limited group. Specific sectors may come together without the leadership of OCHA to discuss specific strategies and monitoring of their achievement (example: Malnutrition issues must be discussed between Nutrition, WASH, Food Security and Health clusters). Some global clusters propose checklists (also called inter-cluster matrices) to help country clusters identify issues that they need to clarify to avoid gaps or duplication. Inter-cluster matrices and other inter-sectoral tools developed by the GWC are available in the list of tools of this page.

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**Key external web links**

Transformative agenda (IASC website)

what is the cluster approach (humanitarianresponse website)

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**ToR and Work plan**

- **Key guidance and tools**
  - 2015 IASC HPC Reference module.pdf
  - 2018 GWC coordination task.docx

- **Field examples**
  - **Cluster ToR**
    - **English**
      - Liberia_WASH Cluster TOR.docx
      - 2012 ToR WASH Cluster Somalia.docx
      - Kenya ToRs - 2012.doc
    - **French**
      - Mali TdRs 2012.doc
      - Tchad TdRs - 2012.docx
  - **Subnational cluster ToR**
    - **English**
      - WSCC ToRs - Pakistan 2012.doc
      - 2018 WC Somalia ToR Regional Focal points.docx
      - 2018 SI NES ToR WASH sector working group.docx
    - **French**
      - TDRs Sous Cluster WASH - Niger 2012.doc
      - TdR sous cluster WASH Mali - 2012.doc
  - **Cluster work plan**
    - MENARO_SoP_WCC_IM_Strategy__Workplans.xlsx
    - MENARO_SYR_WCC_IM_TurkeyHubWorkplan_20131001.xlsx
    - WCARO_DRC_WCC_IM_LubumbashiWorkplan_20130407.xlsx
    - MENARO WCC checklist v3 simple.docx
Set up coordination ToR and workplan

When starting his assignment, the WASH cluster coordinator should first understand the general in country humanitarian coordination structure. He/she should then define the Terms of Reference of the coordination platform, based on the IASC reference document on cluster coordination and the local context. He/she should then establish his/her work plan for the coming year.

**DEFINE COORDINATION ARCHITECTURE, GOVERNANCE & PRINCIPLES**

Standard coordination architecture and governance system were defined by the IASC in the "2015 IASC Cluster Coordination Reference Module". They are described in the below diagram, but need to be adapted to each country and context.

![Coordination Architecture Diagram](image)

In general, the following principles should be followed regarding coordination architecture:

- National WASH Cluster Coordinator (WCC) should have a direct reporting line to the UNICEF Country Representative and also report to the OCHA’s inter-cluster coordinator, who relay the information to the HC/HCT.
- Subnational WCC reports to the local UNICEF Chief of Field Office and to the national WCC.
- The relation with national government varies from one country to another. In some cases, a representative from the government at the WASH Cluster is nominated, from Water Resource, Health or Public Services’ Ministry. Depending on its capacity, national government will oversee the whole coordination, participate in the cluster decision making process, or will just be an observer.
- Partners/members of the GWC are accountable to the WASH Cluster as per their commitments made at global level. Some other partners are just observers (MSF, ICRC).
- WASH partners are encouraged to take on a shared coordination leadership role, by fulfilling a cluster co-facilitator role at national level, or cluster coordination role at subnational level. This can be done on a voluntary basis, or by dedicated staff funded by a donor.
SET UP NATIONAL AND SUBNATIONAL COORDINATION PLATFORMS' TOR

The governance system, responsibilities and accountabilities of the cluster/sector should be formalized by the establishment of Terms of Reference (ToR) for each national and subnational platform. ToRs must be endorsed by UNICEF as CLA, and they should be framed in terms of clusters' core functions. Template and example of ToR are available in this page.

SET UP COORDINATION PLATFORM'S WORK PLAN

Achievement of cluster functions, including GWC minimum requirements, have to be prioritized and phased over a certain period, depending on the emergency phase and the context. A coordination work plan must be established and regularly updated by the WCC. It should include general IM tasks, as well as main subnational platform products, although IMO and subnational platforms should have their own more detailed frameworks and work plans. The work plan must integrate all the inputs from the WASH coordination platform to the local HPC product (HRP, HNO etc.). Template and example of work plans are proposed in this page.

Key external web links

Coordination team

- Key guidance and tools
  - 2013 Generic coordination team ToRs WCC IMO.docx
  - 2010 GWC WCC TdRs sommaire FR.docx
  - 2010 IASC WCC TdRs Generic FR.pdf
  - 2010 IASC WCC ToRs Generic EN.doc
  - 2010 UNICEF WCC ToRs Generic EN.doc
  - 2013 UNICEF Generic Cluster Coordinator ToR.DOC

- Field examples
  - Cluster coordinator ToR
    - English
  - French

- Subnational cluster coordinator ToR
  - 2012 Niger Subnational WASH Cluster ToRs.doc
  - 2012 Pakistan Subnational WASH cluster ToRs.doc
  - 2012 Somalia AWD flooding district focal point.pdf
  - 2012 Somalia AWD flooding regional focal point.pdf
  - 2012 Somalia AWD flooding summary cluster ToR.pdf

- Cluster Co-lead ToR
  - TdR cofacilitateurs cluster WASH - RDC ancien.doc
  - TdR CoFacilitateurs Cluster WASH - RDC.pdf

- IMO ToR
  - English
    - Haiti IMO ToRs - 2010.doc
    - IMO ToRs Generic - 2011.docx
    - Pakistan Generic IM ToRs short v1.0.docx
    - Pakistan Generic L4 IMO ToRs - 2010.doc
    - Pakistan IMO ToRs (systems development) - 2010.doc
    - Pakistan L3 IMO ToRs 1 - 2010.doc
    - Pakistan L3 IMO ToRs 2 - 2010.docx
    - Position Description RRT.docx
    - RRT IMO ToRs - MSB 2012.doc
    - Somalia IMO ToRs - 2011.doc
    - DRC IMO - 2011.DOC
    - Generic - IMO -P-3 and P-4 FINAL.DOC

  - French
    - Mali Groupe Technique IM TdRs - 2012.docx

- Other tools
  - 2016 GWC Team digital communication tools.xlsx
  - Request for Standby Personnel.docx
Organize the coordination team

Evaluate & strengthen coordination staff capacity

One of the GWC minimum requirement is that “Cluster/sector at national level is adequately staffed and is proportional to the size of the needs for coordination”. After a new crisis, a coordination platform team must be set up, with clear job description/terms of reference for each team member. It is the responsibility of UNICEF country office to make sure that there is sufficient and adequate staff to fulfill the coordination (including IMOs and assessment specialists). Staff can be deployed / recruited by UNICEF or by GWC Stand-by Partners, a group of NGO funded by donors to have staff available for WASH coordination-related rapid deployment. If needed, a temporary assignment (up to 6 months) of a Stand-by partners staff can be requested to EMOPS by UNICEF country office or to the GWC. The main Stand by Partner scheme is currently the Field Support Team (FST), composed of between 10 and 15 GWC partners staff, available for rapid deployment for coordination or remote support to national coordination platform.

SAG and TWiG

SAG and TWiG

Set up SAG and TWiG

SET UP AND FACILITATE SECTORIAL ADVISORY GROUP

IASC advises that cluster should be managed through the creation of a Strategic Advisory Group (SAG) of key operational partners, complemented by separate forums or mechanisms to ensure broader information exchange for all cluster/sector partners. In that configuration, the WASH sector/cluster coordinator only plays a facilitator role, all important decisions and document drafted should be endorsed by the SAG. The WASH sector/cluster coordinator must be part of the SAG, as well as representatives from local actors including the national government. The SAG strengthens the participatory nature of the sector management, and because of its reduced size (from 5 to 10 members) still allows decisions to be taken quickly. Eligibility to SAG membership and members selection/election process should be outlined in the SAG ToR.

ESTABLISH TWIG AS NEEDED AND MONITOR THEIR OUTPUTS

Technical Working Groups (TWiG) are set up to resolve specific challenges (technical, standards, quality etc). They are task-oriented and time-limited in their formation and ToRs. They are created on a needs-basis, for example to agree minimum standards or formulate appropriate technical practices, and should dissolve once their task is completed. TWiGs are coordinated by a focal point or technical adviser (usually one of the WASH partners) and composed of relevant technical experts. Specific IM and assessment working group can also be created when needed.

Coordination meetings

Coordination meetings

Key external web links

Key external web links

Key external web links

Print Preview

Print Preview
Set up and facilitate WASH coordination meetings

Managing sector/cluster meetings represents an important and time-consuming task for the WASH Coordination Platform. Meetings are just one decision making tool among others, and a focus should be made on pre-meeting preparation and post-meeting follow-up. Meeting duration should be kept minimal (1h max), with a clear agenda and action points follow-up systems. Except during the first stage of an emergency, coordination meetings should preferably not be used as an information sharing forum: information can be circulated before or after. Meetings could also be the scene of disagreement among partners, that the WCC must prevent or deescalate. Templates to be used for meeting management are provided in this page, as well as tips to organize meetings, and tools for other related purposes (consensus building, influencing).

Meeting Attendance Templates
Keeping track of meeting attendance can help to populate initial contact lists, and are a means of tracking participation, particularly where key decisions have been taken. Basic printable templates can be used to manually collect contacts and note attendances at meetings. It will be critical to ensure that these are circulated to all attendees during the meeting, and that these are collected after the meeting. There are also a growing number of apps available to help maintain meeting attendances. Many of these are developed for team sports (maintaining information on player attendance at trainings) but are flexible and may be useful in some emergency situations. The most useful app identified is described in the Support Pack (AttendanceTracker).

Meeting minute template
Ensuring the documentation of decisions made during meetings will help ensuring transparency and accountability to Cluster members. Basic templates are provided in this chapter to track main meeting actions and their associated discussion points, and identify those who agree to implement actions. If it’s a very important meeting you can use your phone to record the meeting and double check actions afterwards. There are also a number of apps available online to help maintain meeting actions. Most are not perfect but there will potentially be better versions developed in the coming years..

Key external web links

WASH partners

Key guidance and tools

- Cluster Partners ‘ToRs’.zip
- GWC partners briefing package I & II.zip (for WASH partners to brief their staff before deployment)
- GWC partners briefing package III.zip (for WASH cluster coordinators to brief their new partners)
- GWC partners briefing package I II & III arabic.zip

Field examples

Other tools

Communicate with WASH sector partners

Ensure briefing of new partners regarding WASH response and coordination system

Due to the high turnover and nature of humanitarian work, new staff deployed by WASH agencies to emergencies are initially often unaware of the humanitarian WASH coordination system, and of their responsibilities towards coordination. A package of three modules (see Key guidance above) have been designed by the GWC to ensure partners are properly briefed on the general and national humanitarian WASH coordination system. The modules can be downloaded from the key tools and guidance above. An example of webinar organized by GWC partners using the briefing modules I and II can be found in the Key external links below

Communicate with WASH partners

The WASH coordination platform must first maintain a contact list of all partners (see Contact management section). A high level of
communication is then needed between the coordination platform and the partners, to build and maintain the sectorial partnership. General and bilateral email, plenary and face to face meetings and online information management platforms can be used. Partners have emergency response activities to design and implement, and should not be overwhelmed with unnecessary communication: online collaborative tools must be preferred to email to share documents and information.

**Build and maintain partnerships with humanitarian and development actors**

In a cluster context, and although many partners have made commitments to coordination at global level, they do not have any legal obligation to collaborate with the coordination platform and follow their guidance and recommendations. Indeed then, as often is the case, the WCC must be proactive to make partners understand the added value of coordination for them and for the affected population. Building partnership with government is often key to achieving cluster local capacity building objectives. Having government taking an active role in coordination and validating documents also enforces the application of cluster guidance by partners. The WCC should foster the participation of other usually less vocal local actors (national NGOs or faith-based organizations, local academic institution etc.) to the coordination process.

**Information management**

**What is it about**

A large volume of information is produced during humanitarian emergencies. This information flow must be absorbed and analysed by the coordination platform, and presented to the WASH partners and other actors in a digestible way so it can be used to improve their response. Coordination work is based on high level of communication between actors, and must be supported by relevant Information Management (IM) dedicated staff, tools and protocols.

Once strategic tasks have been planned (IM diagnosis, work plan, and activity matrix), the Information Management Officer (IMO) starts using tools to enable the functioning of the WASH coordination platform and the information flow between WASH response actors. This is the initial set up of the information management system. IM underpins many coordination functions, from analyzing assessment and monitoring information, setting up WASH response monitoring mechanism, maintaining up-to-date WASH sector contact lists, or setting up Humanitarian WASH related document online filing system.

In this section, both WASH cluster/sector coordinators and Information Management Officers (IMO) will find useful tools and templates that can be used throughout emergency responses.

**What are the objectives**

- Connect Humanitarian Program Cycle elements by carrying information from one to another
- Inform all humanitarian actors’ decision making and analysis processes
- Avoid gaps and duplication in the response

**At least you should do**

**GWC Minimum Requirements**

- Information sharing platform established (file sharing system and website - for example: humanitarianresponse.info).
- Activity reporting form is established and maintained (4/5W or something similar).
- Information management capacity exists to produce mapping/information products for operational presence and activities of partners.

**Other important requirement:**

- A diagnosis of the IM environment and/or update the IM framework for the WASH Sector.

Click to get the complete list of GWC Minimum Requirements

**Navigate in the sub-pages:**

- IM diagnosis & framework
  - Key guidance and tools
**Conduct an Information Management (IM) diagnosis and set up the IM framework**

Arriving in an ongoing emergency operation to undertake Information Management for the Cluster/sector can be daunting in the face of a myriad of information requests and competing priorities. Finding space to conduct an initial diagnosis is critical to ensure focusing on the highest priority IM systems with a clear idea of the requirements, and should be implemented over the first days upon arrival. The GWC IM diagnosis tool is adaptable, including common probing questions, to help identify areas and means of improvement to support the core coordination functions of the Cluster. It also suggests key stakeholders who should be considered during the diagnostic process. Find more detailed info about IM diagnosis by downloading the file 2017 GWC IM Diagnostic Briefing Note.

The output of the initial diagnostic is an IM Framework outlining the main information management related tasks that need addressing throughout the emergency. The IM Framework & Workplan tool provided in this page can be modified to the specific emergency needs in the first week of deployment, and can help you guide the IM diagnosis.

The IM Framework/Work plan should be developed by the IMO in collaboration with the WASH cluster/sector coordinator, and updated regularly. It should be added as an annex to the WASH Strategic Operational Framework and WASH coordination workplan developed by the WASH cluster/sector coordinator.

The IM work plan can be used by one IMO, or be developed to define tasks of several IMOs if the emergency response encompasses multiple IMO posts.

**Activity reporting tool (W-matrix)**

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GWC 3W Template Phase 1.zip</td>
<td>From weeks 1-4 of a rapid onset emergency or before the development of a strategic plan, this basic Phase 1 - 3W template can be used to collect key operational information to share to the partners.</td>
</tr>
<tr>
<td>GWC 4W Template Phase 2.zip</td>
<td>Once the WASH SOF/HRP indicators are defined, the more extensive Phase 2 - 4W template should be used (using the Excel sheet that lists interventions, units and indicators). This is usually the format used in most protracted contexts.</td>
</tr>
<tr>
<td>2016 GWC WASH 4W Guidance.docx</td>
<td>This Response Monitoring Briefing Sheet aims at assisting IMO in designing a W-matrix to capture activities delivered by WASH partner and calculate overall indicators for a specific emergency</td>
</tr>
<tr>
<td>2016 GWC 4W framework.pptx</td>
<td>This is a mapping of most analyses that can be drawn from a W-matrix</td>
</tr>
</tbody>
</table>
This is a useful document highlighting the limitations of W-matrix including some potential solutions to better capture key WASH response data.

### Field examples

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0. Generic.zip</td>
<td>This is a set of generic 4W using dummy data in several countries.</td>
</tr>
<tr>
<td>1. Location Type.zip</td>
<td>This a 4W example that includes location types (refugee camps, schools, health centres, etc...).</td>
</tr>
<tr>
<td>2. Indicator Tracking.zip</td>
<td>These are 4W examples capturing data at indicator level rather than activities.</td>
</tr>
<tr>
<td>3. Sum of Max.zip</td>
<td>This are 4W examples including automated analyses and charts that combine other datasets (population, FTS). It also includes a calculation of beneficiaries suing a summation of maximum beneficiaries by location.</td>
</tr>
<tr>
<td>2016 WC SSD 5W instruction for partners.docx</td>
<td>This is a useful accompanying guidance for partners on how to fill in the 4Ws which can be adapted to your context.</td>
</tr>
</tbody>
</table>

### Other tools

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cluster Partner Reporting Portal (eTools UNICEF)</td>
<td>This is a partner reporting portal (PRP) used by cluster members that include UNICEF IP partners and partners who are operating outside of UNICEF contracts. It allows cluster partners in emergencies to report on progress of humanitarian response against results of Cluster strategic plans which are aligned to an overall Humanitarian Response Plan or Flash Appeal. In addition, it also enables cluster coordination teams to access and visualize progress. Stay tuned and follow the link for more information on the piloting and future implementation of the PRP in 2019!</td>
</tr>
<tr>
<td>ActivityInfo</td>
<td>ActivityInfo is a software for data collection and reporting which works online and offline. It is optimized for reporting on activities which are geographically dispersed and implemented by multiple partner organizations.</td>
</tr>
<tr>
<td>ReportHub</td>
<td>ReportHub provides an easy-to-use system that includes alerts and notifications for a daily reporting workflow, tailored to your needs. Once entered, the analytics engine processes key business indicators for decision support made available via interactive dashboards.</td>
</tr>
</tbody>
</table>

### Prepare the activity reporting tool (W-matrix or similar)

One of the GWC Minimum Requirements for WASH coordination is the establishment of an activity reporting tool such as 5W matrix. A 5W (who, what, where, when and for whom) is a tool to collect information on emergency response activities by partners. Depending on the emergency phase, more basic variants of the 5W can be used: 3W (who, what, where) and 4W (who, what, where, when). A basic activity reporting tool such as 3W can be set up in the early stage of the response, and modified and updated with more details later once the WASH Operational Response Plan’s monitoring plan has been finalized. The process for setting up a W-matrix can be as follows:

- The WASH sector coordinator defines to which queries the W-matrix should provide answers. Queries are usually designed to inform the indicators from the response monitoring plan, or informing operational decision.
- The Information Management Officer designs the W-matrix template following the queries. Design must be done to minimize burden for partner’s reporting.
- Once designed, the W template is sent to partners on a regular basis: weekly at early stage of a sudden onset response, monthly when humanitarian situation is stabilized.
- The coordination team must train partners to properly fill the W-matrix, and encourage timely reporting of their data.
- Partners send back the filled W matrix with their activity data (activity location, type of activities, Nb of beneficiaries reached etc.) to the IMO.
- The IMO analyses data and produce infographics to illustrate results of analysis and feed the various response monitoring report.

GWC has developed 3W and 4W templates, that can to be customised for each context. See more about adapting and rolling out the 5W in "activity reporting tool" section in the Monitoring and Evaluation chapter.

Other tools exist that have been agreed as Activity tracking systems in some countries, such as Activity Info (Iraq), ReportHub (Afghanistan, Syria). Expand "Other tools" on top of the page.
Visual and reporting templates

- **GWC Style guide**
  - 2012 OCHA Graphics Style Book for public.pdf
  - 2016 GWC Style Guide FINAL.pdf

- **Logo & Icon**
  - Humanitarian Icons.zip
  - GWC Logos.zip

- **GWC Report & Presentation Templates**
  - 2015 GWC Assessment Report Template.docx
  - 2016 GWC One-pager template.docx
  - 2016 GWC Ppoint Presentation Template.pptx
  - 2016 GWC Report Template.docx

- **WASH Cluster Bulletin**
  - **Key guidance & tools**
    - 2016 GWC WASH Bulletin Briefing Sheet.pdf
    - 2016 GWC WASH Bulletin template.docx
  - **Field examples**
    - 2014 WC SSD WASH Cluster Bulletin.pdf
    - 2017 UNICEF SSD cluster Newsletter.pdf
    - 2013 WC Phillipines WASH Cluster bulletin.pdf

- **WASH Dashboards & Operational Presence**
  - **Static Dashboards (Word, Excel...)**
    - 0. WASH Static Dashboard Manual.docx
    - 1.Excel Templates.zip
    - 2.Publisher Templates.zip
    - 3 InDesign-Illustrator Templates.zip
    - 4. Examples & template.zip
  - **Interactive dashboard (Tableau...)**

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017 GWC Tableau User</td>
<td>This is a guidance on how to create WASH dashboard and other Infographics using Tableau application. It explains how to use shapefiles in Tableau, how to connect them with a W-matrix data, and how to develop meaningful and dynamic dashboards. The guidance contains demo files using Madagascar and Iraq sample data (in the ZIP).</td>
</tr>
<tr>
<td>guidance.zip</td>
<td></td>
</tr>
</tbody>
</table>

- **Examples of WASH Cluster dashboards**
  - Latest examples of WASH dashboards - Reliefweb RSS

- **WASH Desktop Mapping tools**
  1. ARCGIS Templates.zip
  2. QGIS Templates and Workflow.zip
  3. PowerPoint Maps.zip
  4. Examples & template.zip

---

**Prepare WASH cluster visualization and reporting templates**

The coordination platform is responsible to produce high quality reports on response progress and gaps. Standard GWC, OCHA and country
specific format, style and templates can be used, customized for each country when needed. The following tools and templates are available in this section (see guidance, template and example in the document section above):

**Style Guide and Logos and Icons**

The GWC Style Guide offers information on the logo, icons, fonts and colours that should be used for producing WASH-related reporting material. IMO must try to use the GWC guidance as much as possible when producing material in the country of emergency. Icons are useful to illustrate documents, presentations and maps. The icon folder contains general and WASH-related icons. Some icons are produced by the OCHA Visual Unit, other icons were adapted to WASH specific needs and come in a variety of formats (.ai, .svg, .png,.docx). In addition, an ESRI and QGIS icon folder contain icons for use in a GIS. The folder also includes guidance on how to adapt the GWC logo to make your country cluster logo.

**GWC report & Presentation Templates**

Basic reporting products produced during an emergency should be kept brief, use bullet points and visual-aids where appropriate, and highlight essential issues. A series of blank report templates (reports, sitreps, base maps, operational presence maps, WASH cluster dashboards and bulletins) for general use are provided on top of this page, including:

- WASH Dashboard Manual to help create static and dynamic dashboards (see also text box below)
- WASH Bulletin Briefing Sheet and templates (see also text box below)
- Basic gap analysis templates and information on the reporting requirements of OCHA, including the OCHA's IM Product Catalogue.

**WASH cluster/sector bulletin**

A WASH sector bulletin/sitreps contain more text than the dashboard. This is where the Cluster can unpack issues that are arising both thematically and geographically. A bulletin is a good advocacy tool where ‘news’ from partners can be added. A bulletin would normally be produced less frequently than a dashboard, and would typically:

- Highlight the urgent needs but also the achievements
- Add news items from partners so that they can use the bulletin as an advocacy tool
- Add pictures, maps and graphs to tell the “response story”

**WASH cluster/sector dashboard and operational presence map**

WASH sector dashboards objective is to provide a visual snapshot of the emergency response progress against strategic indicators, as well as main response gaps. They present analysed data from recent monitoring results, especially from 4/5 W. Dashboards are produced on a weekly or monthly basis, usually following the cycle of 4/5 W submission by partners. They are shared with all actors and published on the WASH sector website. Sector dashboards are compiled by OCHA to produce overall response dashboard.

**WASH Desktop Mapping tools**

Desktop mapping consists in using computer to perform digital mapping functions, often using GIS (Geographical Information System) softwares. Common GIS softwares include ArcGIS (licenced) and QGIS (open source). QGIS comes with a detailed step-by-step workflow facilitating the production of basic maps. For IMO without GIS experience, it is also easy to make maps using MS PowerPoint or MS Word, by converting GIS shapefiles to Enhanced Graphic Files. An IMO with GIS software can easily convert the administration boundaries for use in PowerPoint and share them. Some desktop mapping tools are provided in the documents folders on top of this page. Having an easy access to local map templates greatly speeds up the process of making maps during an emergency. Some GIS administration boundaries can be accessed in Key external web links below

Please also refer to the **Gap analysis & advocacy** chapter for more guidance and workflows on how to produce offline and online infographics.

<table>
<thead>
<tr>
<th>Key external web links</th>
</tr>
</thead>
<tbody>
<tr>
<td>QGIS: Open source GIS software</td>
</tr>
<tr>
<td>The Humanitarian Data Exchange website. Contains many Common Operational Data</td>
</tr>
<tr>
<td>OCHA's MapAction website. Contains useful mapping’s graphics and data sets</td>
</tr>
</tbody>
</table>

**Contact management**

- Key guidance and tools
  - 2016 GWC 1a. Excel Contact List Guidance Note.docx
  - 2016 GWC 1b. Excel Contact List Template.xlsx
  - 2016 GWC 2. Mailchimp Guidance Note.docx
  - 2016 GWC 3. Creating a profile in Humanitarian ID.docx
  - 2016 GWC 4. Contacts Tools Overview.xlsx

- Field examples
  - 2017 WASH Sector Kenya Contact list.xlsx
  - 2018 WC Gaza Master Contacts list.xlsx
Establish & maintain WASH sector/cluster contact management system

Maintaining contact lists during emergencies can be difficult. One single ‘Master’ contact list of WASH sector partners should be maintained and shared between the WASH sector/cluster IMO and Coordinator. The contact list might also be shared on the operational website (public or password-protected access), if no security issues prevents it. See GWC Contact List Template and GWC Contact List Guidance Note on top of this page for more details. Depending on the context, the contact list:

- can be shared by email through Excel
- sit within an online document repository (e.g. Google Sheets/Drive, Drop Box)
- sit within a contact management system (e.g. MailChimp, HID or Google Groups).

Note that online tools will require good internet connectivity and possibly licenses.

Other online tools or apps can help you to collect and manage contact information. The GWC would advise the coordination team members to register and check in to humanitarian ID website (see below), which will:

- ensure they are included in all OCHA correspondence
- improves contact visibility for response actors (all actors registered on Humanitarian ID can see each other)
- allow the IMO to directly display the team’s contacts on the HR.info cluster website (see WASH sector website section).

Key external web links
Mailchimp: originally created to be used for business marketing, mailchimp can be useful to maintain cluster contact list
humanitarian ID contains an extensive list of contact for each emergency response

WASH sector website

Key guidance and tools
- HR.Info Website Guidance for WASH.zip

Field examples
- South Sudan WASH Cluster website on Humanitarianresponse.info
- Ethiopia WASH Cluster website on HumanitarianResponse.info
- RDC Cluster EAH website
- Occupied Palestinian Territories

Other tools

Set up the WASH sector operational website

Depending on the type of emergency, a WASH sector/cluster operational website can be hosted by OCHA or UNHCR, or both. This website contains all relevant WASH sector response information such as assessments, maps, reports, as well as a package on coordination management (contact list, coordination meeting information, composition of SAG etc.) Instead of creating a new website, the IMO can be given permission to upload Cluster information on the OCHA's HumanitarianResponse.info website on a specific WASH sector dedicated page, which is the recommended approach. On top of the HR.Info Website Guidance for WASH provided in this page, see the key web links section for comprehensive instructions on how to upload information to HumanitarianResponse.info. The IMO can also work closely with the UNHCR IMO to upload information on the UNHCR site if applicable for that situation. In some contexts, alternate platforms may exist (governmental, pre-existing, etc.).

Tips
- Add a link to the operational website to your email signature.
- Register on the website to receive alerts to certain content (assessments, maps etc.).
- If possible, use the contact tool to keep contacts up to date, in this way the master contact list can remain on the site without duplications and partners can register ‘in’ and ‘out’ of the emergency.
- Be aware of making all information public (consult with Cluster Coordinator and IMWG before uploading data that may be of a
Online file repository

Key guidance and tools

- 0.GWC_FileNamingGuidance_V1.docx
- 1.GWC_CountryFolderStructureGuidance_V1.docx

Field examples

- South Sudan google share drive
- RDC Dossier partage google drive

Other tools

Set up an online folder structure and file repository for WASH cluster/sector documents

To share documents with partners, the WASH coordination platform can set up an online file repository, which is usually easier to maintain than a website. Well-known platforms include DropBox, Google Drive, OneDrive, Box, etc. Well-managed online file repositories can be essential during emergencies. They can serve to:

- Facilitate file management and internal information access across the coordination team
- Share information with partners that is not appropriate for the public website (e.g. contact details)
- Maintain response documentation and facilitate handovers

When shared folders are synchronized on team members / partner computer, always keep files as small as possible to avoid overloading people's computer. Try to keep separate (view only) folders for larger reference collections, and/or publish completed documents to the website.

Another critical consideration when maintaining information repositories, particularly those with multiple contributors, is the file-naming convention (see GWC File Naming Guidance in this page). This will help you keep track of which is the latest version of the document. Using specific document categories (see GWC_Country Folder Structure Guidance) will also help someone search for specific documents / examples across the repository.

Did you know?

When requesting to OCHA an access to a WASH HR.Info website with administration rights, OCHA can create a corporate Google account for your Clusters, including 30GB google drive space for free and a generic "<country>-wash@humanitarianresponse.info" email address. The national OCHA IMO can provide support on this, or if not available write directly to help@humanitarianresponse.info.

Key external web links

https://humanitarianresponse.info

https://www.humanitarianresponse.info/en/help

http://data.unhcr.org

Other IM tools

2016 tools & examples

- Dissemination Tools.zip
- Free Online Survey Tools.xlsx
Roll out other IM tools as required

Aspects related to the effective management of information underpin multiple coordination functions, and are increasingly diverse and accessible in modern emergencies. In this section a sample of useful tools ranging from survey tools (e.g. to gather structured info from partners; etc) to business card templates are presented that can be used on an ad hoc basis:

<table>
<thead>
<tr>
<th>Meeting minutes and attendance sheet</th>
<th>See Coordination meetings section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Online Survey Tools</td>
<td>Information collection from partners for specific exercises (e.g. capacity mapping) or ad hoc requests is often best undertaken with a simple, user-friendly online survey tool. For such surveys, it is best to make them as quantitative as possible, avoiding lengthy qualitative analysis. see the Free Online Survey Tools for a list of survey tools recommended by the GWC.</td>
</tr>
<tr>
<td>Digital Team Communications</td>
<td>There is increasingly internet connectivity during disasters and there are a number of tools that are very useful to stay in contact with the Cluster coordination team or partners; such as Skype, WhatsApp, Slack, Vyber, etc. Try and keep communication to a minimum and share key information only. Skype groups around coordination and/or IM can easily be created; It is essential to set the scope and purpose of the group beforehand and in consultation with partners.</td>
</tr>
<tr>
<td>Project Management</td>
<td>The GWC Project Management Tools lists a number of software packages that can help manage the overall WASH coordination ‘project’, though those described are packages available within UNICEF as the CLA. Depending on the length and size of the response, it may be worth investing in a PM tool, however, this is a decision to be taken carefully as it can consume alot of time to maintain.</td>
</tr>
<tr>
<td>Business Cards</td>
<td>Business card templates are very useful but can be hard to source/print at the start and during emergencies. The GWC Business cards templates enable the IMO/CC to easily print out their contact details on paper and distribute at meetings without the costs involved in professional printing.</td>
</tr>
<tr>
<td>Offline Maps</td>
<td>It can be very useful to download and store high resolution maps on a phone/tablet before arriving in an emergency situation where there may be no internet connectivity. There are a number of useful apps which enable the download and storage of maps, which means there is no cost to access maps on the road. Note that a phone/tablet GPS will still work with offline maps (identifying the location on the map) making offline mapping very useful in emergency situations.</td>
</tr>
<tr>
<td>Translation Services</td>
<td>During emergencies it may be necessary to create IEC material or other publications in local languages and dialects. Translating personnel can be hired locally or via an organisation such as Translators Without Borders. Assess translation needs: is a technical translation needed or will hiring local translators fulfill the needs at the time?</td>
</tr>
</tbody>
</table>

Key external web links

Needs assessments

What is it about

One of the core functions of the coordination platform is to “inform HC/HCT’s strategic decisions”, by providing them a clear analysis and prioritization of WASH humanitarian needs. To achieve this function, the coordination platform should:

What is the objective

- Ensure the multisector humanitarian response is built on solid WASH evidences
• **Set up the WASH sector assessment and analysis strategy** in line with the intersectoral needs assessment process led by OCHA, to define the information needs, make necessary arrangements to gather required data and plan the type and level of relevant analysis

• **Develop core indicators** to harmonize the way WASH assessment data is collected and make the link with the response monitoring system

• **Implement a secondary data review (SDR)** to collate and consolidate data collected by actors such as national governments, development organizations or other clusters.

• **Coordinate or lead WASH primary data collection and analyses** to address gaps identified by the SDR through multi-sectorial or WASH-specific assessments, implemented by assessment-specialized organizations or WASH partners.

• **Contribute to the inter-sectorial needs analysis:** The WASH coordination platform, along with the other sectors, should analyze assessment data to identify and prioritize the people in need of WASH support.

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**Assessment Strategy**

- **Key guidance and tools**
  - 2018_GWC_Global_Assessment_Strategy_Template_V1.docx

- **HNO Guidance**

- **HNO template**
  - 2017_OCHA_Global_HNO_Template_InDesign_en.zip
  - 2017_OCHA_Global_HNO_Template_InDesign_fr.zip
  - 2017_OCHA_Global_HNO_Template_PDF_en.pdf
  - 2017_OCHA_Global_HNO_Template_WORD_Annotated_en.docx
  - 2017_OCHA_Global_HNO_Template_WORD_Annotated_fr.docx
  - 2017_OCHA_Global_HNO_Template_WORD_Instructions.docx

- **Field examples**
  - 2018_GWC_Bangladesh_WASH_Assessment_Activities.docx

- **Other tools**
  - 2018_ISCG_Bangladesh_Needs_Assessment_Monitoring_Framework.docx

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**Design the WASH sector needs assessment and analysis strategy**

Clusters do not evaluate humanitarian needs in silos, but through an intersectoral process led by OCHA, materialized in a **Humanitarian Needs Overview (HNO)** or **Flash Appeal** (see box on the right, and key guidance and tools section above). Setting up a needs assessment and analysis strategy for the WASH sector will help the coordination platform to make necessary arrangements to gather and analyze the data required to feed the intersectoral needs analysis process. This strategy is prepared by the coordination platform or an assessment technical working group (TWIG), and must be validated by the SAG. The steps to develop the strategy are described in the below sections. A **assessment strategy template** is provided in the Key Guidance and tools.

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**Humanitarian Needs Overview (HNO)**

The HNO is a document compiling all information related to sectorial and intersectoral needs evaluation and analysis. It is usually updated every year. In September, OCHA will request all cluster coordinators to provide consolidated sectorial data to inform the HNO, and will lead the consolidation and intersectoral analysis. In large sudden onset emergencies, the annual HNO + HRP process can be replaced by a **Flash Appeal**, which follows the same logic but drafted over a very short period (3 to 5 days), and mostly based on secondary data. A Flash Appeal contain both needs assessment and response strategy information.

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**Define your information needs**
The WASH assessment strategy should not be designed in isolation and should consider the multi-sectoral dimension of the crisis, as well as the humanitarian priorities defined by the Humanitarian Coordinator.

The WASH coordination platform should therefore meet with other priority clusters/sectors to finetune the key questions that should be addressed, including “who are the people in need of WASH assistance”; “how many they are”; “what are the priority geographical areas”; “what are the key WASH needs that should be met”; “what implementation modalities are the most relevant”; etc.

In addition, the WASH coordination platform should define:

- The geographic areas for which data is needed
- Which administrative level data is required at
- The breakdown by population groups, gender, etc.

This initial planning should cover all the different emergency phases. To make sure the strategy fits the purpose, outline the strategic decisions you want to inform as well as the key milestones and timelines of relevant HPC outcomes (Situation Analysis/Flash Appeal, HNO, etc.).

**Implement an assessment diagnosis**

Describe the assessment landscapes, i.e. who collects what data, when and how. Explain how the different assessment initiatives will contribute to meet your information needs. Outline key gaps, limitations, and challenges, and how they can be addressed. Finally, outline the assessment coordination architecture, such as fora and meetings, including relevant assessment/IM working groups, the coordination platform should attend or set up.

**Define data collection modalities and needed resources**

Define how the information gap can be filled with primary data collection, and who will do it (partners, coordination platform, specialized agencies). Estimate the resources (financial, human) that will be needed for assessment coordination, data collection and analysis. Evaluate what is currently available and explain how gaps will be addressed through fundraising, recruitment, capacity building, or contracting specialized assessment agencies, such as REACH, ACAPS, etc.

The following practical considerations should be considered:

- Most of the budget needed by the coordination platform for assessment will come from UNICEF, and need to be properly included in their proposals to donors (CERF, OFDA, etc.)
- The WASH coordination team can include an assessment specialist deployed for a short period to lead an assessment, for training or preparedness purpose;
- When no specific resource can be dedicated to assessment, data collection can be done by WASH partners through a harmonized process coordinated by the WASH coordination platform.

**Core indicators**

- **Key guidance and tools**
  - 2018_GWC_Global_WASH_indicator_&_Question_Bank_Draft_V2.1.xlsx
- **Field examples**
  - 2015_Cluster_Syria_WASH_Core_Indicators_&_Questions.docx
  - 2017_Cluster_Yemen_WASH_Core_Indicators_&_Questions.docx
  - 2017_Sector_Bangladesh_WASH_Core_Indicators_&_Questions.docx
- **Other tools**
  - 2018_GWC_Global_Developing_&_Using_Core_Indicators_Introduction.pptx

**Define and disseminate WASH Core Indicators**

WASH data collected by partners or other actors (such as other clusters, DTM, REACH, etc.) should be as harmonized as possible. To foster harmonization, the coordination platform needs to set up core indicators, i.e. a list of standard WASH indicators and questions that WASH partners and other actors will integrate into their respective data collection tools. Without core indicators, actors would collect data that cannot be compared, resulting in limited coverage, duplication of efforts and a waste of resources.

**Key features**

The purpose of the core indicators is to collect basic WASH data, covering the largest possible area, at the highest frequency and with the minimum effort. For the system to succeed and be adopted by the different organizations, the core indicators must be:

- **Few**: the list of core indicators and questions should be short and concise - preferably up to 5-7 indicators and 10-15 questions. In multi-sector data collection initiatives, there will be no space for more.
- **Flexible**: The core indicators and questions should be developed for household (HH) as well as community-level data collection, to fit both type of assessments.
- **Consensual**: The core indicators must be designed in a participatory way with WASH partners to facilitate their adoption.

**Developing core indicators**
Convene a meeting with SAG and, based on the research questions set in your strategy, develop the core indicators for household and community levels.

The GWC has supported different countries in developing their core indicators (see GWC Global WASH indicators & Question Bank in the Key guidance and tools, and some examples developed at national level from the Field example section). The table below shows an example of commonly used indicators:

<table>
<thead>
<tr>
<th>Theme</th>
<th>Indicator at HH-level</th>
<th>Proxy indicator at community-level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water</td>
<td>Proportion of households having access to an Improved Water Source</td>
<td>Proportion of communities having access to an Improved Water Source</td>
</tr>
<tr>
<td>Hygiene</td>
<td>Proportion of households having access to soap</td>
<td>Proportion of communities having access to soap</td>
</tr>
<tr>
<td>Sanitation</td>
<td>Proportion of households having access to functioning latrines</td>
<td>Proportion of communities having access to functioning latrines</td>
</tr>
</tbody>
</table>

Once the first draft of your core indicators list is finalized circulate it among the WASH partners to collect their feedback and proceed with formal approval at a coordination meeting.

Once the indicators are approved, the associated questions can be developed. Find below an example for one indicator:

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Questions at household-level</th>
<th>Proxy questions at community-level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proportion of households/communities having access to an improved water source</td>
<td>1. What is the main source of water used by your household for drinking?</td>
<td>1. What is the main source of water used by people in the community for drinking?</td>
</tr>
<tr>
<td></td>
<td>2. Aside from this main source, does your household use other sources of water for drinking?</td>
<td>2. Aside from this main source, do people in the community use other sources of water for drinking?</td>
</tr>
<tr>
<td></td>
<td>If yes, which ones?</td>
<td>If yes, which ones?</td>
</tr>
</tbody>
</table>

In the key guidance and tools section, you will find the Indicators and Questions Bank developed by the GWC that can be used as a basis to develop core indicators.

Tip: Core indicators should be harmonized with the strategic indicators included in the monitoring plan of the WASH Operational Response Plan: by doing so, it will be possible to triangulate between assessment and response monitoring data.

Mainstreaming core indicators into data collection initiatives

WASH core indicators and questions should be mainstreamed across as many data collection initiatives as possible. Based on the initial assessment diagnosis:

- Identify all data collection initiatives and contact their focal points
- Ensure they embed core WASH indicators and questions in their data collection tools
- Agree on a data sharing schedule, so that you can maintain a common dataset with all data collected by the different agencies

Secondary Data Review

- Key guidance and tools
  - 2014_ACAPS_Global_SDR_In_Sudden_Onset_Disasters.pdf
  - 2016_GWC_Global_Read_Me_First_WASH_SDR.docx
  - 2016_GWC_WASH_SDR_Templates.zip
  - 2016_UNICEF_Global_Multisector_SDR_Guidance_Note.pdf
  - 2017_GWC_Global_List_Key_WASH_Data_Sources.xlsx

- Field examples
  - SDR ToR
    - 2018_GWC_DRC_Terms_Of_Reference_SDR.docx
  - SDR Registry
    - 2016_Cluster_Mali_WASH_SDR_Registry.xlsx
    - 2016_Cluster_Swaziland_WASH_SDR_Registry.xlsx
    - 2017_Cluster_Yemen_WASH_SDR_Registry.xlsx
  - SDR Reports
Implement Secondary Data Review

National governments, UN agencies, as well as organizations specialized in assessment continuously collect large amounts of data. This data, which is not directly collected by or on behalf of the WASH coordination platform, is called secondary data.

Secondary data is often challenging to analyze because of its overwhelming amount, uneven quality and incomplete coverage. To make sense out of secondary data, a Secondary Data Review (SDR) must be implemented. An SDR is “a rigorous process of data collation, synthesis and analysis building on a desk study of all relevant data available” (ACAPS 2014).

The objectives of a SDR are two-fold. At the early stage of a sudden onset crisis, the SDR helps informing the initial response and feeding HPC outputs such as the Flash Appeal's Situational Analysis. At a later stage, the SDR helps identifying information gaps and designing primary data collection.

The SDR should be considered as a continuous and iterative process rather than a one-off activity: the initial SDR should be updated on a regular basis throughout the response to complement primary data collection and inform the Humanitarian Needs Overview.

The steps to implement a SDR are as follows:

**Collect existing secondary data**

Locate, track and compile relevant pieces of information (reports, maps, datasets, etc.) into a shared folder on a platform such as Dropbox or Google Drive. Do not restrain yourself to WASH-specific information and include any relevant data from other key sectors (nutrition, health, etc.) as defined in your assessment strategy. For a list of potential sources of information, see the GWC list of key data sources in the Key guidance and tools section.

**Create a secondary data registry**

The compilation is a continuous and often collective process: strong data management procedures need to be set up. A SDR registry is a useful tool that will help organizing the information you collate. The registry is usually an Excel database (see the 2016 GWC WASH SDR Templates in the Key guidance and tools section) where you can classify the information based on different criteria.

**Identify information gaps**

Go through the secondary data and identify information/data gaps in terms of availability, quality, representativeness, stratification, geographical coverage, etc. comparing what is available with the requirements set in the assessment strategy. This will help understanding what primary data should be collected.

**Primary Data collection**

**Key guidance and tools**

- 2012_IASC_Operational_Guidance_Coordinated_Assessments.pdf
- 2015_GCP_Integrating_Child_Protection_into_MSNA.docx
- 2015_IASC_Multi-Sector_Initial_Rapid_Assessment_Guidance.pdf

**Field examples**

- 2017_ISWG_Jordan_Coordinated_Assessments_SOPs.pdf
- 2015 DRC RRM Booklet.pdf

**Other tools**

**Coordinate or lead emergency WASH primary data collection**

After the Secondary Data Review, it may be necessary for the WASH coordination platform and its partners to collect additional data to fill information gaps. This process is called primary data collection. Depending on the modalities agreed with the partners in the assessment strategy, several options are available to the coordination platform. These options usually complement each other, and can be used separately or simultaneously, depending on the emergency phase.
Contribute to multi-sector needs assessments (MSNAs) initiatives

MSNAs are assessment initiatives and mechanisms covering several sectors. They are usually led by the Inter Cluster Coordination Group (ICCG) or OCHA and supported by agencies specialized in assessments (such as REACH, DTM, etc.). Their methodology, tools and timelines are defined in consultations with the different coordination platforms through an Assessment or IM technical working group. They include:

- Large-scale one-off multi-sectorial assessments, usually in support of the Humanitarian Needs Overview or Flash Appeal. One example is the Multi-sector Initial Rapid Assessment (MIRA). MIRA is a joint needs assessment tool designed by the IASC that can be used in sudden onset emergencies, including Level 3 Emergency Responses. See the MIRA guidance in the Key guidance and tools
- Regional or national level rapid assessment systems, such as Rapid Response Mechanisms (see the 2015 DRC RRM Booklet.pdf in Field examples)
- Regular multisector needs monitoring systems (see the Displacement Tracking Matrix in Useful weblinks below)

The WASH coordination platform should actively engage with all MSNA mechanisms/initiatives to make sure that data collected meets the WASH coordination platform’s information needs (for instance by ensuring the inclusion of the WASH Core indicators), and use the data collected to feed the WASH sector needs analysis.

Coordinate or lead WASH-specific assessments

Given the limited space for WASH indicators in MSNAs, the coordination platform may want to complement them with WASH-specific assessments. This is necessary when a more elaborated understanding of needs and vulnerabilities is required to inform WASH strategic planning.

WASH-specific assessments are often carried out in partnership with multiple WASH agencies, and coordinated by the WASH coordination platform, ideally through an assessment TWiG.

Depending on the context and resources, WASH-specific assessments can be joint or harmonized:

- **In joint assessments**, the same methodology and tools are used, and data collection, processing, and analysis form one single process among the agencies involved. The WASH coordination platform often leads the entire process, from initial design to final analysis. Considering the large amount of resources required, coordination platforms can request external support from specialized agencies, such as REACH, with whom the Global WASH Cluster has a long-lasting partnership.
- **In harmonized assessment**, data collection and analysis are undertaken separately. But data is sufficiently comparable to be compiled into a single database, and to serve as the subject of a shared analysis. To set up harmonized assessment protocol, the coordination platform should ensure that:
  - WASH core indicators are integrated in partners’ assessment questionnaires
  - Partners’ assessments cover the priority geographic areas and population groups defined in the assessment strategy
  - Partners use common operational datasets (COD) such as OCHA’s administrative boundaries and population figures
  - When possible partners’ assessments must be synchronized in time (example: after the rainy season)

Whatever the option chosen, the WASH coordination team needs to have solid skills and experience in the implementation of WASH assessment.

Key external web links

- An Introduction to Coordinated Needs Assessments (ACAPS). Excellent e-learning resource to quickly pick up the basics of coordination in assessments.
- The Displacement Tracking Matrix (DTM)

WASH assessment implementation

1. Set the objective and scope
   - Key guidance & tools
     - 2016_REACH_Global_Assessment_Workplan_Template.xlsx
     - 2018_REACH_Global_Data_Analysis_Plan_Template.xlsx
     - 2018_REACH_Global_TOR_Templates_&_Guidance.docx
   - Field examples
     - 2017_REACH_Syria_TOR_HH_Simple_Random_Sampling.docx
     - 2018_REACH_Niger_TOR_HH_Simple_Random_Sampling.pdf
     - 2018_REACH_Yemen_TOR_HH_Simple_Random_Sampling.pdf
     - 2018_REACH_Afghanistan_TOR_KI_Purposive_Sampling.pdf
2. Develop Indicators & Questionnaires
   - Key guidance & tools
     - 2006_EHP_Global_WASH_Indicators_Questions.pdf
     - 2008_JMP_Global_Core_Questions_HH_Surveys.pdf
     - 2016_ACAPS_Global_Questionnaire_Design_Guidance_Full_Note.pdf
     - 2017_MICS_Global_HH_Questionnaire_WASH_Only.docx
     - 2017_UNHCR_Global_WASH_Core_KAP_Questionnaire.xlsx
     - 2018_GWC_Global_WASH_Question_Bank_Draft_V3.xlsx
     - 2018_DTM_Global_WASH_Questionnaire_V2.docx
   - Field examples
     - 2017_REACH_Niger_WASH_HH_Questionnaire.xlsx
     - 2017_REACH_Yemen_WASH_HH_Questionnaire.xls
     - 2018_REACH_Bangladesh_WASH_HH_Questionnaire.xlsx
     - 2018_REACH_DRC_WASH_Shelter_KI_Questionnaire.docx

3. Design the Methodology
   - Non-Probability Sampling
     - 2011_ACAPS_Global_Social_Media_Monitoring.pdf
     - 2011_ACAPS_Global_KI_and_DO_Techniques.PDF
     - 2011_ACAPS_Global_Purposive_Sampling.pdf
     - 2013_ACAPS_Global_Severity_Priority_in_HH.RNA.PDF
     - 2016_REACH_Global_Key_Informants_Database_Template.xlsx
     - 2017_REACH_Global_Hard-to-Reach_Intro.pptx
   - Probability Sampling
     - 2012_SMART_Global_Sampling.pdf
     - 2017_MICS_Global_Random_HH_Selection_Template.xlsx
     - 2017_MICS_Global_Sample_Calculation_Template.xlsx
     - 2017_UNHCR_Global_WASH_HH_RNA_Methodology.pdf
   - Reference Materials
     - 2006_DESA_Global_HH_Sample_Surveys_in_Developing_Countries.pdf
     - 2010_UNICEF_Global_Sampling_in_Emergencies.pdf

4. Follow up on Data Collection
   - Data cleaning
     - 2017_REACH_Global_Cleaning_Log_Template.xlsx
   - Data management
     - 2013_ACAPS_Global_Data_Preparation.pdf
     - 2013_ACAPS_Global_Data_Preparation.xlsx
     - 2013_ACAPS_Global_Dataset_Design.pdf
     - 2013_ACAPS_Global_Dataset_Design.xlsx
     - 2017_REACH_Global_Data_Collection_Tracking_Template.xlsx
     - 2017_REACH_Global_Data_Management_Plan_Template.docx
   - Mapping coverage
     - 2017_REACH_Syria_Coverage_Mapping.xlsx
     - 2017_REACH_Syria_Coverage_Mapping_Methodology.pdf
5. Analyze the Data

2013_ACAPS_Global_Analytical_Thinking_and_Needs_Assessment.pdf
2013_ACAPS_Global_Technical_Brief_on_Logical_Reasoning.pdf
2017_REACH_Global_Data_Analysis_Framework_Template.xlsx
2013_ACAPS_Global_Analysing_Datasets.pdf

6. Share Information

Key guidance & tools
2015_GWC_Global_Report_Drafting_Guideline.docx
2017_Adobe_Global_Getting_Started_with_InDesign.pdf
2018_GWC_Global_Report_Template.docx

Field examples
2017_NER_WASH_HH_Assessment_Report.pdf
2017_NGA_WASH_HH_Assessment_Report.pdf
2018_BGD_WASH_HH_Assessment_Report.pdf
2018_NER_WASHProtection_HH_Assessment_Report.pdf
2018_REACH_BGD_Infrastructure_InDesign_Factsheet.indd
2018_REACH_BGD_WASH_HH_Baseline_InDesign_Factsheet.indd
2017_REACH_NGA_HH_Assessment_Factsheets.indd

7. Thematic and Cross Cutting

Cash & Market

Market monitoring
2018_REACH_Libya_Market_Indicators.xlsx
2018_REACH_Libya_Market_Kobo.xlsx
2018_REACH_Libya_Market_Monitoring_TOR.DOCX
2018_REACH_Libya_Market_Factsheets.pdf

Water price monitoring
2016_REACH_SOM_Water_Price_Factsheet.pdf
2017_REACH_SOM_Water_Price_Factsheet.pdf
2017_REACH_SOM_Water_Price_Report.docx
2017_REACH_SOM_Water_Price_Tool.xls
2017_REACH_SOM_Water_Price_TOR.docx

Cholera & AWD
2017_AWD_Rapid_HH_Assessment_Tool.xlsx
2017_UNICEF_Global_Cholera_Rapid_Assessment_Tool.docx
LEAD THE IMPLEMENTATION OF SPECIFIC WASH ASSESSMENTS OR TRAIN PARTNERS TO DO IT

The coordination platform is sometimes responsible to lead WASH assessments and is frequently in charge of delivering training for partners on assessment methodologies. WASH coordination platform staff must be competent to carry out WASH assessments, from design and data collection, to analysis and reporting.

A WASH assessment cycle typically involves the following steps:

Set the objectives and scope

Define in a TOR (see Assessment TOR template in the Key Guidance and Tools section) including the research questions, the geographical areas and population groups to be covered. Detail your information needs, focusing generally on the needs and vulnerabilities of affected people, but also on aspects related to access, operational feasibility and response modalities, etc. Set the timeframe of the assessment and the information products that will be produced.

Develop indicators and questions
Develop a list of indicators that will allow you to meet the information needs identified in the previous steps. In any case, remember to include the WASH core indicators. The GWC has developed an indicator and question bank that you can use to develop your own list.

For each indicator, explain how it will be aggregated/disaggregated, and what type of analysis you want to run. This process is usually done by building a matrix called Analysis plan. This matrix will help making sure that all data required for the analysis are collected, that no time is wasted in collecting unnecessary data, and will guide the analysis process. See analysis plan template in Key Guidance and Tools section.

Once you have set the indicators, formulate the questions that will be asked to the respondents to gather the data. Remember that questions should be as brief as possible, simple-worded, and not leading towards pre-defined answers. Again, you can use the GWC indicator and question bank to develop relevant questions.

Data is more and more collected through mobile data collection systems, such as Kobo and ODK: this allows easier data management. In the Follow up on data collection / Mobile data collection folder on top of the page, you will find guidance on how to set up and use mobile data collection systems.

Design the methodology

To design the methodology, consideration should be given to both the objectives of the assessment, and constraints such as time, resources, access, etc.

The main dimensions that need to be addressed are:

- **Unit of measurement**, which is the level the data is collected at (e.g. individual, household, institution/infrastructure, community, area). This will have an influence on the type of data collected: the higher the level, the less reliable is the answer of the interviewee.
- **Data-collection methods** (e.g. direct observation, key informant interviews, focus group discussions, community discussions, key-informant interviews, household interviews, etc.): in the Design the methodology folder above can be found a table detailing pros and cons of the different data collection methods.
- **Sampling methods**, or in other words the criteria you will use to select the respondents. There are two main types of sampling: probability sampling – in which respondents are selected randomly and every person in the sampling frame has the same chance of being selected, and non-probability sampling – in which respondents are not selected randomly. Probability samplings are much more resource-intensive but can generate statistically significant findings, while non-probability samplings are often lighter in terms of resources but generate findings that are indicative only. For this reason, there is always a tradeoff between representativeness of findings and cost/time constraints.

Follow up data collection

Ensuring close follow up during the collection phase will improve the quality and timeliness of data. It is key that progress and challenges of data collection is regularly monitored. To achieve this, a matrix can be set up to track the number of forms that have been submitted, the areas that have been completed and the issues hampering progress. You need to check and clean data as soon as they come through to spot inconsistencies and follow up with the enumerators.

In the Follow up on data collection folder above you will find templates of tracking matrices and data cleaning tools.

Analyze the data

Once data has been collected, analysis can start. This process should be guided by the analysis plan, as the indicators chosen must help answering the research questions of the assessment.

Analysis should aim not only at describing the situation (for instance, where and who lacks safe water), but also at explaining the causes (for instance, lack of improved water points), interpreting the effects (for instance, linking presence of AWD with lack of safe water) and anticipating possible evolutions (for instance, the potential increase of child mortality rate in certain areas). Another key aspect is the implementation of cross-sectorial analysis based of WASH data or data from other relevant sectors, such as nutrition, health, education, etc.

In the Analyze the data folder above can be find documents that describe possible approaches towards these different levels of analysis.

Share information

Findings should be disseminated in a timely and effective way. Different types of information products can be considered, including factsheets, maps, web-platforms, reports, etc. depending on the audience and the resources available. In the Share information folder can be found templates as well as example of information products from past assessments.

Information products should be shared both with the primary audience through the coordination platforms channels (coordination meetings, MailChimp, SendinBlue, social media, etc.), and the broader humanitarian community, thought platforms such as HumanitarianResponse.info, ReliefWeb (see key external weblinks at the bottom of this page), etc. It is important to share the anonymized, cleaned dataset on the Humanitarian Data Exchange (HDX, see key external weblinks) – the main humanitarian online data sharing platform, so that other people can have access to data and run their own analysis.

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**Key external web links**

- HumanitarianResponse.info,
- ReliefWeb
- Humanitarian Data Exchange (HDX)
Needs analysis

Key guidance and tools

- 2016_OCHA_Global_Joint_Inter_Sectorial_Analysis_Guidance.docx

Field examples

Other tools

Contribute to the inter-sectorial needs analysis

Once relevant data has been compiled, the WASH coordination platform, along with the other sectors, should analyze data to inform the inter-sectorial needs analysis led by OCHA. In large sudden onset crises, this process is called Situation Analysis, which is part of a Flash Appeal. In protracted or slow onset crises, a Humanitarian Needs Overview (HNO) is developed (see assessment strategy chapter for more detail about these two documents). In both cases the objective remains the same: to obtain a comprehensive understanding of the humanitarian situation, by analyzing the crisis drivers, underlying factors, geographic scope and demographic scale.

The main outputs of this analysis are sectorial and intersectoral People in Need (PIN) figures and Needs severity mapping.

People in Need (PIN)

Key guidance and tools

Field examples

- 2017 Nigeria
  - 2017_NGA_Cluster_WASH_PIN_SEV_Methodology.pdf

- 2017 Syria
  - 2018_Syria_HNO_GWC_Webinar_PIN_SEV_Table.xlsx
  - 2018_Syria_HNO_GWC_Webinar_Presentation.mp4
  - 2018_Syria_HNO_GWC_Webinar_Presentation.pptx
  - 2018_Syria_HNO_GWC_Webinar_Severity_Index.xlsx

- 2017 Yemen
  - 2017_Yemen_HNO_Pin and Severity.xlsx
  - 2017_Yemen_Severity_Scale_Thresholds.docx
  - 2018_Yemen_HNO_GWC_Webinar.mp4
  - 2018_Yemen_HNO_GWC_Webinar.pptx
  - WASH_severity_scale_rev_Data scales only_2018_v4.docx

Other tools

ESTIMATE WASH PEOPLE IN NEED (PIN) FIGURES

Not all people affected by the crisis are in need for assistance. The part of the affected population in need for WASH support is called WASH People in Need (PIN). Refer to the “Humanitarian Profile Support Guidance” in key tools and guideline for more details on the difference between affected population, PIN and target.

Once the inter-sectorial analysis has defined the drivers, scope and scale of the crisis, the WASH coordination platform analyzes relevant data to estimate the PIN number.

There are no exact methodology for PIN calculation, but the two below approaches can be advised, depending on the country:

1) In data-rich countries (generally with household-level data with broad coverage)
• Identify key indicators (up to five/six, including WASH, Nutrition, Health and other relevant indicators).
• Identify thresholds for moderate PIN and acute PIN (for example less than 15 l/p/d = PIN; less than 10 l/p/d = acute PIN).
• Calculate PIN based on proportion of households that are above the agreed threshold(s) in a given area.

2) In data-poor countries (no household-level data with broad coverage)

• Identify key indicators (up to five/six, including WASH, Nutrition, Health and other relevant indicators).
• Build a severity scale for each indicator.
• Calculate average severity for a given area.
• Apply arbitrary percentages for each severity scale (for example, provinces rating 1 or 2 = no PIN; provinces rating 3, PIN = 15% of the total population; provinces rating 4, PIN = 25% of total population, etc.).

In some case it can be also relevant to consider for WASH PIN calculation only the people in need of key sectors for a specific emergency (for instance Food Security in case of drought, Health in case of outbreak). In that case, use these key sector's PIN figures as starting point, and identify which of these people are also in need of WASH interventions.

see the Field examples folder for some examples of PIN calculation at country level

Regardless of the methodology used to calculate the PIN, coordination platform should ensure a transparent process and document it, so it can be later explained and replicated.

Needs severity mapping

Key guidance and tools

• 2015 OCHA Humanitarian Needs Comparison Tool presentation.pdf
• 2016 GWC 1000Minds Prioritisation Tool.zip
• 2016_GWC_Global_WASH_Severity_Scale.xlsx

Field examples

2017 Nigeria

• 2017_NGA_Cluster_WASH_PIN_SEV_Methodology.pdf

2017 Syria

• 2018_Syria_HNO_GWC_Webinar_PIN_SEV_Table.xlsx
• 2018_Syria_HNO_GWC_Webinar_Presentation.mp4
• 2018_Syria_HNO_GWC_Webinar_Presentation.pptx
• 2018_Syria_HNO_GWC_Webinar_Severity_Index.xlsx

2017 Yemen

• 2017_Yemen_HNO_Pin and Severity.xlsx
• 2017_Yemen_Severity_Scale_Thresholds.docx
• 2018_Yemen_HNO_GWC_Webinar.mp4
• 2018_Yemen_HNO_GWC_Webinar.pptx
• WASH_severity scale_rev_Data scales only_2018_v4.docx

Other tools

• 2015_OCHA_Global_HNO_Companion_Tool_Charts.xlsx
• 2015_OCHA_Global_HNO_Companion_Tool_Map.xlsm
• 2015 OCHA Humanitarian Needs Comparison Tool box.zip

PRIORITY WASH NEEDS THROUGH A WASH SEVERITY MAPPING

When facing a disaster, people have different severity of needs. Some communities and/or population groups are more affected than others, some are more resilient than others. Humanitarian response cannot reach all people in need of assistance; areas with the most severe needs should be identified and prioritized. This process is called needs severity mapping. Coordination platforms first undertake sectoral severity mapping, later consolidated by OCHA at the intersectoral level. There is no standard methodology to prioritize sectorial needs; two common approaches are however presented below:

• Use a severity scale based on several WASH indicators (ex: access to improve water sources) and non-WASH indicators (ex. prevalence of malnutrition, etc.). Create a composite index and rank each administrative level from 1 to 5 (or 7), from “No problem” to “Catastrophic problem”. Indicators can be weighted, if some are considered more important than others, depending on the context.
• Classify administrative level from the lowest to highest WASH PIN number, or by the percentage of PIN as compared to the whole population. Identify thresholds and rank each administrative level from 1 to 5 (or 7), from “No problem” to “Catastrophic problem” based on PIN figures, or the percentage of PIN as compared to the whole population.

When there is a large geographical area to be mapped with many administrative levels, it quickly becomes impossible to cross several indicators with a qualitative approach. In this case, analytical tools to integrate multiple indicators must be used. Two examples are presented below:

• INFORM software (http://www.inform-index.org/About-us)
• 1000Minds software: a simple and transparent method to identify vulnerable populations. Without the need to shape available data to fit pre-defined weights, the software undertakes a multi-criteria analysis on the data that is available at the time of the emergency. 1000minds software has been identified as a valuable tool to identify vulnerable populations in an easy, flexible and transparent way. In
Strategic planning

What is it about?

Once the needs assessment phase is completed, all necessary data should have been collected and analysed to inform strategic planning allowing the Humanitarian Response Plan (HRP) process to start. The HRP has become the main tool for intersectoral strategic planning in protracted, slow-onset or stabilized emergency setting. It is a one-month duration OCHA-driven process done with the support of each sector, usually occurring once a year. Part of the HRP process, the development of the WASH Operational Response Plan is an essential function of the WASH coordination platform, requiring joint efforts from Information Management Officer, WASH Cluster coordinator and WASH partners.

In large sudden onset emergencies, the annual HNO + HRP documents can be replaced by a Flash Appeal, which follows the same logic but drafted over a very short period (3 to 5 days), and mostly based on secondary data. A Flash Appeal contain both needs assessment and response strategy information.

What are the objectives?

- Focus response's activities and resources
- Ensure that organizations are working toward the same goals and using the same modalities
- Provide guidance to WASH sector partners on operational and technical aspects of the response;

At least, you should do...

- GWC Minimum Requirements
  - A WASH response plan has been jointly agreed addressing priority needs identified during data review. As a minimum the response plan will include:
    - priorities (targeted population, geographic areas, activities);
    - key strategic indicators; and
    - funding requirements.
  - WASH standards and guidelines for humanitarian response have been developed and agreed by partners and are based on national standards where applicable (or global otherwise) with consideration made for the local context
  - WASH cluster/sector has conducted a training or workshop on AAP within the past year or AAP is a standing agenda item during coordination meetings.
  - WASH cluster/sector specific policy or guidance for the minimum level and means of communication with affected communities.

Click to get the complete list of GWC Minimum Requirements

Navigate in the sub-pages:

The WASH Operational Response Plan provides partners with a general framework to design and cost their projects. Its objective is inter-sectoral planning, and it contains only a summary of the WASH strategy and implementation guidance. More details about the WASH response implementation modalities must be agreed by SAG and gathered in a document called the WASH Strategic Operational Framework (SOF).

Beyond strategic planning and HRP/SOF development, the WASH cluster / sector is committed to deliver services to the beneficiaries with the highest possible quality. The WASH cluster partners must set up the response’s Quality Assurance System, agreeing on quality targets for both response inputs and outputs, monitoring modalities and collective ways of addressing quality issues.

HRP and SOF contains targets against which WASH response can be monitored. Once strategy has been defined, the WASH coordination platform elaborates the WASH response’s Monitoring plan, which contains the indicators that will be used to monitor the response, the monitoring modalities and the data analysis plan.

WASH Operational Response Plan

Key guidance and tools
Contribute to the Humanitarian Response Plan by developing the WASH Operational Response Plan

The Humanitarian Response Plan (HRP) is the main inter-sector tool for response planning. It includes a summary of the humanitarian situation, the humanitarian country strategy and the Response Operational Plans of each cluster. It also contains the overall response budget, and is used as a funds appeal document.

The HRP process is driven by OCHA, with contributions from each cluster coordinators. In protracted emergencies, it is usually done on a yearly basis, in October, after the Humanitarian Needs Overview (HNO). HRP are sometimes updated 6 months after their publication, with the release of a revised HRP. In sudden onset emergencies, HRP can be replaced or complemented by a Flash Appeal, following a specific emergency scale-up activation timeline.

WASH coordination platforms must participate in the HRP process by working with WASH partners and other clusters to develop or update the WASH Operational Response Plan. The following sub-pages provides information on how to develop each WASH Operational Response Plan's elements:

Summary steps from needs assessment to strategic planning
**WASH strategic objectives**

- Key guidance and tools

**Field examples**

- 2015_examples_of_hrp_strategic_objectives_and_indicators_en_1.pdf

**Other tools**

**DEFINE WASH RESPONSE STRATEGIC OBJECTIVES AND PRIORITY ACTIVITIES**

**Define WASH response strategic objectives**

Definition of WASH strategic objectives should be done collaboratively with the Strategic Advisory Group (SAG). Definition of these objectives should be aligned with Country Strategic Objectives, and other clusters prioritized by the Humanitarian Coordinator (refer to list of Humanitarian Key Issues in the Humanitarian Response Plan).

**Define WASH response activities and modalities**

The WASH coordination platform must elaborate the response's technical strategy, defining which activities should be done to answer to the assessed needs in a relevant way. This is a largely qualitative process, that should be done during a meeting with the SAG, based on the
partners’ expertise of the and the lesson-learned from former emergency responses.

The HRP objective is inter-sectoral planning, so it cannot contain too many details on each sector. More details about the WASH response modalities can be included in the Strategic Operational Framework.

### Key web links

#### Humanitarian caseload

- **Key guidance and tools**
  - 2013 OCHA Establishing Humanitarian Caseloads.pdf
  - 2014 GWC Caseload Briefing Sheet.pdf
  - 2016 IASC Humanitarian Profile Guidance.pdf
  - 2018 UNICEF_Caseload Calculation.docx

- **Field examples**
  - 2016 OTP Exemple cluster caseload calculation.xlsx

- **Other tools**

### ESTIMATE THE WASH SECTOR HUMANITARIAN CASELOAD

The cluster caseload represents the total number of people targeted by all partners of a cluster for the planned response. It should not be confused with the **Population in Need (PIN)**, or the population **reached** or **covered**:

- **WASH People in Need** is the total number of people in need for WASH assistance during a humanitarian crisis. They usually cannot be all reached, because of lack of capacity, funding or access issues.
- A more realistic target is therefore defined for the response, called **caseload**, or **population targeted**
- People reached by one or more activities are called the **population reached**, even if these activities are not done using agreed standards, and do not produce the expected change.
- When people are reached by activities done according to agreed standards and leading to the expected change for the beneficiaries, they can be considered as “covered”
There is no consolidated cross-sector method to calculate a cluster caseload. OCHA often provides harmonized methodology at country level. The following approach can nevertheless be adapted and contextualized:

**Rationale:** The WASH humanitarian caseload is the part of WASH People in Need (PIN) that will be targeted considering operational constraints. Main constraints are access to target area (road access, security) and operational, technical and financial capacities of partners. If capacity was maximal and access not an issue, the whole population in need could be targeted, and the caseload would be the PIN. But as there are always constraints, the PIN must be reduced accordingly to obtain the **minimal caseload**, that can later be increased through advocacy. Use the following steps (refer to the diagram above):

- Use the WASH PIN numbers for each region as a starting point.
- Gather information on access and WASH sector capacity
- Based on the access and the capacity level, as well as the lesson learned from past emergencies, estimate how many people can be reached by WASH partners in each region: this is your **minimal caseload**.
- Consider the gaps between the PIN and the minimal caseload in each region.
- Define priority regions where advocacy for improvement of access and capacity will be focused
- Estimate how the minimal caseload can be increased in priority region through advocacy: this new figure is your **final caseload**

Even if this figure seem unrealistic at first, an important gap between people in need and the people targeted by the response is morally not acceptable as per cluster principles, and the issue must be communicated to the wider audience in advocacy messages.

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**CONTRIBUTE TO THE HUMANITARIAN RESPONSE PRIORITIZATION**

**Prioritize WASH response (activities / geographical location / groups)**

Once the caseload is defined, the WASH coordination platform works on the response prioritization. A first prioritization exercise was done previously during the HNO process (severities mapping), but it was based on needs, and did not consider parameters such as access to beneficiaries or capacity of actors. Funds will not be allocated immediately, and beneficiaries cannot be all reached at the same time. A prioritization is therefore necessary, to define:

- **Priority zones** on which efforts of the partners and funding should be focused, based on life saving criteria. For instance, IDP camps at risk of cholera outbreak could be prioritized over other IDP camps.
- **Priority population group**. In the same way, decision can be taken to prioritize a specific group, because they present a specific vulnerability (ex: IDP, versus host population) or suffer from discrimination. This process should be taken carefully, as it could be considered as not being impartial.
- **Priority activities**. For instance, water trucking is often considered as a priority activity over hand dug well rehabilitation.

This prioritization is sometimes presented in the HRP as a funding prioritization matrix. In the same way as for the needs prioritization, when there are too many zones or parameters to be considered, analytical methods and tools such as INFORM or 1000Minds can be used.

**Participate in inter-sector response prioritization**

Once WASH prioritization has been done, it needs to be compared to other clusters priorities to define the inter-sector response prioritization. This process led by OCHA and will require participation from all clusters coordinators.
WASH response costing

Key guidance and tools

- 2014 IASC SummaryActivityBasedCostingStudy&Recommendations.pdf
- 2014 Note To HCs_HCTs_ActivityBasedCostingReview.docx
- 2014 IASC Activity-Based Costing Review.pdf
- 2015 OCHA Online Project System OPS.zip
- 2018 Cluster Costing Guidance.docx

Field examples

- 2012 Jordan WC Strategy activity costing.xls

Other tools

- 2017 IASC Improving Costing of HRPs.docx

ESTIMATE THE OVERALL WASH RESPONSE FUNDING REQUIREMENTS

The HRP is also a funds raising appeal document, where funding requirements of each cluster are presented separately and consolidated to form the total funding requirement for the response. Each sector coordinator is responsible to estimate the budget needed to implement the sectorial strategy for the coming year/phase. This is a complicated task as many parameters must be considered, and many variables are still unknown during planning phase (material cost, logistic cost...), which can change the overall budget. Nevertheless, response costing must be done quickly enough for funding to be allocated without delay. Even when costs are roughly estimated, it is important to be transparent and be able to explain how it was calculated. Cluster response budgets also represent targets against which funding allocation level will be regularly measured. Such monitoring of the funding status is used to advocate for further efforts in resource mobilization throughout the response.

Response costing method

As shown in the diagram above, there are two ways for WASH Cluster coordinators to estimate WASH response budget:

1- **Indirect costing**: In protracted emergencies (usually around September), partners are requested to upload a summary of their planned projects for the next year on the OPS website. Cluster coordinators can be asked to pre-validate projects on OPS to make sure they meet minimum criteria. Operational Response Plan’s costs can be calculated by adding up requested budgets from all approved partner’s planned proposals. The positives and negatives aspects of this method include:

- **Pros**: quick, participatory; field oriented; partners can in theory factor in their capacity
- **Cons**: can be very inaccurate because:
  - Partners have tendency to overestimate their funding requirements, and not factor in difficult access, or their capacity gap
  - Difficult to estimate geographic/program overlapping. Partners will not do it between themselves, as they are in competition for funding
  - Subjective, based on partner’s estimation

2- **Direct costing**: The WASH Cluster coordinator use caseload figures, priority activities and unit costs to estimate total response budget themselves. Activities/beneficiaries’ unit costs can be estimated directly, or taken from partners’ former projects’ final report (final reports’ budget are preferred to proposal’s budget, as costs are more accurate).

- **Pros**: apparent accuracy; Can provide further guidance to partners’ proposal evaluation in terms of unit cost; Help to evaluate future projects’ cost. Based on population figures/caseload, so access and capacity already factored in.
**Cons:** time consuming for cluster coordinators; based on population figures that are sometimes inaccurate, not participatory; unit costs are usually only approximate, and vary from one place to another.

**Note on Direct Costing**
- Caseload figure must be broken down per activity, as not all people will be reached by all the activities.
- Activities must be broken down per geographical location, as needs are not the same by location.
- Unit costs must be broken down per geographical location (for instance, prices can vary greatly based on access).
- If done precisely, direct costing can be a tedious task, so depending on time available, rough estimations can be used, as long as they are well explained.
- Direct estimation can be especially interesting in case of small geographical scale emergency (localized refugee/IDP camps...).
- It can be interesting to use both direct and indirect methods, and compare one with the other to find the right balance. In that way, cluster coordinator do not rely 100% on partners' estimation, and have a way to compare them with her/his own calculation.

**WASH SOF**

**Key guidance and tools**
- 2009 WC Bangladesh Developing WASH SOF.doc
- 2009 WASH SOF outline.doc

**Field examples**

**SOF examples English**
- 2013 WC Philippine Haiyan SOF complete.pdf
- 2013 WC Philippines Pablo SOF Standards.pdf
- 2013 WC Philippines Pablo SOF.pdf
- 2017 WC Bangladesh SOF monitoring framework.docx
- 2018 WC Bangladesh Cox WASH Cluster strategy.docx
- 2018 WC Myanmar SOF.zip
- 2008 WC Bangladesh SOF.doc
- 2010 WC Haiti SOF PDF.pdf
- 2010 WC Haiti SOF word.docx
- 2011 WC Somalia SOF.pdf
- 2012 WC Somalia SOF.pdf

**SOF exemples Francais**
- 2009 WC DRC WASH HAP.doc
- 2012 WC Mali COS.docx
- 2012 WC Mali COS.pdf
- 2012 WC Niger COS.pdf
- 2017 CAR SOF.zip

**Other tools**

**Coordinate the development of the WASH Cluster Strategic Operational Framework**

The WASH Strategic Operational Framework (SOF) is a compilation of WASH response strategy and implementation modalities. It is a document specific to the WASH sector, and not a formal OCHA requirement. It complements the WASH Operational Response Plan from the current HRP, by providing details on how the WASH response should be implemented and monitored. Chapters of the SOF should be prepared by the WASH Sector Coordinator, in close collaboration with the SAG to ensure process is transparent and final document well accepted by the partners. In a cluster context, it is advised to seek the endorsement of the SOF by the government, which would increase chances that SOF recommendations are followed by partners and facilitate smooth transition process from cluster to sector. There is no timeline associated to the elaboration of the SOF:

- In a cluster activated context, its elaboration should start as soon as a cluster is activated, but its chapters should be completed progressively based on context and priorities. It should be aligned with relevant national guidelines and standards.
- In a non-cluster activated country, the SOF should be composed by all existing national guidelines, policies and strategies related to the Humanitarian WASH coordination and response.
The elements of the SOF and its relationship with the HRP are detailed in the below diagram:

The various chapters of a standard SOF are described in the subsection of this chapter:

**Standards & guidance**

- **Key guidance and tools**
  - [2018 Sphere_Handbook_EN.pdf](http://example.com)
- **Field examples**
  - [2017 CAR stratégies EHA en situation d'urgence.rar](http://example.com)

**AGREE ON WASH RESPONSE TECHNICAL STANDARDS**

Many standards have been developed to ensure a minimum quality of the emergency WASH response. The ones commonly used are SPHERE standards, but similar ones were developed by UNHCR for refugee context. WHO have WASH specific standards, especially regarding drinking water quality or WASH in Healthcare setting. Some aid organizations also have their own set of standards, similar or complementing the ones from SPHERE, that they might prefer to use. Finally, most countries where emergencies occur have their own set of standards: although they are sometimes not complete enough or not adapted to emergency contexts, they are in theory the ones that partners should follow in priority.

WASH Coordination platform must reach an agreement with partners on which standards should be followed depending on the context and the emergency phase.

**AGREE ON WASH TECHNICAL GUIDANCE AND KEY ACTIONS**

Even if strategic objectives have been agreed for the response, partners may have different ways to reach the same goal. From the point of view...
of beneficiaries or local government, this lack of coherence between actors can bring confusion, delay response or decrease its impact. For instance, a lack of agreement between partners on content of hygiene kit, or volunteers’ incentive can have very negative effects on local communities. Agreement on methodologies used by partners is thus necessary, which should be achieved by the coordination platform. This work is better done in preparedness phase, and is complementary to to the choice of technical standards.

Quality targets & modalities

AGREE WITH PARTNERS ON RESPONSE QUALITY TARGETS AND MONITORING MODALITIES

There is a common agreement among partners that the response should be implemented with the highest quality possible. There is however no consensus on what exactly quality means in the field, and who is really accountable for quality issues. For many contextual reasons (lack of competent staff, security and access issues, lack of materials locally available etc) it can be challenging for aid organizations to reach high quality standards. It is therefore important for the WASH sector to agree on clear achievable quality targets to be respected by all partners in a specific context or phase, thus making quality monitoring and progress measurement possible.

Set up and prioritize quality targets

Each element of the GWC quality assurance system includes itself many components (Do no harm to market, gender, cost efficiency, quality of latrine etc...). In order to apply and monitor response quality, clear targets must be set up for each of these components. It may be challenging to tackle all component and reach all targets at the same time. WASH coordination platform must encourage partners (through the SAG or a specific TWiG) to identify on which quality aspect the response should focus on, and progressively include the others.

Agree with partners on quality monitoring modalities for the response

Quality monitoring mechanism and frequency should be decided by the SAG. They are context specific. Several possibilities exist: Government-led formal monitoring and evaluation exercise; set-up of a specific Technical Working Group with a specific mandate; peer-to-peer exercises carried out among partners; humanitarian action review organized by the Cluster Lead Agency; external monitoring by 3rd party etc. Any mechanism is suitable as long as it has been agreed by the partners and endorsed by the SAG. It is crucial that the quality monitoring remains a field-based exercise. Regular visits and group discussion with beneficiaries must be organized to monitor the adherence of partners’ programmes to the agreed standards. Partners remain the main actors who can influence program quality, and must be in the front line of quality monitoring using their own internal quality monitoring mechanism (field visits, internal M&E system, feedback and complaints mechanism etc.).

Guide partners to mainstream quality in their response

The WASH coordination platform can implement several activities to guide partners to mainstream quality in the response:

- Develop Strategic Operational Framework (SOF) including a quality assurance framework chapter;
- Set up and dissemination of technical standards
- Fostering the establishment of feedback and complaints mechanism by partners

When relevant, a specific Technical Working Group on quality can be set up

Follow up the implementation of agreed quality monitoring modalities

WASH coordination platform ensures quality assurance system is rolled out as planned, and proposes corrective actions agreed with all partners. Depending on the modalities agreed with partners, this follow-up could consist for instance in making sure each partner has taken steps to use a Feedback and Complaints Mechanism in their program, or that an organization specialized in monitoring implements regular partners program evaluation visits. Any system dysfunction should be discussed with relevant entity.

Self-reported indicators of service-level quality can be also derived from a 5W matrix. For instance, it is possible for an IMO to extract from a W-matrix whether the beneficiaries reported by a partner comply with some quality standard chosen for the response (number of person per water point built, quantity of water trucked daily to a camp, number of person per latrine built and so on). However, this quality monitoring is considered an inadequate measure if taken alone, and other field-oriented tools must be used by coordination team to triangulate the information.

Intersectoral arrangements

Key guidance and tools

- 2009 GWC. Inter-cluster matrices.pdf
- 2015 GWC Cross_Cluster_Matrix tool.xlsx
- 2015 GWC Cross_Cluster_Matrix_Template.docx

Field examples

- 2011 Cross_Cluster_Matrix_Typhoon.docx
- 2011 Somalia_strategy_Intercluster.docx
- 2016 GWC Checklist_CoordinatingIntegratedWASHNut.docx

Other tools

AGREE ON INTERSECTORAL ARRANGEMENTS

The WASH Cluster has many linkages (and sometimes overlapping responsibilities) with other Clusters, in particular Health, Nutrition CCCM, and
Shelter). Matrices setting out agreed mutual roles and responsibilities have been developed at global level. These provide a framework for agreeing shared responsibilities at country level. Country specific inter cluster matrices and specific arrangement can be gathered in the SOF.

The WASH Cluster Coordinator or dedicated WASH Cluster focal points will need to attend some other key Cluster meetings and play a proactive role in promoting shared activities and information exchange. Focal points can be elected among WASH partners be represent WASH sector in another Cluster.

Accountability to Affected Population

Key guidance and tools
- 2012 GWC WASH minimum commitments for Safety & Dignity.pptx
- 2012 GWC WASH Minimum Commitments (complete tool box, 850 Mb)

Field examples
- 2009 WASH Community Leaflet 1.pdf
- 2009 WASH Community Leaflet 2.pdf

Other tools
- 2009 GWC WASH Accountability Handbook for printing.zip
- 2012 IASC Protection sexual abuse.docx

IDENTIFY WAYS TO ENSURE WASH RESPONSE’S ACCOUNTABILITY TO AFFECTED POPULATION

Accountability to Affected Population, and in particular Protection aspects, is not considered should be a central aspect of the WASH response. It is crucial for partners to design and implement their WASH response in such a way that:

- It has no negative impact on security of beneficiaries
- Beneficiaries are consulted before and during response implementation
- Beneficiaries are provided with a way to feedback on their perception of response quality.

The Global WASH cluster partners have agreed in 2012 that “2012 GWC WASH Minimum commitments for the safety and dignity of affected population”, part of the wider 2012 GWC WASH and protection tool box, should be respected in all national humanitarian WASH programmes to ensure that the distinct assistance and protection needs of the affected population are met. These commitments, centered on people, aim at ensuring that key issues are taken into consideration by all partners, such as gender, gender based violence, child protection, disability, and age. The respect of these minimum commitments all along the humanitarian programme cycle allows partners to design and implement a participative response.

The five minimum commitments are:

1. Consult separately girls, boys, women, and men, including those with disabilities, to ensure that WASH programs are designed so to provide equal access and mitigate incidences of violence;
2. Ensure that girls, boys, women, and men, including those with disabilities have access to appropriate and safe WASH services
3. Ensure that girls, boys, women, and men, including those with disabilities, have access to feedback & complaint mechanisms so that corrective actions can address their specific protection and assistance needs
4. Monitor and evaluate safe and equal access and use of WASH services in WASH projects;
5. Give priority to girls (particularly adolescents) and women’s participation in the consultation process

The SOF should include a specific chapter on protection and accountability, providing guidance to partners on best ways to ensure the respect of the 5 WASH minimum commitments in the local context, and defining how they will be monitored.

Key external web links
- IASC AAP minimum commitments and other resources on accountability to affected population

Cross cutting issues

Key guidance and tools
- 2015_Focus Task Force_Environment.zip
- 2013 OCHA Funding pre-allocation
- 2014 IASC Funding pre-allocation

Field examples

Other tools
- GWC · WASH & Environment Guidance.zip
- GWC_WASH & Environment_Technical Briefs.zip
WAYS TO ADDRESS CROSS CUTTING ISSUES

Cross-cutting issues are important topics to be taken into account in humanitarian response although they are usually not a direct focus of the response. Common cross-cutting issues include gender, environment, disability, age. Their respective priority varies depending on context. Markers have been developed by donors to foster the inclusion of gender or environment into partners’ proposal, and included in the tools of this page.

The sector coordination platform is responsible to “Identify and find solutions for (emerging) gaps, obstacles, duplication and cross-cutting issues” (2015 IASC Cluster Coordination Reference Module.pdf). Cluster partners also made the commitment to “Commitment to mainstream key programmatic cross-cutting issues (including age, gender, environment and HIV/AIDS)” (“2007 GHP Principles of partnership.pdf”)

Quality assurance system

- Key guidance and tools
- Field examples
- Other tools

Set up a quality assurance system for the response

Ensuring that the WASH partners provide to the affected populations a humanitarian response complying with minimum standards of quality is a priority for the humanitarian WASH community. The GWC defines a good quality response as follows:

- **Appropriate and relevant** - communities and people affected by the crisis should have access to water and sanitation infrastructure and services, as well as receive key hygiene messages and items that meet their needs and be culturally appropriate;
- **Impartial** - the targeted communities of WASH programmes should be based on a sound vulnerability criteria;
- **As participatory as possible** - communities and people affected by crisis should know their rights and entitlements, have access to information, participate in decisions that affect them, and have the possibility to provide feedback to WASH partners;
- **Effective and timely** - the WASH response should be realistically designed, sized and phased so that it is delivered in a timely manner, in line with the capacity of the sector;
- **Strengthens local capacities and avoids negative effects** - WASH partners, should to the maximum extent possible, build their response on local capacities and work towards improving the resilience of communities and people affected by crisis.

A WASH Humanitarian response can be defined by a combination of response inputs and outputs, as per the following diagram:
To ensure a high quality response, the WASH Coordination platforms should:

1. Ensure response inputs are adequate
2. Guarantee the monitoring of the five quality pillars (see diagram above) in the response outputs, and take corrective actions when necessary

A humanitarian WASH response Quality Assurance System consists in the set up of mechanisms during both preparedness and response phases to guaranty the achievement of these two responsibilities:

<table>
<thead>
<tr>
<th>Quality assurance system step</th>
<th>Related CTK chapter</th>
</tr>
</thead>
</table>
| Ensure response inputs are adequate | • Preparedness and transition  
• WASH capacity mapping  
• Mobilize resources |
| Guarantee the monitoring of the five quality pillars in the response outputs, and take corrective actions when necessary | • Quality target and modalities  
• Response monitoring  
• Coordination performance monitoring  
• Gap analysis & advocacy |

Monitoring Plan

- Key guidance and tools

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014 GWC WASH Indicators Registry &amp; Question.pdf</td>
<td>This document is a compendium of the 36 agreed WASH indicators which are found in the Inter-Agency Standing Committee (IASC) Humanitarian Indicator Registry (HIR). Each indicator sheet include questions which can be used in assessments and interventions that relate each indicator to response monitoring/4W. Each indicator sheet also include useful references</td>
</tr>
<tr>
<td>2016 IASC Humanitarian Response Monitoring Guidance.pdf</td>
<td>This guidance is meant for all humanitarian actors involved in the preparation of a humanitarian response plan and its monitoring. It gives a definition and explain how to carry out monitoring a humanitarian response plan (HRP), whether for a sudden or slow onset disaster or complex emergency. It ensures a common understanding of the key concepts and define role and responsibilities. This guidance presents the ideal elements for systematic, system-wide response monitoring but its actual implementation in a given context will depend on the capacities and resources allocated for it</td>
</tr>
<tr>
<td>2016 GWC Strategic Planning &amp; Monitoring guidance.docx</td>
<td>This guidance by the GWC helps understanding the linkage between strategic planning and developing response monitoring frameworks</td>
</tr>
<tr>
<td>2016 IASC HRP monitoring framework template.docx</td>
<td>This Humanitarian Response Monitoring Framework is a template that complements the above guidance</td>
</tr>
<tr>
<td>2017 GWC Choosing WASH Indicators &amp; Targets.pdf</td>
<td>This document will help WASH coordination teams choosing SMART indicators and targets for the 4W, WASH Strategic Operational Framework and the IASC Strategic Response Plan</td>
</tr>
<tr>
<td>OCHA’s Humanitarian Indicator Registry</td>
<td>This is the inter-agency registry of indicators. [Weblink to be updated in 2019]</td>
</tr>
<tr>
<td>2017 UNICEF Indicator registry.xlsx</td>
<td>Developed by okular-analytics in 2017, this list complements the above OCHA humanitarian indicator registry. It does not provide indicators for relief projects, but specifically on strategic indicators that could be included in the UNICEF Cluster's Operational Response Plan. The WASH indicators are also presented on a more digestible Logical Framework Analysis Format on the following document: 2017 UNICEF Indicator registry LFA WASH.DOCX</td>
</tr>
</tbody>
</table>

Field examples

- 1. GWC EXAMPLE - Gaza WASH HRP Overview for Partners.xlsx
- 2. GWC EXAMPLE - WASH logframe & calculations.xlsx
- 2017 WC Bangladesh WASH Cluster Monitoring Plan.docx
- 2017 WC Bangladesh 4W Indicator Logframe.xlsx
- 2017 South Sudan HRP Monitoring plan.pdf
Set up the WASH response monitoring and data analysis plan

The WASH Information Management Officer (IMO) should, in tandem and in consultation with the WASH Cluster Coordinator (WCC), set up the WASH response’s monitoring plan. The monitoring plan (sometime called monitoring framework) includes a series of indicators aiming at measuring progress of the response. Each indicator includes baseline, targets, monitoring tools, collection strategy. Each indicator should include a detailed analysis plan, clarifying the type, frequency and outputs of the analysis that should be made. A summarized version of each cluster/sector monitoring plan is included in the Humanitarian Response Plan’s annexes (see for example 2017 South Sudan HRP Monitoring plan). Indicators must be carefully chosen so they are coherent with other indicator systems, such as:

- 2017 UNICEF Indicator registry.xlsx
- OCHA’s Humanitarian Indicator Registry (to be finalized in 2019)
- Country core WASH indicators (they should be the same as the ones above)
- Local government WASH monitoring frameworks

Indicators of the WASH response monitoring plan (commonly referred to as “WASH HRP indicators”) are often focused on response progress, ideally informed directly by the activity-tracking system (W-matrix or other). Depending on context and priorities, they can also be related to response quality, or capacity building. The coordination platform may find relevant to set up other WASH indicators additional to the ones included in the yearly HRP. They should be included separately, in the SOF (see for example 2017 WC Bangladesh SOF monitoring framework).

Monitoring plan can also include impact level indicators that can be measured only through a thorough WASH response evaluation process. It will be essential to ensure specific means and budget for their measurement.

Resources mobilization

What is it about?

After estimating the humanitarian WASH sector response budget during Strategic planning phase, the coordination platform should ensure enough funds are allocated to cover it through the following actions:

- Advocating to donors for pre-positioning of funds for the WASH response;
- Supporting partners’ proposal writing efforts and coordination;
- Monitoring funds allocated for WASH response to ensure they are sufficient and corresponds to strategic priorities
- Addressing any funding gap through advocacy with donors.

More and more emergency WASH funds are allocated through centralized mechanisms such as Central Emergency Response Funds (CERF) and Country Based Pool Funds (CBPF) and disbursed through OCHA, who facilitate sector funding coordination and tracking. However a proportion of WASH partners’ funding comes from other sources, such as direct funding of aid organizations by donors, aid organizations’ own funds, or bilateral funding of local government. These non-centralized funding represents a challenge for Humanitarian WASH National Coordination Platforms as they are not consulted or sometimes even informed of this funding stream, decreasing the accuracy of funding monitoring and gap analysis.

Resources to be mobilized for the response are not only related to funding, but are also related to WASH human resources, operational and logistic capacity etc. These are developed in the WASH capacity mapping chapter.

Funding pre-allocation

Choice of indicators

- Using same indicators for assessment and monitoring process will save a lot of time and resource, allowing next HRPs assessment data to be drawn from on-going monitoring system
- Indicators must be chosen in such a way to minimize burden for both coordination staff and partners when informing them.

What are the objectives?

- To ensure that the WASH component of the flash appeal and/or humanitarian response plans, are well-funded, that funds are allocated to priority activities and to raise the visibility/profile of a crisis.
- To anticipate on response funding gaps and advocate to fill those gaps
- To maintain an on-going dialogue with donors on the evolution of WASH needs, results achieved and funding received.

At least you should do...

- Regular communication / information products are distributed covering tracking of funding status of overall cluster / sector;

Click to get the complete list of GWC Minimum Requirements

Navigate in the sub-pages:
Contribute to the response funds pre-allocation process

Before being disbursed, funds are first pre-allocated by donors by response or by sector based on their analyse of the needs and response prioritization. The WASH coordination units has an important role to play in this process by ensuring enough funds are pre-positioned for the WASH sector.

Advocate to the humanitarian coordinator (HC) for pre-allocation of pooled funds for the WASH response

For pooled emergency funds such as CERF or CBPF, an un-earmarked budget allowance is given to the HC for the whole response. The HC decides on how to share this un-earmarked amount between each sector or between the HRP’s strategic objectives. It is the responsibility of the WASH cluster/sector coordinator to ensure WASH priorities are considered by the HC in this process. The WASH cluster/sector coordinator, as other cluster coordinators, build a case through UNICEF and the inter-cluster group to maximize the contribution of pooled funds to the WASH overall budget.

Advocate to donors for pre-allocation of non-pooled funds for the WASH response

Not all emergency funds are centralized: donors also allocate funds directly to aid agencies. The WASH Cluster coordinator should be in contact with all potential donors for the WASH response. She/he should regularly communicate to them the WASH response strategy, priorities and overall updates. Donors should be made aware of possible funding gaps that they could address.

The WASH Operation Response Plan and SOF should be shared with and presented to donors, to ensure their WASH funding strategy is aligned with WASH Cluster strategy, and to ensure it is reflected in the projects they fund. Large emergency donors usually require their partners to discuss their proposal strategy with coordination platform before submitting it.

Support partners’ concept notes and proposals development

Depending on time and the context, it is good practice for WASH sector/cluster coordinators to stay in close contact with and make themselves available for the partners, to ensure their proposals (pooled funds and others) are aligned with the WASH cluster response strategy and provide them with advice when needed. The quality of the proposals received by donors in the aftermath of a crisis and their alignment with WASH cluster strategy will impact positively the WASH sector funding.

Guide pooled funds allocation for the WASH sector

WASH coordination platforms have in general no direct role in the allocation of funds to the WASH partners, with the exception of Country Based Pooled Funds (CBPF). CBPF are allocated by OCHA to partners based on the review of their proposal by a Strategic Review Committee (SRC). The SRC includes most of the time the WASH Cluster coordinator and members of the SAG. Prioritization/vetting of projects submitted by
cluster partners to CBPF is done according to agreed criteria, using a vetting matrix (see Field Examples on top of these page). These criteria are defined by SRC for each funding process; they are linked with the Humanitarian Response Plan. One of the criteria is that proposals are in-line with WASH sector’s Operational Response Plan and Strategic Operating Framework, making pooled funds a powerful tool to implement the cluster strategy. Other are linked with Gender Markers and Environment Markers. Review of proposals needs to happen in a timely manner, often to meet very short deadlines. Pooled-funds proposal review represents a significant workload for cluster coordinator. It is critical for WASH sector coordinator to ensure that the selection/prioritization criteria are clearly communicated early on in the process, and that the allocation process is transparent.

CERF (Central Emergency Response Funds) is another type of pooled funds. OCHA allocates CERF to each cluster lead agencies (ex: UNICEF) who disburse them to partners based on their proposals. CERF WASH proposals are reviewed by UNICEF WASH country teams, with no direct involvement from partners or the sector coordinator. One of the major criteria for CERF funding is the life-saving nature of the activities proposed.

Co ordination of non-pooled funds
Some donors will recommend or even oblige their partners to follow cluster strategy and guidance in their proposal. But WASH coordination platforms have in general no direct role in the allocation of non-pooled funds. This can represent a great challenge in terms of coordination. To overcome this issue, WASH sector coordinators must keep a high level of communication and build effective partnership with non-pooled donors.

**Coordination of non-pooled funds**

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**Key web links**

**Funding monitoring & advocacy**

- Key guidance and tools
- Field examples
  - Funds tracking
- Other tools

**Monitor and analyse funding data and address any funding gap through advocacy**

The WASH Cluster coordinator must ensure that WASH response is funded adequately, both in terms of total amount and prioritization. He/she must track the funds already received by the WASH partners, identify possible gaps and address them through advocacy.

*Monitor that fund mobilization for WASH is sufficient and corresponds to WASH strategic priorities*

See funds tracking section in Response monitoring chapter

*Analyze funding data and address any gap through advocacy*

The WASH coordination platform uses the funds monitoring data collected to identify possible gaps. Gaps can be related to insufficient WASH response funding level, insufficient funding level for one specific strategic component (ex: sanitation) or geographical area, or funds not being prioritized as per the WASH Operational plan. The coordination unit prepares reports including narrative and infographics, analyzing the current funding situation, possibly comparing it with other sector or countries (see the tool 2015 GWC Global HRP Funding Update for an example of such reports). See the section on Analysis & visualization of the Gap analysis & advocacy chapter for more information on gap analysis and infographics. The WASH Cluster/sector coordinator uses these reports to address gaps through advocacy. Advocacy messages are usually directed to UNICEF and the inter-cluster, who can then relay to the Humanitarian Coordinator (HC) and donors. Also refer to section Advocacy of the Gap analysis & advocacy chapter.

**Key web links**

**Response monitoring**

**What is it about?**

**What are the objectives?**
Once the strategic and monitoring frameworks have been set up, and the monitoring tools and templates prepared, implementation must be carefully monitored by WASH coordination unit. It is responsible to monitor both response inputs (verifying that they are adequate) and response outputs (ensuring a maximal response quality), against targets defined in the WASH Operational Response Plan and Strategic Operational Framework (SOF).

The responsibilities of the WASH coordination platform regarding monitoring are summarized as follows, with links to relevant sections of this chapter as well as other chapters of the CTK:

- Set up the WASH response monitoring plan (Strategic planning chapter)
- Roll out the activity reporting tools (W-matrix)
- Monitor response inputs:
  - Monitor WASH response funding status
  - Coordinate WASH sector capacity mapping
  - Monitor the WASH coordination performances, including the achievements of the Minimum Requirements for National Humanitarian WASH Coordination Platforms
- Monitor response outputs:
  - Monitor WASH response progress against strategic indicators
  - Monitor WASH response's geographical coverage
  - Monitor the adherence of the response to the 5 WASH commitments on protection
  - Monitor technical quality of the WASH services delivered to beneficiaries
  - Monitor the relevancy of WASH response strategy and selected implementation modalities

Finally, the WASH coordination platform consolidates and analyses monitoring results to identify response gaps (quality, coverage...) and ensure they are addressed through advocacy. This will be addressed separately in the Gap analysis & advocacy chapter.

At least you should do...

- **GWC Minimum Requirements for coordination**
  - Cluster/sector partners are regularly submitting activities data (4Ws).
  - Mechanism in place to monitor the quality of WASH services delivered to the affected population against established standards (relevance, reliability, safety and quantity of WASH services).
  - When relevant and feasible, cluster/sector reporting data is disaggregated by sex, age, geographical areas or ethnic groups.
  - Specific cluster/sector focal points for cross-cutting issues have been identified.

Click to get the complete list of GWC Minimum Requirements

Activity reporting

- **Key guidance and tools**
  - See Activity reporting tool (W-matrix) section in Information management chapter

- **Field examples**
  - See Activity reporting tool (W-matrix) section in Information management chapter

- **Other tools**
  - See Activity reporting tool (W-matrix) section in Information management chapter
Roll out the WASH partners’ activity reporting tool

The core response monitoring mechanism are the activity reporting tools. Although some other system exist, the main Activity reporting tool is the W-matrix. Refer to the Activity reporting tool (W-matrix) section in the Information Management chapter. With a well-structured W-matrix, the WASH coordination unit will be able to:

- Track progress towards HRP objectives and targets
- Highlight disparities in the response – these might be geographic, sub-sectoral, by type of beneficiary or response, inter-cluster, etc.
- Highlight service-level indicators for the activities, measured against the minimum standard benchmarks
- Facilitate transparency and accountability to WASH partners, donors, public and affected population

A core function of the IMO is to ensure that such operationally relevant data is available in a timely, digestible manner to support operational decision making. A well-constructed activity tracking system will also minimise the time required to fulfill upward reporting obligations, maximize the time available for strengthening each part of the IM system, and enable more specific gap analyses.

W-matrix must be set up in the early stage of the response, and modified later once the strategy’s monitoring plan is finalized. It can be designed using GWC template, but needs to be customized for each crisis based on the monitoring plan indicators and queries done by WCC to the IMO. W-matrix can produce satisfactory outputs only if:

- It has been well designed
- partners are trained and supported to fill it with their project data in a timely manner (see for example: 2016 WC SSD 5W instruction for partners)

W-matrix do have limitations, and should be complemented and triangulated with other monitoring system, such as Technical Quality monitoring, or Feedback and Complaints Mechanism

Funds tracking

- Key guidance and tools
  - 2017 GWC How to use FTS.pdf
- Field examples
  - 2012 WC Myanmar WASH Funding matrix.xlsx
  - 2012 WC Jordan WASH funding matrix.xlsx
  - 2015 WC SSD HRP Funding Update example.pdf
- Other tools
  - 2015 OCHA Online Project System.zip

Monitor WASH response funding status

Closely linked to the Resources mobilization phase, the objective of the WASH response funds tracking is to ensure that WASH response is funded adequately, both in terms of total amount and prioritization. The main tool available is the online Funds Tracking Services, or FTS (see on top of the section the 2017 GWC How to use FTS, and below in the key external weblinks for the FTS website), where partners must indicate their past, present and planned funding. But partners have no direct obligation to use it, so results can be inaccurate. Partners may also be tempted to report less funds than they receive, in order to continue attracting funds. FTS also does not have any breakdown per geographical or thematic area, thus limiting possibilities of data analysis.

Considering these limitations, FTS remains a very useful tool, but the WASH Cluster coordinator can feel the need to complement it by setting up her/his own funding matrix. Once set up, this matrix must be updated regularly using and crossing info provided by partners, donors, and from FTS. Several examples of funding matrices can be downloaded from in the “Field examples” on top of this page.

The WASH cluster sector coordination usually has an easy access to funding data from centralized funds (CERF, CBPF). However a large proportion of WASH partners’ funding comes from other sources: bilateral funding by donors, or aid organizations’ internal funding sources. Non-centralized funding represents a challenge for coordination platforms as they are not consulted or sometimes not even informed of these funding, decreasing the accuracy of sector funds tracking. Where ongoing and planned activities of a partner are known without having access to its budget, it may also be feasible to calculate rough funding estimates through applying standard activity costs. But in general, the WASH cluster/sector coordinator can overcome these challenges by maintaining a high level of communication and trust with non-pooled donors and WASH partners, and update the WASH Cluster/sector funding matrix with information they provide.

Key external web links
OCHA's Fund Tracking Services (FTS)

Strategic indicators

- Key guidance and tools
Monitor WASH response progress against strategic indicators

**WASH strategic indicators** are the indicators included in the Monitoring plan of the WASH Operational Response Plan, part of the Humanitarian Response Plan (HRP). They are used to monitor the achievement of the WASH strategic objectives. It is an important responsibility for the WASH Coordination platform to set up relevant mechanisms to inform these indicators at response level. These mechanisms often involve collection of data from partners about their individual program, and consolidation of these data to provide response level information.

Strategic indicators must be carefully formulated to be measurable (see SMART indicators below), and care should be taken to avoid / limit indicators that depend on systems that have yet to be established. The use of core indicators is strongly recommended. Many strategic indicators can be measured by analysing W-matrix data. Other strategic indicators might be focused on quality, or capacity building, and will require the triangulation of W-matrix data with other monitoring tools.

The WASH Coordination platform must report on these indicators regularly in the monthly WASH response dashboard and in the HRP's Periodic Monitoring Reports, whose frequency are determined by OCHA, or the UNICEF's Humanitarian Performance Monitoring Report (see Reporting & dissemination chapter).

### Key external web links
- Definition of SMART indicators on wikipedia

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Geographical coverage

- **Key guidance and tools**
- **Field examples**
- **Other tools**

Monitor WASH response's geographical coverage

In order to maximize response impact, all sub-domains of the WASH response, as defined in the sector / cluster response plan (water, sanitation, hygiene, etc…), must be deployed in all the targeted geographical zones and for all the beneficiaries as prioritized in the plan. The coordination platform must have a breakdown of the WASH sector caseload per geographical areas, also highlighting priority areas defined in the WASH Operational Response Plan. They must monitor the progress of the response in each geographical area, using W-matrix and reports from partners, to detect possible gaps.

Monitoring the response in term of geographical coverage and targeted population is one of the requirements that WASH coordination platform should meet through the use of the W-matrix. It should be reported regularly in the WASH Cluster dashboard, using Operational presence maps (see templates and examples in Visual and reporting templates section in the Information management chapter).

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Accountability & Protection

- **Key guidance and tools**
  - 2012 GWC WASH minimum commitments for Safety & Dignity.pptx
  - 2018 IFRC_feedback mechanism.pdf
- **Field examples**
  - 2009 GWC WASH_Accountability_Checklist draft.pdf
  - 2010 Oxfam South Sudan FCM Case Studies.zip
  - 2010 accountability leaflet.pdf
Monitor the adherence of the response to the 5 WASH commitments for safety and dignity of the affected population

There are many ways to ensure that the WASH response is accountable and decrease/avoid protection risk for the beneficiaries; Two main tools are available to the WASH coordination platform:

- The 5 WASH Minimum Commitments for the Safety and Dignity of Affected Populations
- Feedback and Complain Mechanism

The WASH cluster/sector coordination is responsible for the following tasks:

**Foster the integration of Feedback and Complaints Mechanisms in WASH response and monitor their results**

Feedback and Complain Mechanisms (FCM) are contextual, effective, accessible and safe ways for beneficiaries to provide both positive and negative feedback to the agency that have reached their household or community. FCM are considered as one of the best tools to monitor response quality, as beneficiaries can report directly their level of satisfaction. They also demonstrate a high level of accountability to affected population (AAP) from the partners, as beneficiaries can also report any issues, wrong doing of project staff, or negative side effect of the intervention.

- In some cases, a unique FCM for the response is set up by an organization external to the response (UNOPS, for instance). All beneficiaries’ feedback and complaints are centralized, classified and forwarded to relevant sector coordinators, who then contact partners involved to ensure issues are addressed.
- In most cases, no centralized system exists, and partners must implement their own FCM for their program, with the support of the WASH coordination platform when necessary. This support can be done through the organization of workshop and training on accountability to affected population (AAP) and FCM at the capital or subnational level, and the elaboration of guidelines that can be included in a specific section of the Strategic Operating Framework chapter dedicated to Accountability to Affected Population. If this has been agreed with partners, the coordination platform can collect and compile results from partner's FCM and use them to provide an analysis of the collective response quality.

Various guidelines on FCM are available in the documents folders on top of this page.

**Monitor adherence of the response to the 5 WASH Minimum commitments**

As described in the Accountability to Affected Population section of the Strategic planning chapter, the Global WASH cluster partners have agreed in 2012 that 5 WASH Minimum Commitments for the Safety and Dignity of Affected Populations should be respected in all national humanitarian WASH programmes to ensure that the distinct assistance and protection needs of the affected population are met.

Under the guidance of the WASH cluster coordinator, WASH partners must agree on the modalities to be used to monitor the achievement of these 5 commitments in their respective programmes. This can be done through the following actions:

- Organize training of partners on the 5 minimum commitments
- Agree on the commitments’ monitoring modalities. for instance:
  - Systematize the use and reporting of WASH accountability checklists
  - Monitor their use in the field through a centralized FCM
  - Monitor each partner's FCM results
  - Organize frequent workshop with partners staff where implementing issues would be reported and addressed collectively
  - External monitoring done by a third party (INGO or INGO, local government, private company)

Technical quality

- Key guidance and tools
  - 2018 Sphere Handbook in French Spanish Arabic (from Sphere website)

- Field examples

- Other tools
Monitor technical quality of the WASH services delivered to beneficiaries

The quality of WASH services that are provided to the affected population must meet minimum standards agreed among partners. These standards are based on national standards, international standards, or contextualized depending on the context and the emergency phase. Technical standards to be applied for the response must have been agreed by partners and described in the Standards & Methodologies chapter of the WASH Cluster Strategic Operational Framework. The technical quality of the WASH services embraces four main areas: relevance, quantity, reliability and safety (see figure hereunder); One of the main source of technical quality indicators is the Sphere handbook.

The monitoring of the WASH service quality must be routinely done by the partner themselves for their program. It is recommended that partners report the results of their quality monitoring system to the WASH coordination platform, provided that this is stipulated in the agreed quality assurance system.

Depending on the agreed modalities, field-based monitoring of partners’ activities can be:

- done by third parties, such as the government or a private company
- reported directly by the beneficiaries to an independent company or organization, through a feedback and complaints mechanism
- monitored through field visit by the WASH coordination team at subnational level etc.

A usual quality monitoring tool is the WASH Infrastructure "Spot-check", in which latrines or water points are being physically monitored using a standard check list.

Integration of key WASH quality indicators into other monitoring systems (ex: The National Health Interview Survey (NHIS), Displacement tracking Matrix (DTM) etc.), and engagement with other key clusters, can also help to flag WASH quality issues.

Relevancy

- Key guidance and tools
- Field examples
- Other tools

Monitor the relevancy of WASH response strategy and selected implementation modalities
Some strategic choices regarding **implementation approach** (direct service delivery, or market based programing) and **modalities** (in-kind assistance, cash transfers, voucher assistance, cash for work etc.) were agreed with the WASH partners and included in the WASH Operational Response Plan and the WASH SOF. Technical choices were also made, such as choice of latrine design or behavior change strategy. All these choices were based on the information available and the humanitarian situation at a specific time. They need to be reviewed regularly to ensure they are still **relevant** to the evolving emergency context, so as strategy can be re-oriented if necessary.

To be able to monitor the relevancy of the WASH response, adequate monitoring mechanism must be set up. Depending on the context, they can be based on the **quality assurance system** elements (strategic indicators, coverage, accountability and protection, technical quality), complemented with other indicators such as Value for money, Timeliness, Localization, Do no harm principles.

### Coordination performance

**What is it about?**

It is necessary for the WASH coordination platform to regularly take stock of what functional areas of coordination work well and what areas need improvement. Coordination performance monitoring can be realized internally by the coordination staff, in a participatory way by all the WASH partners, or externally by experts from regional or global level. Two formal tools are available:

- Cluster coordination performance monitoring (CCPM)
- Cluster Description Mapping

These tools have specific questionnaires and methodology, based on the Core Cluster Functions.

For more informal or internal monitoring exercise, it is a good practice to evaluate coordination platform performance against the GWC Minimum Requirements.

### What are the objectives

- Ensure efficient and effective coordination
- Strengthening transparency and partnership within the cluster

**At least you should do...**

- [GWC Minimum Requirements for coordination](#)

  There are no GWC Minimum Requirement associated to cluster coordination performance monitoring.

  Click to get the complete list of GWC Minimum Requirements

### Navigate in the sub-pages:

- [GWC Minimum Requirements for coordination](#)
  - [Key guidance and tools](#)
    - [2018 GWC Minimum Requirements for WASH Coordination.pdf](#)
  - [Field examples](#)
    - [2018 WC RDC Kasai Suivi Exigences Minimaux.xlsx](#)
  - [Other tools](#)

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**MONITOR THE ACHIEVEMENTS OF THE MINIMUM REQUIREMENTS FOR NATIONAL HUMANITARIAN WASH COORDINATION PLATFORMS**

The Strategic Advisory Group of the Global WASH Cluster (GWC) has defined a set of **Minimum Requirements** (MR) for country level coordination based on the IASC core functions for cluster coordination and commitments for accountability to affected populations. The MR are considered the basic package required to achieve effective WASH humanitarian coordination at the country level. They are designed to provide a light-approach mechanism to monitor WASH humanitarian platforms (clusters or sectors) at the country level, providing crucial insight into the needs for capacity building, training and global support. At the country level, cluster coordinators and the CLA will use this information to highlight trends in cluster functionality as well as identifying specific core functions that need support. An example of use of the MR in french is given in Field Example section.

**CCPM**

- [Key guidance and tools](#)
  - [CCPM English 2016.zip](#)
  - [CCPM French 2016.zip](#)
  - [CCPM Other Guidance.zip](#)
  - [CCPM Arabic 2016.zip](#)
- [Field examples](#)
  - [CCPM Ukraine.zip](#)
  - [CCPM Fiji.zip](#)
COORDINATE CLUSTER COORDINATION PERFORMANCE MONITORING (CCPM) EVENTS

Since 2015, each cluster has an obligation to do an annual Cluster Coordination Performance Monitoring (CCPM) exercise. It consists in a series of questionnaires addressed to all cluster actors, who should provide their evaluation of achievement of the 6+1 cluster functions. Administration of the online survey and its initial analysis is done by the EMOPS GCCU team based in UNICEF Geneva. Main limitations of the process are the lack of reporting from non-cluster actors or actor who are not currently active in coordination, and tendency from partners to evaluate positively the partnership. Both issues can be anticipated and addressed by WASH Cluster Coordinator during the CCPM preparation.

The CCPM process is a self-evaluation of the cluster core functions, and should be applied on an annual basis in Cluster-activated countries. Support to the CCPM process is available through the EMOPS GCCU for the administration of the online survey and its initial analysis.

Even if focused on coordination aspects, it also provides a useful opportunity to complement the initial IM diagnosis and inform IM work planning.

Gap analysis & advocacy

What is it about?

A primary function of the WASH coordination unit is to use monitoring data to track, identify, and respond to identified gaps to improve the response. Once data from capacity mapping, needs assessment or response monitoring are compiled, the WASH coordination platform seeks to:

- Examine the data against response requirement and objective as per the initial monitoring & analysis plan
- Develop appropriate visualizations / infographics to identify and highlight gaps
- Develop information products presenting response progress and gaps, and disseminate them as appropriate
- Advocate to the relevant level/actor for the resolution of the observed gaps

One of the core functions of the WASH coordination platform as set up by the IASC is “To support robust advocacy”. The WASH Cluster coordinator is often expected to be the spokesperson of the WASH sector, centralizing and prioritizing concerns from partners, and report them at a higher level, mostly to the Humanitarian Coordinator and Humanitarian Country team through UNICEF.

What are the objectives?

- To provide humanitarian actors with the evidence they need to take operational and strategic decisions and adapt short and long-term strategies
- Consolidates and reports concerns preventing a timely and quality implementation of the WASH sector response and ensure issues are addressed by relevant actors

At least, you should do...

GWC Minimum Requirements for coordination

- Analysis highlighting geographic or programmatic gaps is regularly updated, easily accessible, and discussed during coordination meetings.
- Regular communication / information products are distributed covering:
  - tracking of progress against strategic plan / indicators;
  - tracking of funding status of overall cluster / sector;
  - Mechanism in place to monitor the quality of WASH services delivered to the affected population against established standards (relevance, reliability, safety and quantity of WASH services).
- Critical WASH issues are identified and brought to the attention of relevant stakeholders.
- Advocacy initiatives are undertaken when required to communicate these WASH issues to key stakeholders (for instance: HCT, Donors, CLA, Government).

Click to get the complete list of GWC Minimum Requirements

Navigate in the sub-pages:

Analysis & visualization

- Key guidance and tools
  - 2014 OCHA GapAnalysis Guide.pdf
  - 2015 JIMT Visualization tips.pptx
  - 2016 GWC Template Gap analysis from 4W.pdf
  - 2016 GWC 4W framework.pptx
Consolidate & visualize monitoring results to identify & analyse the response gaps

The IMO consolidates monitoring results, and perform analyses as planned in the initial analysis plan set up for the response. The use of visualization tools such as maps and infographics during the analysis facilitate the identification and reporting of response gaps.

Review the WASH response’s monitoring and analysis plan

The WASH Response Monitoring plan must include an initial analysis plan. The analysis plan clarifies the type, frequency and outputs of the analysis that should be made from the monitoring data. It also clarifies the role and responsibilities in the analysis process. It includes a mapping of the data to be collected, and ensures each collected data has a clear purpose. Many analysis can be done directly from the W-matrix. A 2016 GWC 4W framework developed by the GWC presenting the type of analysis that can be done using a W-matrix can be found in the document section on top of this page. Examples of Analysis Plan can be found in the various Field Examples in the Monitoring Plan section of the Strategic planning chapter.

Consolidate monitoring results

WASH coordination platform must gather and collate monitoring data from various sources to perform analyses at national level, and subnational level when relevant. Sub-national IMO and sector coordinator will play an important role in ensuring validation and cleaning of data, before reporting it to the national level.

The complexity of gathering and consolidating monitoring data depends on the monitoring mechanism set up:

- When monitoring tools are centralized over the response (W-matrix, Financial Tracking Services), data gathering and analysis can be simple, provided that the reporting system has been well designed and partners are trained and supported to report timely their project data. See also Activity reporting section in the Response monitoring chapter.
- When monitoring tools used by partners are non-standardized or non-harmonized tools (ex: partner’s internal quality monitoring reports), data consolidation and analyse will be more challenging. It is advised for WASH coordination platform to provide guidance in the SOF on minimum criteria for harmonization of monitoring mechanism between partners. For instance, all reports of Feedback and Complaints Mechanisms used by partners should provide results on the achievement of the 2012 GWC WASH Minimum commitments for the safety and dignity of affected population.

Analyse monitoring results using maps and infographics to identify gaps

Once monitoring results have been consolidated, often in the form of large database, they should be visualized in such a way that they can help identifying response gaps. This can be done using Desktop Mapping tools and infographics (see text boxes below). Analyses can also involve the triangulation of activity-tracking data (SW-tool) with other datasets. Outputs of the analysis can be for example to highlight the following response gaps:

- Imbalances in sub-sector implementation (ex: a focus on water and hygiene at the expense of sanitation)
- Imbalances among locations of intervention (ex: a focus on easy to reach at the expense of hard to
- Agencies with interventions consistently below minimum standards, or not in line with the HRP or WASH SOF response framework
- Gaps in number of people reached as compared to people targeted, or People in Need figures
- Etc.

In the document section on top of this page can be found various gap analysis guidance and template, as well as many examples of gap analysis report done by WASH Cluster platforms in various recent emergencies.
What is desktop mapping?
Desktop mapping consists in using computer to perform digital mapping functions, often using GIS (Geographical Information System) softwares. Desktop mapping tools are provided in the documents folders in the Visual and reporting templates section of the Information management chapter.

What are infographics?
Infographics are visual representation of data, for example as charts or diagrams. Infographics should allow reader to easily compare needs or response coverage between geographical areas, identify trends, patterns, exceptions etc. Efficient infographics are a mix between good quality data, interesting “story” and relevant design, as explained in the below diagram:

Other recommendations to design high quality infographics:
- Identify your target audience – to tailor to their interests / needs
- Find a story – use comparisons, highlight trends, and patterns, drill-down into a given indicator
- Give the main message first, and provide supporting detail after
- Chose adequate support for your message: for example, table gives supporting detail, graph helps to compare and identify outliers
- Data ink ratio: limit as much as possible the details that are not directly related to the data you want to visualize, while increasing visibility of your target data. for example, avoid using the default table using black grid lines, which will distract the reader
- Provide context – use text to clarify numbers / visualization, provide explanations, interpretations or comments

Some tips regarding basic visualization and infographics, as well good & bad infographics examples, can be found in the 2015 JIMT Visualization tips.pptx, and in the Other tools folder on top of this page.

Key external web links

Reporting & dissemination

Key guidance and tools

<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OCHA Response Monitoring and Reporting overview</td>
<td>In the preparation stage, the clusters and inter-cluster coordination group prepare monitoring plans and codify these in a humanitarian response monitoring framework document. This framework is a set of practices, performed by all humanitarian actors, to collect and analyse response monitoring data. At the preparatory stage response monitoring has strong linkages to three levels in the HRP process, namely when selecting indicators and setting targets for measuring against strategic objectives, and cluster objectives and outputs of cluster member activities.</td>
</tr>
<tr>
<td>UNICEF Humanitarian Performance Monitoring (HPM) Toolkit</td>
<td>This section contains useful examples and approaches on Humanitarian Performance Monitoring, notably to quality monitoring.</td>
</tr>
</tbody>
</table>

- Find GWC reporting templates in Visual and reporting templates section of the Information management chapter.

Field examples

- Find GWC reporting examples in Visual and reporting templates section of the Information management chapter.

Other doc

- Refer to the documents in Visual and reporting templates section of the Information management chapter.
Report & disseminate information on WASH needs, response and gaps

List coordination reporting requirements and set up reporting calendar

From the initial stages of the emergency, the WASH coordination platform have a key role in relaying and reporting information on needs, response progress and identified gaps. Reporting by the WASH coordination platform has several specific objectives and target, as listed in the table below. All reporting template and examples can be found in the Visual and reporting templates section of the Information management chapter.

<table>
<thead>
<tr>
<th>Objective</th>
<th>Details</th>
<th>Tools and mechanism</th>
</tr>
</thead>
</table>
| Operational gap analyses   | At subnational level, there is the need for the WASH partners to be quickly informed about needs and response gaps to orientate their operation | ▪ Oral reports during subnational meetings  
▪ Partner’s operational presence map  
▪ Technical and operational gap analysis databases (see example in the Analysis & visualization section) |
| Inform strategic decision  | At national level, there is the need for HC/HCT, the National WASH coordination platform and the donor to get consolidated information on response input and quality, to understand the reason for bottleneck and be able to address them | ▪ WASH Cluster dashboard  
▪ WASH Cluster bulletin |
| Report on strategic indicators | At national level, there is the need to report on HRP strategic indicators, to inform OCHA and UNICEF's Monitoring and Evaluation system | ▪ WASH cluster dashboard  
▪ OCHA's Periodic Monitoring Reports (PMR)  
▪ UNICEF and OCHA sitrep |
| Advocacy                   | At global level, there is a need for the Global WASH Cluster and WASH partners’ HQ staff to understand the nature of the quality issues faced by the partners and the possible underlying causes (lack of capacity, specific technical or contextual challenges, lack of funding…) in order to provide adequate support and advocate as necessary | ▪ National and global advocacy reports  
▪ Global WASH cluster annual meeting |
| Accountability             | To enhance accountability and participation, affected population must be informed of the current and expected level of WASH services | ▪ Community communication media (posters, TV, radio, group community meeting)  
▪ Feedback & complaints mechanism reports |

Much of the reporting can be anticipated: a calendar of reporting requirements must be developed by the WASH Sector Coordinator in consultation with OCHA and UNICEF (as CLA) and included in the WASH Coordination Platform workplan in the early stages of the response. The robustness of the analysis plan, indicator definitions and calculations, and means of data collection, compilation, and cleaning – covered in the preceding Chapters – comes into play; provided these are in place, it will be easy to update and automatize reporting tools and products. That will minimise the time spent on basic reporting, and allow the IMO to focus on other more strategic tasks.

Who is doing it?
Reporting is a responsibility shared by all coordination team members, although WCC will be more involved in the reports’ design and finalization, while the IMO will work more on content and visualization.

Produce regular WASH sector dashboards and bulletins

One of the main responsibilities of the WASH coordination platform regarding reporting is the production of regular WASH response Dashboard and bulletin (refer to Visual and reporting templates section of the Information management chapter), usually on a monthly basis.

Contribute to UNICEF and OCHA reporting mechanisms

The Cluster response tracking systems will feed into overarching response tracking systems maintained by OCHA (as the lead agency for coordination) and UNICEF (as WASH Cluster Lead Agency), which will vary slightly from context to context. It is critical to clarify information requirements, format, and frequency, and to factor this into the Cluster’s system design. Reference and support materials are maintained both by OCHA and UNICEF, and are available on line (see OCHA and UNICEF tools in Key guidance and tools above). It is a good practice to align the WASH core and strategic indicators to the UNICEF reporting system, to minimize the number of indicators to be informed.

Disseminate response updates to relevant audience

Response progress and gap analysis reports must not only be communicated to OCHA and UNICEF, but also reach all relevant humanitarian actors. Due to the large amount of information circulated in modern emergencies response, dissemination channels and format must be carefully chosen so it reaches its target without overloading partners with information, especially through email list.
### Advocacy

**Key guidance and tools**
- 2009 2011 UNICEF Advocacy in Emergencies.zip

**Field examples**
- 2016 WC SSD WASH Funding advocacy example.pdf

**Other tools**
- 2013 ACF Advocacy Toolkit.pdf

**Support robust Humanitarian WASH advocacy**

Having no direct authority on the WASH partners and more generally on the response actors, advocacy is the main tool of the WASH Sector Coordinator when it comes to addressing issues identified through the monitoring and gap analysis.

**Set up an advocacy strategy**

The WASH coordination platform must elaborate an advocacy strategy endorsed by the SAG, in which priority advocacy themes are defined, based on local context and WASH strategic objectives. It is important to foster a sense of collective responsibility with partners for advocacy. Once the advocacy strategy and messages have been agreed, partners can play an important role in relaying advocacy messages at country, regional or global level. The advocacy strategy can be a separate chapter in the WASH Cluster Strategic Operational Framework.

**Undertake operational advocacy actions**

Once operational gaps have been analysed and identified (slow response, lack of access etc.), they must be addressed. The WASH coordination platform is usually not in a position to directly address them, having no operational capacity, few staff or budget available. It should rather inform adequate decision making persons of the identified issues through operational advocacy actions (raise issues in cluster meeting, one-to-one meeting with partners, email communication, etc.), and follow up on their resolution. If advocacy at sub-national level is not successful, WASH sector coordinator can also engage with partner’s capital office, HQ, or donors.

WASH sector coordinator should also seek to build strong partnership with WASH-relevant ministries and other public institution, and with donors, to be in a position to address advocacy actions directly to them when relevant.

**Identify concerns, and contribute to high level messaging and actions**

Some response issues can be caused by factors external to WASH partners: low availability of skilled national personnel or locally available quality material, security issues preventing access or monitoring, non-respect of humanitarian principles by some actors etc. While WASH partners can overcome some of them by adapting their implementation strategies, many others can be solved only by high level actors such as OCHA’s Humanitarian Coordinator (HC) and the Humanitarian Country Team (HCT), who are in direct contact with high level governmental officials, military authorities, UN peacekeepers and donors. The WASH sector coordinator is usually not in direct contact with HC and HCT, but can report pressing issues to the inter-cluster coordinator and/or the UNICEF country representative, who can group concerns from various
Response evaluation

Evaluation is not a priority in first phase emergency response. However, when situation has stabilized, WASH coordination platform is responsible to evaluate if the WASH response has reached its objectives, what worked and what did not work, and when possible measure its impact. The objectives of such exercise is to be accountable towards the affected population and the donors, as well improve future responses through a learning process. Evaluations can be multisectoral, or focusing on one specific sector.

What are the objectives?

- Evaluate if the WASH response has reached its objectives, and use the evaluation result to improve future responses

Multisectoral evaluations

- Key guidance and tools
- Field examples
  - 2014 Typhoon_Haiyan-Real time Evaluation.pdf
  - 2014 CAR Peer review report.pdf
  - 2016 South Sudan IAHE.pdf
- Other tools

Contribute to multisectoral response review & evaluation

In most of the emergency responses, there are no requirement from OCHA regarding multisectoral response evaluations: they are implemented based on request from Humanitarian Coordinator's. However, in the specific case of a System Wide Scale-up Activation (former L3 emergencies), two main evaluation requirements are imposed by the Inter Agency Steering Committee (IASC):

- **Operational Peer Review.** It is an evaluation carried out internally by UN officials 3 months after the beginning of the response, aiming at supporting or reorienting the multisectoral strategy. It is an interagency process, light, brief and collaborative. It is looking forward on how to improve current response. They can be associated to Real Time Evaluation, although methodology may differ.
- **Inter-Agency Humanitarian Evaluation (IAHE).** IAHE are independent assessments of results of the collective humanitarian response carried out by member organizations of the IASC in a specific crisis. IAHE focus on accountability and strategic learning for the humanitarian system. They are usually implemented 12 to 15 months after an system wide scale-up activation

The WASH coordination platform is not directly involved in this process, but will be requested to contribute and provide information, as the other sectors'coordination platform

WASH sector evaluation

- Key guidance and tools
  - 2000 OECD DAC evaluation criteria.docx
- Field examples
  - 2012 Republica Dominicana WASH Coordination review.pdf
  - 2012 Phillipine WASH Lesson learned.pdf
  - 2015 Sudan WASH Sector Evaluation.pdf
  - 2017 TUFT Evaluation WASH on Disease outbreak.pdf
  - 2017 Yemen Cholera response evaluation.zip
- Other tools
  - 2018 GWC Monitor WASH impact on nutrition.docx
Lead the WASH sector response evaluation process

Multisectoral evaluations do not focus on a specific sector, except in specific cases (evaluation of cholera outbreak have a greater focus on WASH and Health; evaluation of drought response focuses on FSL etc.). In some contexts, the WASH coordination platform and UNICEF may find relevant to organize a specific evaluation of the WASH sector response. This has to be differentiated from usual WASH project evaluation, as it is about evaluating the WASH response as a whole, often including an evaluation of the WASH coordination system as well. In the key guidance and tools on top of this page can be found a general methodology to carry out evaluation of humanitarian action (2016 ALNAP Evaluation Humanitarian Action Guide). It is important to involve the GWC when organizing a WASH response evaluation, as it can lead to the production of GWC lesson learned or technical guidance documents (see GWC technical guidance chapter). Depending on the objective and the scope of the evaluation, several specific methodologies can be considered:

**Evaluate response through key informants interview & documentary review**

This is a common type of sector level evaluation. It consists in reviewing cluster's and main partners' projects documents, perform key informant interviews at capital and field level, review data from other clusters related to WASH such as Health and Nutrition, review recent coordination monitoring results and finally draw conclusion on the efficiency, quality and relevancy of the WASH response following certain agreed criteria. The DAC/OECD evaluation criteria, generally used by partners for their project evaluation, can also be used for sector evaluation: Relevance, Effectiveness, Efficiency, Impact, Sustainability (the later can be replaced in emergency by Localization and Humanitarian/Development Nexus).

**Lead a systematic review of WASH partner’s projects evaluation (meta-evaluation)**

WASH partners often implement internal or external evaluation of their projects. A systematic review will gather all partners’ evaluation and extrapolate their results to the whole response. This exercise is feasible if:

- A significant number of partners have evaluated formally their projects
- Partners have used comparable evaluation criteria
- Evaluation are geographically complementary
- Evaluated projects followed HRP/SOF strategy

Consequently, it is critical for the WASH coordination platform to agree with the SAG on an harmonized evaluation protocol, setting up some minimum criteria partners should respect when carrying their evaluation (similar evaluation criteria; robust methodology etc.).

**Lead a response-wide field evaluation**

This is a complete evaluation of the whole WASH sector response, involving interviews and site visit of a representative sample of beneficiaries and WASH infrastructures in the whole country or region where the response took place. Unless the crisis and the response is very localized, this type of sector specific country wide evaluation is rare and challenging, involving considerable resources.

**Evaluate WASH coordination system**

This is usually included in WASH response evaluation exercise, considering WASH coordination as one of the response inputs. The objective is to evaluate whether coordination has been efficient, and which effect it had on the response. Cluster Coordination Performance Monitoring guidance can be used, as well as other indicators such as "time for recruitment/deployment of coordination staff", value for money analysis, achievement of GWC minimum requirement for coordination, and achievement of coordination core functions.

**Coordinate WASH response impact measurement and research**

Although not a priority in emergency, evaluate the impact of the WASH response can be critical to orientate and improve future responses. Obtain evidences of strong impact will also improve fundraising. Emergency WASH response’s overall objective is usually to decrease morbidity & mortality rate, and in lesser extend, protect people’s livelihood, improve protection and child education. Measure the impact of WASH on these outcomes is possible but complex, as many confounding factors will influence them (seasonality of disease, level of education, healthcare environment, food security...). Accurate data are also difficult to obtain in emergency context. Impact measurement should involve setting up of complex research protocols, in partnership with universities and research institutes. It often involves the use of control groups (group of people similar to the one studied but who did not benefit from the intervention), which has some ethical implication, especially in emergency.

Capacity development

**What is it about?**

Building capacities for emergency response is one of the seven functions of the coordination platform. Once WASH needs have been identified, a capacity mapping can be done to evaluate if the WASH sector is able to answer to the identified needs. Based on the findings, capacity development can be done to fill observed gaps.

Getting information on sector capacity must be done before strategic planning phase, to estimate cluster caseload and targets, and to include capacity building targets in the WASH response strategy. But
capacity mapping and development are usually considered as preparedness activities, because they require time and resources usually not available during emergency phase.

**What are the objectives?**

- Identify gaps and strengthen WASH sector capacity to improve emergency response and coordination

**WASH capacity mapping**

**Key guidance and tools**
- 2016 GWC Capacity Mapping At A Glance EN.zip
- 2016 GWC Capacity Mapping At A Glance ES.zip

**Field examples**
- Iraq Example.zip
- Malawi Example.zip
- Yemen Example.zip
- Fiji Example.zip
- Gaza ERP-Plants & Providers.pdf

**Other tools**

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**Coordinate WASH sector capacity mapping and development**

**Implement WASH sector capacity mapping**

Capacity mapping can take various forms, depending on its objectives and time-frame. A standard methodology is proposed by the GWC (refer to the key guidance: 2016 GWC Capacity Mapping At A Glance), presenting the following features:

- It is based on a modular approach, so can be adapted based on time and resource available
- It sets up clear objectives for the mapping, based on the priority needs observed during the needs assessment phase
- It addresses the whole range of capacities used for the response: technical, but also operational and financial
- Capacity of the whole WASH sector can be considered, including local markets and local communities’ capacity, and not only the humanitarian WASH actors

**Set up a capacity development plan**

Map capacities is a mean to end, serving the final objective of improving WASH emergency response priority outputs. Capacity mapping should be followed by the preparation of a capacity development plan, prioritizing and addressing the gaps identified. Prioritization of capacity development actions must be done based on resources available and expected impact of the actions for the response strategy. Each capacity development action should be assigned to a relevant actor, and includes an estimated date of completion.

**Monitor capacity development plan implementation**

Capacity development includes a large variety of actions: organization of technical training, advocacy to partners to strengthen their operational capacity in a priority zone, advocacy to donors to increase their funding, capacity building of local population or authority for emergency preparedness and response etc. The WASH coordination platform should monitor that the capacity development plan is implemented as planned, and report any deviation or delays observed. Some actions can be coordinated by the WASH coordination unit, although it is usually not directly responsible for their implementation.

**GWC training offer**

**Key guidance and tools**

**Field examples**

**Other tools**

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**Use Global WASH Cluster capacity building offer**
The GWC has developed a WASH coordination training pathway for both coordination staff and partners. Presentation of these training are available on this page or on UNICEF learning platform (AGORA), following the links of the below table.

<table>
<thead>
<tr>
<th>Target public</th>
<th>Training name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>WASH coordination staff</td>
<td>Introduction to WASH Cluster Coordination</td>
<td>2h E-learning providing background information on WASH Cluster coordination. For all WASH partners and UNICEF staff wanting general information on WASH humanitarian coordination.</td>
</tr>
<tr>
<td></td>
<td>WASH Coordination Induction</td>
<td>1-2 days E-learning. Provide essential information and tools to coordinate WASH Cluster. Based on GWC Coordination Tool Kit. For WASH partners or new UNICEF WASH staff fulfilling a WASH coordination role. under development</td>
</tr>
<tr>
<td></td>
<td>WASH Operational Coordination training (WOC)</td>
<td>5 days residential training providing operational tools and skills for WASH coordination.</td>
</tr>
<tr>
<td></td>
<td>Leadership and coordination training (LeadCo)</td>
<td>5 days residential training to strengthen the skills for leading humanitarian WASH coordination platform. For expert level Humanitarian WASH cluster / sector coordinators.</td>
</tr>
<tr>
<td></td>
<td>WOC and LeadCo training of trainers</td>
<td>11 days residential training of trainers on both WOC and L&amp;C. Aimed at international consultants &amp; UNICEF senior WASH staff.</td>
</tr>
<tr>
<td></td>
<td>IM training</td>
<td>Under development</td>
</tr>
<tr>
<td></td>
<td>Assessment training</td>
<td>Under development</td>
</tr>
<tr>
<td>Technical trainings</td>
<td>Market Based Programming for WASH in Emergency</td>
<td>5 days residential training. Build the capacity of WASH practitioners and sector coordinators to use market-based approaches (including cash transfer) to achieve WASH outcomes</td>
</tr>
<tr>
<td></td>
<td>Epidemiology and WASH</td>
<td>Understand progression of an outbreak, and monitor &amp; evaluate WASH response</td>
</tr>
<tr>
<td>Partners briefing on coordination</td>
<td>Partners' briefing on humanitarian WASH coordination, Module I &amp; II</td>
<td>2 generic briefing modules of 3h each, providing essential information on partner's roles to actively participate in humanitarian WASH Coordination. To be implemented directly by WASH partners to their staff. For all WASH partners involved in humanitarian response. Also available in arabic</td>
</tr>
<tr>
<td></td>
<td>Partners' briefing on humanitarian WASH coordination, Module III</td>
<td>1 face to face module, 3h. Template to be customized by national WASH Cluster coordinators and used to train groups of partners staff newly deployed to an emergency</td>
</tr>
</tbody>
</table>

**Key web links**

List of key coordination/HPC training and elearning modules

**Preparedness & transition**

**What is it about?**

Preparedness is an essential aspect of the humanitarian action, and one of the core function of cluster coordination. Local communities and authorities must be prepared to the eventuality of a crisis to mitigate its negative impact. Humanitarian actors must be prepared to provide an efficient and timely response, based on experience and lesson from previous emergencies. WASH Sector Coordinators participate in inter-sector emergency planning process, often led by OCHA and including the Red Cross Movement. They must coordinate the preparation and implementation of the WASH ERP with the WASH partners. The ERP process is inextricably linked to capacity mapping and development, and many tools and approaches are the same for both process.

Coordination platform efforts during preparedness should also include the consolidation of lesson learned from recent emergencies to improve future WASH response planning on key areas.

**What are your objectives?**

- Develop a common understanding of risk among all stakeholders
- Establish a system to monitor those risks and ensure early actions are taken when required to mitigate or prevent risks
- Design programs aiming at developing the capacities of the whole WASH sector (partners, communities, local market, local authorities...) to better react to potential threats, including the development of contingency plans
- Ensure that WASH humanitarian actors have proper mechanism and tools to coordinate the WASH response
- Develop relevant information that can be used as the basis for initial WASH response strategic planning
- Use lessons from past emergencies to improve current and future humanitarian WASH emergency response
Building capacity of local authorities to take on WASH humanitarian coordination is part of the general preparedness process led by clusters. Transition from a cluster to a sector-led coordination must be anticipated well in advance, and can only occur once context is stabilized.

At least, you should do...

- GWC Minimum Requirements
  - Hazard identification, risk Assessment and risk monitoring is undertaken as part of the Humanitarian Programme Cycle or on a needs basis.
  - Contingency plans exist for high risk or recurring disasters (for instance: flooding, cholera outbreak, mass displacements).

Click to get the complete list of GWC Minimum Requirements

Navigate in the sub-pages:

**Emergency Preparedness Plan**

- Key guidance and tools
  - 2009 GWC Contingency Planning Tool box.zip
  - 2011 GWC DRR & WASH Guidance EN.pdf
  - 2011 GWC DRR & WASH Guidance ES.pdf
  - 2015 IASC ERP contingency plan template.docx
  - 2015 IASC ERP guidance.zip
  - 2017 GWC ERP at a glance.docx
  - 2017 GWC ERP Guidelines V3.zip

- Field examples
  - 2011 WC Bolivia Plan De Contingencia.docx
  - 2013 WC Columbia Plan De Contingencia.docx
  - 2016 WC Ethiopia Preparedness.pptx
  - 2016 WC Fiji Preparedness Presentation.pptx
  - 2016 WC Somalia Preparedness Presentation.pptx

- Other tools
  - 2007 IASC Contingency Planning.pdf
  - 2009 GWC Checklist for Contingency Planning.doc
  - 2011 IASC Preparedness checklist.pdf
  - 2012 IFRC Contingency Planning guidelines.pdf
  - 2015 IASC ERP training powerpoint.zip
  - 2016 ACAPS Technical_brief Scenario Building.pdf
  - 2016 GWC Emergency Preparedness Poster.pptx

Contribute to the multisector Emergency Response Preparedness (ERP) Plan
As per the IASC guideline, Emergency Preparedness Plan presents two parts:

- **Minimum Preparedness Actions** (MPA): to be systematically implemented in all countries and context
- **Advanced Preparedness Actions and contingency plan**: to be implemented for a specific risk when this risk has become very likely

The development of the ERP plan can be coordinated by OCHA in a cluster activated context. Intersectorial and sectorial ERP task forces should be created. WASH coordination platform must be the link between these two levels.

**Coordinate the design and implementation of Minimum Preparedness Actions with the Inter-sector and the WASH ERP task force**

In all countries and contexts, Minimum Preparedness Actions should be implemented by relevant agencies. They include:

- **Risk monitoring and analysis**: ERP can be defined as a process to manage risk. Risk must be listed and prioritized based on their likelihood and planned impact on human life.
- **Plan standard coordination arrangements** in case of disaster
- **Plan standard for Information management arrangements** in case of disaster
- **Preparations for joint needs assessment** if an emergency occurs
- **Establishment of operational capacity to increase readiness**. This step consists in identifying key WASH and other stakeholders (ERP task force) interested and capable to be involved in the process and create a dedicated group of partners, representative but small enough to be efficient.
- **Mitigate/prevent risk**: To mitigate and respond to the risks identified, an ideal level of capacity is needed from the WASH sector (NGOs, local authorities, local population etc.). The level of capacity of these stakeholders may not be sufficient, and capacity gaps are observed. The coordination platform must map these capacities to identify gaps and strengthen the sector.

**Coordinate the design and implementation of Advanced Preparedness Actions with the Inter-sector and the WASH ERP task force, including contingency plan**

When in a country a particular risk becomes high, it should triggers Advanced Preparedness Actions. They include:

- Reaching out to national counterparts, local partners, communities to coordinate preparedness plans and assess response capacity;
- Deploying appropriate coordination, information management, needs assessments and response monitoring systems and developing a sourcing strategy for priority relief items;
- Organizing simulation exercises to increase readiness to respond;
- **Contingency planning**

A contingency plan is established only when a certain risk becomes likely. They are ideally intersectorial, but are usually composed of several sectorial plan to facilitate the coordination by clusters. A contingency plan will include the following information for the identified specific risk:
• **Situation & Risk analysis**: the identified risk must be monitored. Basic scenarios are developed based on how the expected disaster or emergency will evolve and the likely impact on the humanitarian situation and the corresponding intervention.

• **Response strategy**: what would be the WASH response logical framework analysis in case this risk occurs: objectives, results, activities, indicators

• **Operational delivery**: define what would be the geographical targeting, what would be the preferred aid delivery modality, what are the recommendations regarding using local markets etc.

• **Coordination arrangement**: agreed coordination structure, priority cluster to be activated, relationship with local government or military

• **Operational support arrangement**: arrangement regarding needs assessment, response monitoring, transport of material and team, security aspects

• **Preparedness gaps and action**: follow up on agencies preparedness actions

• **Funding requirements**: what would be the cost of the response, what would be the likely sources of funding, funds prepositioning

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**Monitor and evaluate the WASH part of the ERP plan**

WASH coordination platforms monitor the implementation of preparedness actions by WASH partners, advocate in case delays or gaps are observed and regularly update the WASH ERP. After an emergency, the ERP must be reviewed or evaluated to understand what worked and what didn’t, and improve it.

**GWC technical guidance**

- **Key guidance and tools**
  - 2008 GWC Floods.zip
  - 2009 GWC Emergency WASH Evidence Base.pdf

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**Contribute to and use GWC lessons learned and technical guidance**

**Coordinate production of lesson-learned documents**

Despite the progress made in terms of humanitarian responses standardization and predictability, a large part of it remains context-based, and has not be properly documented yet. Sector capacity building being a cluster core function, it is the responsibility of the WASH coordination team to lead the process in drafting lesson-learned (LL) documents about past or current emergency interventions, to improve future response. LL documents can remain at national level, or fuel GWC global lesson learned process, providing field example and case studies. The production of LL documents is not the sole responsibility of the coordination platform, and partners should be involved.

**Use GWC technical guidance documents to improve WASH response planning on key areas**

Before starting strategic planning process, it is necessary to gather and analyse all available documents relevant to the current crisis and context. Operational and technical guidance documents directed towards partners and coordination platforms are regularly produced by the GWC. They can be used to support the elaboration of WASH Operational Response Plan and Strategic Operating Frameworks.

- The GWC is leading in the global humanitarian WASH coordination lesson-learned process. Lesson learned documents are produced following key developments in humanitarian actions which are further used to guide future responses.
- The GWC is hosting technical working groups working at global level on specific topics (such as Cash and WASH), and producing guidance documents such as technical policies.

Other sources of information than the GWC include the following:

- The WASH operational website set up by the national Coordination platform can play the role of a document library, although this is complicated to maintain during transition from cluster to sector, so information might be lost.
- Many documents about the country and the context is also usually available at the level of the WASH partners.
- Useful documents can also be attached to the Emergency Preparedness Plan, which is a main source of information for planning the response.
- Previous HNO/HRPs and monitoring reports, which can give you a good estimation of which targets can be realistically set up for the current response.

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**Key web links**

**Transition**

- **Key guidance and tools**
  - NWHCP Transition Guidance.zip
Monitor the transition from cluster to sector

As highlighted by the 2012 Transformative Agenda, humanitarian clusters represent a temporary support provided to a country to face an emergency. Clusters must be deactivated as soon as the situation allows it, and sectorial coordination responsibility handed over to national government. Cluster deactivation can be fast in the case of certain countries, and can require several years for others. In any case, the WASH coordination platform must work on a transition plan with national authorities as early as possible.

The GWC transition strategy follows the methodology developed by UNICEF in the “Methodological Process for Strengthening National Humanitarian WASH Coordination”, based on the following steps:

**Map the capacities of the National WASH sector**

- Use the Ten Determinants of the Methodological process (Sector Financial Management, Sector Institutional Structures & Regulatory Framework etc.) as a basis to assess the national context, institutional structures, services and relationships impacting the effectiveness of the nationally-led Humanitarian WASH Coordination processes. Use proposed tools (Inform Risk Index, RACI matrix etc…).
- Identify information sources and collect information (using the tools highlighted in Step 1), mapping institutional structures, interpersonal relationships, communication & information sharing practices and key gatekeepers for each of the Ten Determinants during each stage of the transition planning process.
- Identify key change drivers and bottlenecks for each of the Ten Determinants by analysing the strongest and weakest links in the chain of issues identified for each determinant.
- Analyse causes of bottlenecks starting from decentralised levels of local causes feeding into a national synthesis of sectoral and multi-sectoral cross-cutting bottlenecks.

**Elaborate WASH transition plan**

- Determine corrective and mitigating courses of action at all levels, from local management actions to national strategic policy and budget adjustments.
- Define desired overall National Humanitarian WASH Coordination Outcome and country specific indicators (input, process and output) for each of the Ten Determinants.

**Implement and monitor transition plan**

- Report results according to chosen indicators and generate “real time” reports on the evolution of decentralised and cross-cutting bottlenecks to trigger actions at local, national and global levels.