

Humanitarian Handbook

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a just world.**

trōcaire

Foreword

Trócaire's Strategic Framework 2016 – 2021 charts the organisation's agenda for the next 5 years. Within it, Trócaire aims to improve the quality and scale of Trócaire's humanitarian response. 2015 has witnessed an unprecedented level of humanitarian need. 60 million people are now displaced - the highest since World War II. Conflict and climate-induced disasters continue to create enormous suffering. Humanitarian work is a distinct aspect of Trócaire's work, and yet it is critical in striving to reach our development goals. We must respond to these growing crises.

This first edition of the Trócaire Humanitarian Handbook is a key pillar in improving the quality of Trócaire's humanitarian responses. It is the product of broad inter-department collaboration across Trócaire. The Handbook reflects the determination of Trócaire to improve the effectiveness and quality of our humanitarian assistance and our accountability to all stakeholders.

It is imperative that staff of Trócaire are equipped with the skills, knowledge and tools to respond to humanitarian crises. This is not limited to humanitarian staff members. All countries where Trocaire works are susceptible to humanitarian crises and staff are sometimes called upon suddenly to assist those in need. The handbook is a key tool to help them do so. It enables good quality responses with the aim of making a difference to the lives of people affected by disaster. It is my hope that the standards expounded in this Handbook become the *de facto* standards in Trocaire's humanitarian response for the years to come.

Éamonn Meehan,

Trócaire Executive Director

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Glossary

Accountability: Accountability is the means by which individuals and organisations report to a recognised authority, or authorities, and are held responsible for their actions (Edwards and Hume, 1995). (ALNAP)

The process of using power responsibly, taking account of, and being held accountable by, different stakeholders, and primarily those who are affected by the exercise of such power (Core Humanitarian Standard, 2015).

Advocacy: Advocacy refers in a broad sense to efforts to promote, in the domain of humanitarian aid, respect for humanitarian principles and law with a view to influencing the relevant political authorities, whether recognised governments, insurgent groups or other non-state actors. One could add 'international, national and local assistance agencies'. (ALNAP)

Armed Conflict: A dispute involving the use of armed force between two or more parties. International humanitarian law distinguishes between international or non-international armed conflicts. International armed conflict: A war involving two or more States, regardless of whether declaration of war has been made or whether the parties recognize that there is a state of war. Non-international armed conflict: A conflict in which government forces are fighting with armed insurgents, or armed groups are fighting amongst themselves. (OCHA)

Capacity: A combination of all the strengths and resources available within a community, society or organisation that can reduce the level of risk, or the effects of a disaster. Capacity may include physical means, institutional abilities, societal infrastructure as well as human skills or collective attributes such as leadership and management. Capacity also may be described as capability. (ISDR)

Capacity Building: A process by which individuals, institutions and societies develop abilities, individually and collectively, to perform functions, solve problems and set and achieve their goals. (UNHCR)

Central Emergency Response Fund (CERF): The Central Emergency Response Fund (CERF) is a trust fund with a grant element of up to US\$ 450 million and loan facility of US\$ 50 million. CERF is funded by voluntary contributions from around the world and intended to complement existing humanitarian funding mechanisms. CERF provides seed funds to jumpstart critical operations and life-saving programmes not yet funded through other sources. NGOs do not have direct access to CERF funding. Only UN agencies have direct access to CERF funding. However many UN agencies use international and local NGOs to implement projects that have been funded by the CERF. (CERF)

Cluster: A "cluster" is essentially a "sectoral group" and there should be no differentiation between the two in terms of their objectives and activities; the aim of filling gaps and ensuring adequate preparedness and response should be the same. (IASC)

Complex Emergency: A multifaceted humanitarian crisis in a country, region or society where there is a total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme. Such emergencies have, in particular, a devastating effect on children and women, and call for a complex range of responses. (OCHA)

Conflict: “A social factual situation in which at least two parties (individuals, groups, states) are involved, and who: i) strive for goals which are incompatible to begin with or strive for the same goal, which, can only be reached by one party; and/or ii) want to employ incompatible means to achieve a certain goal.” (Wasmuth, 1996:180- 181). (FEWER)

Contingency Planning: A process of planning to respond to a potential emergency by developing strategies, arrangements and procedures for emergency response by an organisation. It typically involves developing scenarios (anticipating the nature and scale of the emergency), determining the response by an organisation should the scenarios materialise, and defining resources needed to reach those objectives. For Trócaire, contingency planning describes the process of planning for a response to an anticipated emergency in a given country, based on an agreed scenario/s.

Disaster Risk Management: The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.

Emergency: A sudden and usually unforeseen event that calls for immediate measures to minimize its adverse consequences. (UN DHA)

Emergency Preparedness Planning: A process undertaken by an organisation to prepare to respond to any emergency without necessarily identifying its nature and scale and thereby preparing for a humanitarian response to the ‘known’ as well as ‘unknown’. It involves identifying existing capacity and gaps, internal and some external challenges to emergency response, and planning and implementing a series of actions to increase response and reduce gaps in the capacity to respond. For Trócaire, emergency preparedness planning describes the process of analysing and increasing the overall capacity to respond to any emergency.

Emergency Relief: The immediate survival assistance to the victims of crisis and violent conflict. Most relief operations are initiated on short notice and have a short implementation period (project objectives are generally completed within a year). The main purpose of emergency relief is to save lives. (UNHCR)

Famine: Famine is the fifth and last stage of food insecurity on something known as the Integrated Food Security Phase Classification system, or IPC. The stage just before famine is “emergency,” marked by 20 percent of households being “unable to meet basic survival needs even with extreme coping,” such as selling all of their livestock and assets. (Integrated Food Security Phase Classification)

Gender-Based Violence: Violence that is directed against a person on the basis of gender or sex. It includes acts that inflict physical, mental, or sexual harm or suffering, threats of such acts, coercion, or other deprivations of liberty. While women, men, boys and girls can be victims of gender-based violence, because of their subordinate status, women and girls are the primary victims. (OCHA)

Global Acute Malnutrition (GAM): An indicator to assess the severity of malnutrition that provides the percentage of children wasted (GAM), generally among children between 6 to 59 months. It is measured using a weight-for-height index. (UNHCR Technical Glossary)

Indicator: A variable scale on which it is possible to objectively measure different points and that corresponds to, or correlates closely with, variations in the conditions of the refugees and persons of concern.

Information Management (IM): The sum of all activities, collection, processing, organisation and dissemination of information in order to help humanitarian actors achieve their goals in an effective and timely manner. (Global Symposium +5)

Internally Displaced Persons (IDPs): Persons or groups of persons who have been forced or obliged to leave their homes or habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalised violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognised State border. A series of 30 non-binding “Guiding Principles on Internal Displacement” based on refugee law, human rights law and international humanitarian law articulate standards for protection, assistance and solutions for internally displaced persons. (OCHA)

Migration: The movement of a person or a group of persons, either across an international border, or within a State. It is a population movement, encompassing any kind of movement of people, whatever its length, composition and causes; it includes migration of refugees, displaced persons, economic migrants, and persons moving for other purposes, including family reunification. (IOM)

Mitigation: The lessening or limitation of the adverse impacts of hazards and related disasters. The adverse impacts of hazards often cannot be prevented fully, but their scale or severity can be substantially lessened by various strategies and actions. E.g. engineering techniques and hazard-resistant construction as well as improved environmental policies and public awareness.

Preparedness: Effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions. Preparedness aims to build the capacities needed to efficiently manage all types of emergencies and achieve orderly transitions from response through to sustained recovery. Preparedness is based on a sound analysis of disaster risks and good linkages with early warning systems e.g. contingency planning, stockpiling of equipment and supplies, the development of arrangements for coordination, evacuation and public information, and associated training and field exercises.

Prevention: The outright avoidance of adverse impacts of hazards and related disasters. Prevention (i.e. disaster prevention) expresses the concept and intention to completely avoid potential adverse impacts through action taken in advance e.g. dams or embankments that eliminate flood risks, land-use regulations that do not permit any settlement in high risk zones, and seismic engineering designs that ensure the survival and function of a critical building in any likely earthquake.

Protection: All activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and spirit of the relevant bodies of law, namely human rights law, international humanitarian law and refugee law. (ICRC/IASC)

Refugee: A person, who owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, or for reasons owing to external aggression, occupation, foreign domination or events seriously disturbing public order in either part or the whole of his country of origin or nationality, is compelled to leave his place of habitual residence in order to seek refuge outside his country of origin or nationality and is unable or, owing to such fear, is unwilling to avail himself of the protection of his country of origin or nationality. (OCHA)

Response: The provision of emergency services and public assistance during or immediately after a disaster in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected.

Disaster response is predominantly focused on immediate and short-term needs and is sometimes called “disaster relief”. The division between this response stage and the subsequent recovery stage is not clear-cut. Some response actions, such as the supply of temporary housing and water supplies, may extend well into the recovery stage.

Recovery: The restoration, and improvement where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors.

The recovery task of rehabilitation and reconstruction begins soon after the emergency phase has ended, and should be based on pre-existing strategies and policies that facilitate clear institutional responsibilities for recovery action and enable public participation. Recovery programmes, coupled with the heightened public awareness and engagement after a disaster, afford a valuable opportunity to develop and implement disaster risk reduction measures and to apply the “build back better” principle. E.g. improved permanent housing construction, elevated and improved water pumps etc.

Relief: Assistance and/or intervention during or after disaster to meet the life preservation and basic subsistence needs. It can be of emergency or protracted duration. (UN DHA)

Resilience: The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner,

ABBREVIATIONS

including through the preservation and restoration of its essential basic structures and functions. Resilience means the ability to “spring back from” a shock. The resilience of a community in respect to potential hazard events is determined by the degree to which the community has the necessary resources and is capable of organising itself both prior to and during times of need.

Stakeholder: All those – from agencies to individuals – who have a direct or indirect interest in the humanitarian intervention, or who affect or are affected by the implementation and outcome of it. Within the context of the Quality Pro Forma, primary stakeholders refers to both beneficiaries and non-beneficiaries within the affected population. (ALNAP)

Vulnerability: The conditions determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards. For positive factors, which increase the ability of people to cope with hazards, see definition of ‘capacity’. (ISDR)

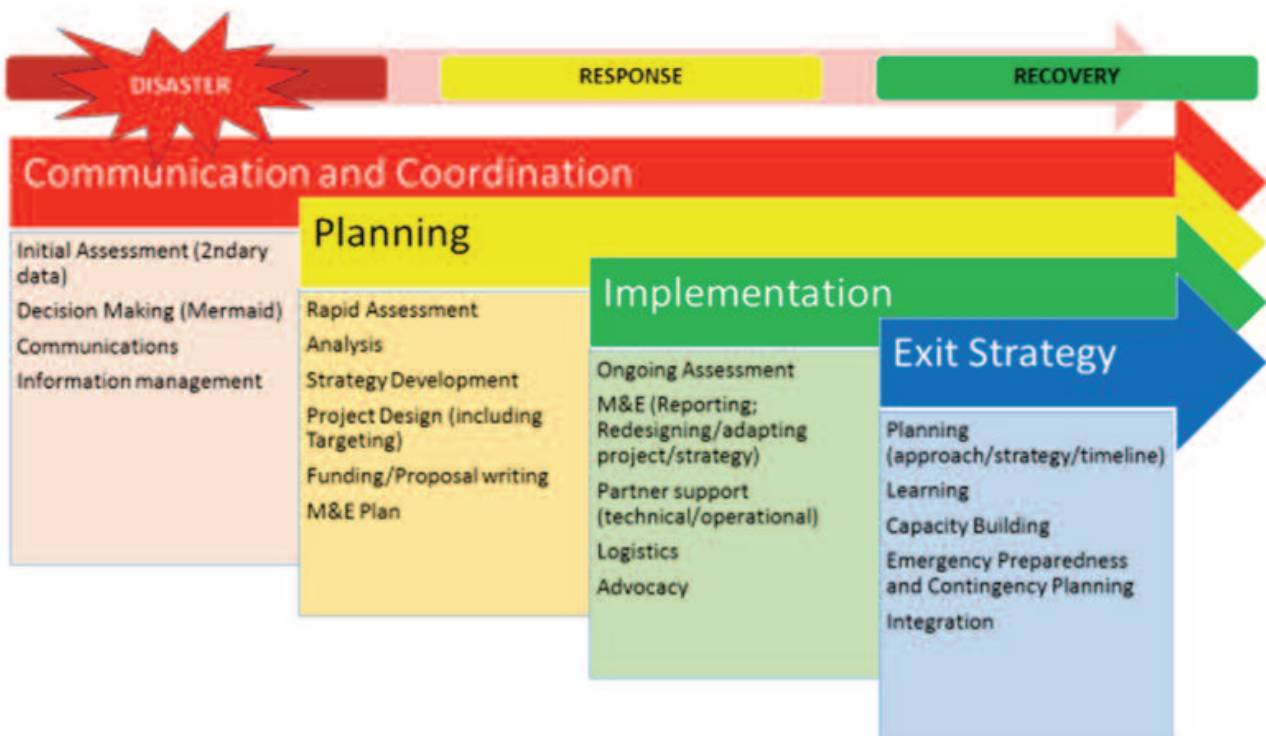
List of Abbreviations

CBO	Community-Based Organisation
CIDSE	Coopération Internationale pour le Développement et la Solidarité
ACAPS	The Assessments Capacity Project
ALNAP	The Active Learning Network for Accountability and Performance in Humanitarian Action
CD	Country Director
CHT	Country Humanitarian Team
CI	Caritas Internationalis
CO	Country Office
CERF	Central Emergency Response Fund
EFSL	Emergency Food Security and Livelihoods
EHAF	Emergency Humanitarian Assistance Fund
ERF	Emergency Response Fund
FEWSNET	Famine Early Warning Systems Network
GAM	Global Acute Malnutrition
GEG	Good Enough Guide
HAP	Humanitarian Accountability Partnership
HCT	Humanitarian Country Team
HO	Head Office (Maynooth)
HPP	Humanitarian Programme Plan

ABBREVIATIONS

HPM	Humanitarian Programme Manager
IFRC	International Federation of Red Cross and Red Crescent Societies
IHL	International Humanitarian Law
INGO	International Non-Governmental Organisation
IOM	International Organisation for Migration
LEGS	Livestock Emergency Guidelines and Standards
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organisation
NFI	Non Food Items
OCHA	UN Office for the Coordination of Humanitarian Affairs
PM	Programme Manager
RTE	Real Time Evaluation
RNA	Rapid Needs Assessment
UNHCR	United Nations High Commissioner for Refugees
UNISDR	United Nations International Strategy for Disaster Reduction
UNICEF	United Nations International Children's Emergency Fund
WASH	Water, Sanitation and Hygiene Promotion
WFP	World Food Programme

Trócaires Emergency Response Flow Chart



Introduction

Central to Trócaires mandate is the commitment to act on the humanitarian imperative and respond to those in greatest need in crises. This handbook aims to guide Trócaire staff in such responses. It spells out Trócaires approach, policies and principles for humanitarian work and offers guidance in designing, implementing and monitoring quality humanitarian programmes.

The audience for this handbook is not confined to humanitarian staff or seasoned field practitioners. At any time, a Trócaire country office can find itself responding to an unpredicted crisis. In such scenarios, this handbook offers direction on what to do and how to do it. The chapters are constructed in line with Trócaires partnership approach and address issues of protection, gender and accountability across the programme cycle.

There are many humanitarian guides, handbooks and toolkits already out there and in use by staff. This handbook articulates Trócaires approach to quality programming. It comes with an accompanying set of tools, checklists, templates and best practice examples. You just need an internet connection to access them. Links are provided in the handbook at the end of most chapters. Some links will bring you directly to the website or PDF document referred to online while other links can be found in the appropriate BOX folder for each chapter. These links will be updated regularly.

A cautionary note: the Handbook is not meant to be a tool or guide to be followed to the letter of the law. No two humanitarian contexts are ever the same. In an emergency, Trócaire staff need to be empowered to use their judgement and make decisions pertaining to the context. The handbook therefore cannot be prescriptive. It is instead a reference and a companion to help inform those decisions.

In the Trócaire humanitarian unit, we will endeavour to regularly update the handbook with the latest guidance, and best practice in the sector. To this end, we would like to encourage staff to provide constructive feedback to the Humanitarian team on the contents and use of the handbook in order to shape and strengthen future editions. We hope this serves you well in your future responses.

Chapter 1: Policies and Principles



KEY POINTS:

- The right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries
- Trócaire applies a rights-based approach to its humanitarian work
- Trócaire commits to the four key humanitarian principles of Humanity, Impartiality, Neutrality, and Independence
- Human Rights Law is applicable to everyone within the jurisdiction of the state in time of peace as well as in armed conflict
- International Humanitarian Law is applicable in time of armed conflict and occupation

Introduction

As an agency rooted in Catholic Social Teaching, the protection of human dignity, together with the alleviation of suffering and saving lives, forms the core of Trócaire's humanitarian mission. Trócaire applies a rights-based approach to its humanitarian work that acknowledges the civil, cultural, economic, political and social rights of individuals and communities, and states' obligations under international human rights law to respect, protect and fulfil these rights.

Principles and Values

Since Trócaire's establishment in 1973, justice has been at the very centre of the agency's work. As an organisation committed to social justice, Trócaire sees the full realisation of human rights as the ultimate goal of development. This is based on the belief that human beings' inherent dignity entitles them to a core set of rights that cannot be given up or taken away. Reflecting our organisational value of solidarity, our programmes accompany those who are vulnerable and marginalised, enable them to participate and ultimately empower them to claim their rights.

Trócaire's humanitarian work is guided by the humanitarian imperative and our adherence to the Sphere Humanitarian Charter and the Code of Conduct for the International Red Cross Movement and Non-governmental organisations (NGOs) in Disaster Relief (1994), underscored by International Humanitarian Law.

Humanitarian Protection Policy

Protection is now considered a core element of humanitarian action, from situations of conflict to natural disaster, and from immediate response in a relief phase to recovery and disaster risk reduction as well. Affected communities need protection of their physical integrity, dignity and psychosocial well-being in addition to material assistance such as food, water, shelter and medical assistance. In 2014 Trócaire developed a Humanitarian Protection Policy. Trócaire's Humanitarian Protection Policy provides a clear statement for Trócaire staff of the organisation's protection commitments. These commitments confirm that Trócaire will prioritise the prevention of *Violence, Discrimination, Coercion and Exploitation and Deliberate Deprivation* in humanitarian responses. The four key Protection Principles which form the basis of Trocaire's approach to humanitarian programming are **Do no Harm, Equality and Impartiality, Accountability to Beneficiaries** and **Participation and Empowerment**.

Partnership Policy

Trócaire has adopted a partnership approach to its work since the organisation was founded by the Irish Catholic Bishops in 1973. The decision to work in partnership with other organisations rather than taking a direct operational approach, is based on the core values of solidarity, participation and subsidiarity from Catholic Social Teaching, and also reflects the approach of many of Trócaire's sister agencies in the CIDSE and Caritas networks. This means that we strive to work in partnership with colleagues and partners, involving and consulting with them and listening and responding to their needs, based on a foundation of mutual understanding, respect and responsibility. The principle of subsidiarity in Catholic Social Teaching refers to the need to implement programmes / activities in society at the lowest possible level and closest to the people, rather than dictated from above. Taking this approach, Trócaire ensures that assistance is rooted in the needs of local communities, is culturally sensitive, and minimises dependence on humanitarian aid. This handbook aims to articulate humanitarian project cycle management through a partnership approach.

Safeguarding

Underpinning the organisational values of accountability and the protection of human dignity, in 2012 Trócaire developed a policy to safeguard all programme participants involved in Trócaire's work against the risk of exploitation or abuse. Trócaire does not

tolerate exploitative or abusive behaviour by anyone associated with the implementation of its work and highlights this as a core commitment in the organisation's Stakeholder Accountability Framework. Trócaire recognises that women, men, girls and boys in certain contexts may be considered more vulnerable to exploitation and abuse than others, and makes every effort to eliminate such risks from our programmes.

Accountability Framework

In 2013 Trócaire developed a Stakeholder Accountability Framework to make explicit Trócaire's accountability commitments. For Trócaire, accountability means taking account of our commitment to justice and directing our efforts to be a transparent, responsible and high performing organisation; one that recognises and responds to the expectations placed on us by all our stakeholders. Trócaire's core Accountability commitments are

1. Values of solidarity, participation, perseverance, courage and accountability
2. Partnership, Solidarity and Subsidiarity
3. Transparency and Information Sharing
4. Participation and Feedback
5. Safeguarding and Complaint Handling Mechanisms
6. Programme Quality
7. Learning and Continual Improvement

The Humanitarian Principles¹ and the Code of Conduct²

Trócaire commits to the four key humanitarian principles of Humanity, Impartiality, Neutrality, and Independence which provide the fundamental foundations for humanitarian action. The humanitarian principles are derived from the core principles guiding the work of the International Committee of the Red Cross and the national Red Cross/Red Crescent Societies (humanity, impartiality, neutrality, independence, voluntary service, unity and universality).

Humanitarian principles provide the fundamental foundations for humanitarian action. Humanitarian principles are central to establishing and maintaining access to affected populations whether in the context of a natural disaster, an armed conflict or a complex emergency.

¹ Section on Humanitarian Principles adapted from: https://docs.unocha.org/sites/dms/Documents/OOM_Hum_Principle_English.pdf

² Section on the Code of Conduct adapted from: <http://www.ifrc.org/en/publications-and-reports/code-of-conduct/>

Humanity	Impartiality
Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.	Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
Neutrality	Independence
Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.	Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

The right to receive humanitarian assistance, and to offer it, is a **fundamental humanitarian principle** which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed. Hence the need for unimpeded access to affected populations, is of fundamental importance in exercising that responsibility. The prime motivation of our response to disaster is to alleviate human suffering amongst those least able to withstand the stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such.

The Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, is a voluntary code of conduct which was developed and agreed upon in 1994. It lays down a set of principles which humanitarian actors should adhere to in their disaster response work, and describes the relationships that agencies working in disasters should seek with host governments, donor governments and the UN system. The purpose of the Code is to ensure that high standards of independence, effectiveness and impact to which signatory parties aspire, are maintained. Trócaire is a signatory of the Code of Conduct. The International Federation keeps a public record of all the humanitarian organisations that become signatories of the code³.

³ List of signatories can be found here: http://www.ifrc.org/Global/Documents/Secretariat/Code%20of%20Conduct%20UPDATED_MAY%202015.pdf

The ten principles of the Code of Conduct are:

1. The humanitarian imperative comes first.
2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind.
3. Aid priorities are calculated on the basis of need alone.
4. Aid will not be used to further a particular political or religious standpoint.
5. We shall endeavour not to act as instruments of government foreign policy. We shall respect culture and custom.
6. We shall attempt to build disaster response on local capacities.
7. Ways shall be found to involve programme beneficiaries in the management of relief aid.
8. Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.
9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.
10. In our information, publicity and advertising activities, we shall recognise disaster victims as dignified human beings, not hopeless objects.

International Law in Humanitarian Contexts

International Law in Humanitarian Contexts is important for Trocaire's work in Humanitarian crisis as it establishes rules to protect people during times of crisis. International Law dictates that people affected by crisis are afforded specific rights and that their basic needs are being met, making it an important safeguard against abuses and the basis upon which we build our humanitarian programmes.

It is important to distinguish between International Human Rights Law and International Humanitarian Law (IHL). They are distinct bodies of law and, while both are principally aimed at protecting individuals, there are important differences between them. IHL is applicable in time of armed conflict and occupation. Conversely, human rights law is applicable to everyone within the jurisdiction of the state concerned in time of peace as well as in armed conflict.

**TIP BOX:**

A solid understanding of legal frameworks in each context should inform humanitarian programme development – this should form part of the context analysis

In any country or any context, humanitarian organisations operate under a legal framework and may have to comply with layers of legal requirements at different levels. It is important that Trócaire staff in humanitarian contexts understand the legal framework in which they are operating. The below table summarises the relevant types of law and the contexts in which they are applicable.

Types of Law		
International Human Rights Law	International Humanitarian Law	International Refugee Law
<p>Defines the rights that we have as human beings</p> <p>Applies to all human beings in any setting</p>	<p>Provides the legal foundation for the protection of civilians</p> <p>Applies only in armed conflict settings</p>	<p>Aims to protect the persons seeking asylum from persecution and those recognised as refugees</p>

International Refugee Law is a body of International Law that offers protection to people who seek asylum from persecution, and those who have been recognised as refugees.

The 1967 Protocol Relating to the status of Refugees defines a refugee as a person who:

- is outside his/her country of nationality or habitual residence,
- has a well-founded fear of persecution because of his/her race, religion, nationality, membership in a particular social group or political opinion, and
- is unable or unwilling to avail him/herself of the protection of that country, or to return there, for fear of persecution.

International Humanitarian Law

International humanitarian law (IHL) is a set of rules which seek, for humanitarian reasons, to limit the effects of **armed conflict**. It protects persons who are not or are no longer participating in the hostilities and restricts the means and methods of warfare. International humanitarian law is also known as the law of war or the law of armed conflict. International Humanitarian Law spells out the responsibilities of states and non-state parties during armed conflict. This law defines basic issues such as the right to receive humanitarian assistance, protection of civilians, including medical and humanitarian workers, and the protection rights of refugees, women and children.

IHL is applicable to humanitarian assistance and protection of civilians. In addition to treaty law, some obligations have also developed into customary international law, i.e. are based on state practice accepted as law. These include rules on the rapid and unimpeded passage of humanitarian relief and the freedom of movement of humanitarian relief personnel.

The Sphere Project

In its commitment to quality and accountability, Trócaire strives to meet the standards established by Sphere. The Sphere Project was initiated in 1997 by a group of NGOs and the International Red Cross and Red Crescent Movement to improve the quality of their actions and assistance provided to disaster affected populations. The project was based on two core beliefs: those affected by disaster or conflict have a right to life with dignity and, therefore, a right to assistance; and second, that all possible steps should be taken to alleviate human suffering arising out of disaster or conflict.⁴

The Sphere Project complements the non-discriminatory principle of needs based assistance enshrined in the humanitarian principles with the concept of rights-based and people-centred assistance. The project's principle achievement has been the development of the Humanitarian Charter and the Minimum Standards in Disaster Response. These are contained in the Sphere Project Handbook.⁵

The Livestock Emergency Guidelines

Where appropriate Trócaire also strives to adhere to The Livestock Emergency Guidelines and Standards (LEGS), a set of international guidelines and standards for the design, implementation and assessment of livestock interventions to assist people affected by humanitarian crises. LEGS aims to improve the quality of emergency response by increasing the appropriateness, timeliness and feasibility of livelihoods-based interventions. LEGS is a formal companion to the Sphere Project's Humanitarian Charter and Minimum Standards in Humanitarian Response⁶.

The Core Humanitarian Standard

Trócaire endeavours to meet the Core Humanitarian Standard on Quality and Accountability (CHS). The CHS, a single core standard (bringing together various standards), sets out Nine Commitments that organisations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide. It has been devised to clarify the responsibilities of aid workers, make the implementation of humanitarian standards simpler and easier, and contribute to better humanitarian responses⁷.

⁴ The Sphere Handbook, p.4

⁵ The Sphere Handbook can be downloaded at: <http://www.sphereproject.org/handbook/>

⁶ The Livestock Emergency Guidelines and Standards: <http://www.livestock-emergency.net/>

⁷ The Core Humanitarian Standard: <http://www.corehumanitarianstandard.org/>

The “Do No Harm” Approach

Trócaire’s ‘Do no harm’ approach means that we undertake to monitor the intended and unintended impact of Trócaire and partner activities in order to eliminate negative impacts or increase positive impacts.



LINKS:

Trocaire Accountability Framework

Trocaire Humanitarian Protection Policy

Trocaire Code of Conduct

Trocaire Safeguarding policies: For International Programmes, Partner Guide, Employee Guide

Trocaire Partnership Policy

Guidance Note 4: Partnership in Emergencies

Chapter 2: Needs Assessment



KEY POINTS:

- Needs Assessments ascertain the extent of the disaster's impact, the needs and risks of the affected population and to provide information on the vulnerabilities and capacities of different groups as well as the type of assistance that Trócaire and its partners are best positioned to provide to fill the gap between needs and capacity to cope
- 'Different Groups' may refer, for example to: women, men, girls, boys, youth and older persons, as well as persons with disabilities and specific minority or ethnic groups without distinction
- Needs Assessments are an ongoing process which should be repeated regularly during different phases of the response
- At the onset of a sudden emergency, assessments will normally be undertaken in the following three stages: initial, rapid and in-depth
- When a disaster strikes, Trócaire and partners should assess the needs of the affected population as soon as possible. In the early phases, you should not wait to have the perfect assessment. Take a "good enough" (i.e. quick & simple) approach
- Protracted and slow-onset emergencies also require Needs Assessments at different stages
- Although all types of assessments provide information on the needs of affected populations, their timing, data collection methods and level of detail vary considerably
- Common inter-agency/ inter-sectoral needs assessments can help to develop a better joint understanding of needs, capabilities, and appropriate response
- The findings of assessments performed at each stage of the emergency will trigger different types of interventions

Introduction

Trócaire is committed to the provision of humanitarian assistance on the basis of need in a way that promotes **safety, dignity**, and **meaningful access** and that is **accountable** to the most vulnerable people and communities that we serve. Designing and implementing a needs assessment with partners is a critical first step in determining humanitarian needs and developing a response in line with humanitarian principles. Through the needs assessment Trócaire and partners gather essential data on the needs, the operating context and engagement with local communities and other humanitarian actors. For example:

1. What is the background context and nature of the emergency?
2. What is the scale and impact of the disaster on women, girls, boys and men?
3. Who and where are the people affected by the crisis and what conditions are they facing?
4. How is the situation evolving?
5. What unique conditions define the emergency situation?

During needs assessments it is also crucial to start collecting information on the potential safety, dignity and access issues facing those affected by the emergency according to their sex, age, and other diversity factors, such as disability or ethnicity (see the SAD-SAD tool).

It is important to recognise that **there are no off-the-shelf** Needs Assessments. However there are various tools and templates to help design an assessment most appropriate to different crisis situations and contexts.

What is a Needs Assessment?

Needs Assessment is the process of collecting and analysing information to identify and measure the humanitarian needs of a disaster-affected population in order to determine how Trócaire and its partners can respond effectively and in a way that promotes **safety, dignity** and **meaningful access**.

Why is a Needs Assessment important?

In emergencies, Needs Assessments make good decision-making possible. Their principal **purpose** is to ascertain:

1. Whether **additional emergency assistance is needed** by assessing and analysing, with partners and the affected communities, the gap between the priority needs of affected populations and their own capacity to respond, either independently or through government and other local actors/organisations.
2. The type of emergency assistance that would be most appropriate and the way in which it can be provided to promote **safety, dignity** and **access**.
3. What programme activities (taking into account the organisation's capacities and constraints) Trócaire and its partners can implement to bridge the gap between the needs and coping capacities of the affected population.

Information obtained through needs assessments is **also useful** to:

1. Develop **quality programming** and start the cycle of learning and analysis throughout the PCM (Project Cycle Management).
2. Develop the **right advocacy messages**.
3. Design **future assessments** with more detail.
4. Ensure the **effective monitoring and evaluation** of programmes, as well as for accountability.
5. Identify needs, threats, vulnerabilities and capacities from a protection lens.
6. **Prepare proposals** for funding opportunities.

When does a Needs Assessment take place?

At the onset of a sudden emergency, assessments will normally be undertaken in the following three stages:¹

1. **Initial Assessment.** The Initial Assessment should take place as soon as possible. Typically the first assessment is carried out in the first 24-48 hours following a disaster.
2. **Rapid Assessment.** The Rapid Assessment should take place 2-5 days following the disaster. It is often the first assessment actually conducted in the field.²
3. **In-depth (or detailed) Assessment.** This type of assessment takes place in the first month (6-30 days) following the disaster. The purpose of a detailed assessment is to obtain a more in-depth understanding of the situation.

¹ The assessment process will vary depending on the scale and the immediacy of needs, as well as on the experience and capacities of the national and local governments, other organisations and existing systems. (World Food Programme, 2002).

² Caritas Internationalis, Needs Assessment Guidance Note

Trócaire staff should plan to join assessments in the field with partners if possible and when appropriate to strengthen partner capacities. Staff may help facilitate the assessment process, develop the tools and methodology, gather and analyse data, and draft the report in collaboration with partners. There should be no delay in responding quickly to affected population's needs in the event of a rapid onset emergency. However, even though moving at a fast pace, it is always Trócaire's responsibility, at the very minimum, to **do no harm** in the first few days or weeks of our response.

**TIP BOX:**

A quick response to obviously urgent needs must never be delayed because a comprehensive assessment has not yet been completed.

Protection principles and standards should be mainstreamed throughout the needs assessment as good practice (see annex for protection data collection tools specific to protection mainstreaming).

**TIP BOX:**

The name and type of assessment can differ from context to context, organisation to organisation (preliminary, rapid, initial, detailed, damage etc..) – the important thing to remember whichever assessment is used, is that accurate data is gathered to identify the needs, gaps and type of assistance required.

Types and Steps of Needs Assessment for Sudden Onset Disasters

	Initial Assessment (1-2 days)
STEP 1 – collecting existing data	<p>Collect pre-disaster information to assess changes in context caused by the disaster. Review secondary data collected by others</p> <p><i>Sources:</i> www.reliefweb.int; www.unocha.org; http://www.fao.org/giews/english/index.htm; www.fews.net; seasonal assessments</p>
STEP 2 – contacting stakeholders and collecting field data	<p>Solicit information from national authorities, international organisations and local partners (both humanitarian and non-humanitarian). Cross-check information.</p> <p>No need/time to collect field data.</p>
STEP 3 – analysing and presenting information	<p>Analyse pre-disaster and secondary information together with partners. Estimate impact.</p>
OUTPUT	<p>A rapid, brief and general assessment that provides management with enough evidence to inform partners and Trócaire about the scope of the emergency and primary relief needs.</p>

Prior to the assessment: 1. Identify the specific decisions the assessment will help you with.
2. Coordinate with other agencies (local and national authorities, UN Agencies, local and international NGO partners) to increase your ability to get information from as many localities as possible as quickly as possible and to ensure no duplication

	Rapid Assessment (2-5 days)	In-Depth Assessment (one month)
	Expand secondary sources. This could include Initial Assessments and Rapid Assessments already conducted by other organisations. It could also include data sources such as the national census. This can give you an initial overview of the demographics of the context.	The results of joint needs assessments such as the UN inter-cluster MIRA (Multi-Cluster/Sector Initial Rapid Assessment) may be available and should be included in the review to add depth and different angles. <i>Sources:</i> https://www.humanitarianresponse.info/assessments
	Encourage partners to either engage/participate in joint assessments or conduct their own. Help partners carefully plan the assessment , selecting the appropriate team and methodologies. Information on Trócaire and the partner organisation as well as the needs assessment process should be shared with communities and local organisations, authorities etc. Be clear about what the process means for communities and manage their expectations. Collect information at community level, disaggregated at a minimum by sex and age.	Plan and conduct primary data collection in the field. Surveys must have a clear focus and be tested before being conducted with the entire sample population. As much as it is practical and possible, consult and involve women and men in the community in this process to identify any concerns they have regarding their safety or potential barriers to accessing assistance, as well as their vulnerabilities and capacities. Collect quantitative and qualitative information at household level.
	Together with partners, clearly identify priority needs, sectors and locations . What is Trócaire and our partners added value?	Sex and age disaggregated data are calculated , not estimated. Identify and include the most vulnerable groups in communities (sick, disabled, elderly, IDPs, pregnant, female or child-headed households, etc.)
	Trócaire and partners have a clearer understanding of the humanitarian crisis to strengthen the future strategy and enhance project proposals.	Trócaire and partners have a solid basis for project proposals, strategy development and results measurement

Slow-onset emergencies provide humanitarian actors more time to prepare to respond to the anticipated disaster; the Needs Assessment approach therefore differs from the one adopted for sudden onset emergencies. The following are key elements to keep in mind:

1. An analysis of baseline information is particularly important to understand the needs, risks, and vulnerability of the population and their coping capacities. In many countries, baseline information will already be available in the country programme strategy or can be found in the seasonal/rolling assessments conducted by the national government though UN support.
2. Strengthening linkages to early warning or food security monitoring systems will then enable Trócaire to flag areas where there is a risk of deteriorating livelihoods and/or food security or where the food security situation is already deteriorating. If more detailed information is needed then a rapid assessment can be carried out in the relevant areas.
3. The Needs Assessment methodology will have to principally focus on livelihoods, DRR and preparedness aspects as its purpose will be to estimate the amount and types of resources needed to **avert** a humanitarian crisis rather than to **respond** to one.

Protracted Crisis also provide humanitarian actors with time to conduct in-depth needs assessments or baselines at the beginning of the project cycle. Because protracted crisis can last for many years, regular needs assessments are encouraged for each iteration of the project cycle.

It is useful to keep in mind that identifying the needs of a disaster-affected population is an iterative process, not a one-off event. Other assessments and monitoring plans will follow as the emergency develops and needs evolve so that regular information on the situation, needs and gaps inform the emergency response.

Needs assessments are conducted by a range of actors in an emergency. Coordination mechanisms applied to Needs Assessments differ depending on the phase and nature of a crisis. Trócaire and partners should as much as possible coordinate with these mechanisms and attend cluster meetings for the sectors they work in or could potentially work in. A **Multi-Cluster/Sector Initial Rapid Assessment** (MIRA) is coordinated and shared by OCHA and is usually undertaken during the first two weeks following a large scale, sudden onset disaster, and is followed by joint or harmonised intra-cluster/sector in-depth assessments.

Trócaire staff and partner engagement with the UN humanitarian system and local authorities in advance of an emergency will facilitate good coordination, information sharing and potential funding opportunities in the event of a disaster.

Guiding Principles of Needs Assessments

Assessments necessarily involve a trade-off between speed and accuracy of the information. In the early stages, you should not wait to have the perfect assessment. **Take a “good enough” (i.e. quick & simple) approach.**

1. **Timeliness.** Information and analysis should be provided in time to inform key decisions about a response. Typically, the initial assessment should be instigated as soon as possible after identifying the emergency (within 24–48 hours of a rapid-onset emergency).
2. **Relevance.** Only information that is relevant to inform key decisions should be sought out and acquired. While assessments should provide a multi-sectoral view of the emergency, limitations in terms of time and team composition, especially in the early stages, may oblige Trócaire and its partners to focus on the sectors where they hold reliable technical expertise. In such cases, partnerships with other organisations should be sought to expand the technical scope of the assessment. The design of the Needs Assessment and the methodology used should lead to objective conclusions that do not reflect the bias (political, social or economic) of any stakeholders, agencies, groups or individuals.



TIP BOX:

Cross-sectoral coordination: assess the sector where you have better expertise, but don't forget to acquire the big picture by asking other organisations to share their assessments' findings or you will risk missing important linkages. For instance, conducting an assessment on the nutrition sector without exploring the links with the health and WASH sectors would lead to a partial and likely misguided interpretation of the priorities. Equally information from the protection cluster can be used to build up a picture of the protection context and enable you to adapt your programming to mitigate against protection risks.

3. **Coverage.** The scope of the Needs Assessment should reflect the scale and nature of the emergency³ and should cover disaster-affected target groups within the affected population. Taking into account the operating environment (local hazards, access and security factors), special efforts must be made to assess the needs and safety concerns

³ For information on sampling see tool 7 (How do I collect primary data) and tool 8 (How do I select affected sites and vulnerable groups) in the Humanitarian Needs Assessments The Good Enough Guide (ACAPS 2014)

of people in hard-to-reach locations. The same principle applies to vulnerable or marginalised people not easily accessed and at high risk, such as persons with disabilities, older people, housebound individuals, children and youth or people from specific minority or ethnic groups.⁴ When considering coverage, it is important to remember that, especially in the early stages, the assessment should not be overextended. It should be wide enough to indicate the full situation but narrow enough to be manageable.⁵

4. **Transparency.** Assessments should be made available to all stakeholders including local authorities and the affected population, or representatives thereof. Staff should be explicit about the assumptions made, methods used and information relied on to reach conclusions, and about the limits of accuracy of the data used and what the limits of their response will be.

Urban vs. Rural Needs Assessments

Recent crises like the 2010 Haiti earthquake, the Syrian conflict and the Ebola epidemic have clearly shown the importance of fine-tuning Needs Assessments to urban contexts. It is important when planning assessments in urban areas, the assessment team is aware of the diversity and complexity found in urban contexts and the extent to which these will influence the assessment's information requirements.

Rural	Urban
Homogeneous	Highly Heterogeneous
Limited diversification of Livelihoods	Livelihoods are highly diversified
Grow their own food	Buy food on the market
Income generating opportunities are limited	Wide range of job opportunities in the formal and informal sector
Low cost of living	Higher, more diversified cost of living (rent, utilities, transport, etc.)
Predictable work schedule, tied to agricultural season	Erratic work schedule
Limited access to technology and means of communication. Sometimes outside of mobile phone network	Greater access and familiarity with cell phones, computers, Internet, television, etc.
Live in small communities	Dispersed and mixed with non-target population

⁴ It may not be possible to immediately assess all those affected; excluded areas or groups should be clearly noted in the assessment report and returned to at the earliest opportunity.

⁵ Humanitarian Needs Assessment, The Good Enough Guide (ACAPS 2014)

More than 50% of the world's population live in urban areas and this is expected to reach 70% by 2050⁶. As a result more and more people in urban areas are affected by humanitarian crisis. Adapting needs assessments to urban contexts is critical given the different population density, financial, security and administrative implications.

**LINKS:**

Trocaire Guidance on Rapid Needs Assessments

Trocaire Needs Assessment Report Template

Humanitarian Needs Assessment - The Good Enough Guide

Data collection tools - Protection

Sector Specific Questions for Protection Mainstreaming

ACAPS technical brief on Rapid Humanitarian Assessments in Urban Settings <http://www.acaps.org/img/documents/r-acaps-technical-brief-rapid-humanitarian-assessment-in-urban-settings-apr-2015.pdf>

GUIDE: Sex and Age Disaggregated Data (SADD)

⁶ UN Habitat 2008

Practical Checklist for Needs Assessment



DO

- ☒ Start the assessment as quickly as possible.
- ☒ Work closely with partners from the beginning.
- ☒ Identify focal point, frequency and means of communication with partners.
- ☒ Take a 'good enough' approach and be accountable to the community, partners and to our organisation.
- ☒ Assess the protection context (risks, threats, vulnerabilities and capacities)
- ☒ Work closely with the affected community and consult women and men including from marginalised groups on their needs.
- ☒ Coordinate with government, community representatives and NGOs. Consider a joint assessment with other agencies.
- ☒ Start providing aid while assessment is going on if possible.
- ☒ Set up a simple feedback mechanism for the community to alert the partner and Trócaire to any issues/ problems that might arise during the Needs Assessment

PREPARATION

- ☒ Set clear aims for the needs assessment and methodologies to be used in the terms of reference.
- ☒ Use methods that allow quick analysis of results.
- ☒ Choose geographic areas to assess based on likely needs and reported impact of the disaster, as well as Trócaire's and partners' capacity.
- ☒ Form a gender balanced team with a good range of hard and soft skills, knowledge, gender sensitivity and language.
- ☒ Give team members clear roles and responsibilities and make it clear who the team leader is.
- ☒ Analyse security risks and take steps to keep the assessment team and target communities safe.
- ☒ Organise logistics and administrative support, e.g. travel permits, means of communication (phones, radios, satellite phones etc.), transport, cash, and equipment.
- ☒ Share information about your organisation and the Needs Assessment being carried out with the communities where you will be carrying out the assessment. Ensure the communities expectations are managed.

IN THE FIELD

- ☒ Support partners to contact stakeholders and collect field data if necessary. Being engaged at this stage will facilitate data analysis.
 - ☒ Get vital information about humanitarian needs, responses so far, vulnerabilities and capacities and operating conditions.
 - ☒ Involve disaster-affected women and men from disadvantaged or marginalised groups in the assessment. Ensure they are consulted separately by male or female staff as appropriate.
 - ☒ Get information from as many sources as possible.
 - ☒ Use suitable collection methods—interviews, focus groups, observation, etc.
 - ☒ Use checklists and assessment formats to focus information collection.
-

ANALYSIS AND REPORTING

- ☒ Analyse as efficiently as possible the data you collect, and make sure to save and present the data in a way that new data can be added in later.
 - ☒ Consider 'do no harm', conflict sensitivity and gender analysis approaches.
 - ☒ Recommend what Trócaire's and partners' response should be and how to implement it.
 - ☒ Make a written report of your findings and include related proposals, plans, budgets etc.
 - ☒ Share the report with stakeholders—disaster-affected communities, donors, partners and peer agencies.
-

DON'T

- ☒ Focus so much on assessment that you delay providing urgent relief.
 - ☒ Duplicate the work of other agencies and overburden communities with assessments.
 - ☒ Collect information you don't need and won't or can't analyse.
 - ☒ Fail to perform quantity of analysis required to make the best recommendations.
 - ☒ Mislead or misinform the community during assessment, making false promises.
 - ☒ Put respondents at risk by asking unethical questions, personal, highly politicised, ethnically or religiously related etc.
 - ☒ Create expectations among communities – always be clear/transparent on the purpose of the assessment and how the information will be used.
-

Chapter 3: Strategy Development



KEY POINTS:

- The first Humanitarian Response Strategy should be developed by the country office in the week of an emergency (and approved after no later than 3 weeks)
- Country offices may have an existing Humanitarian Response Strategy and ongoing humanitarian projects or they may have created an Emergency Preparedness Plan (EPP) to prepare for emergencies. In the event of a new unpredicted crisis, the existing humanitarian strategy should be updated and/or the EPP should be rolled out
- The Humanitarian Response Strategy is a “live” document that should be expanded and revised as new information becomes available
- The Humanitarian Response Strategy should be based on the assessment of partners’ capacity and priority needs of the affected population
- **Protection, gender and accountability** should be key focus areas as well as building in approaches to help reduce the risk of future disasters
- The Humanitarian Response Strategy should define Trócaire objective(s) for the response and how it will be achieved
- It should be realistic, scalable and operational (by partners)
- Priorities should be clearly identified
- Human and Financial resources should be considered as well as security concerns
- Make sure to refer to Trócaire’s internal procedures for templates and approval processes for strategies through the links at the end of this chapter

Introduction

The response strategy is the foundation of Trócaire's response to a humanitarian crisis. The strategy should be inspired by the vision of the organisation as spelled out in "Trócaire's Strategic Plan 2016-2021" and **rooted in the assessment of partners' strengths and capacity as well as the priority needs** of populations affected by the crisis. The strategy is the general framework for designing programmes and it should include support requirements and identify risks, operational constraints and associated mitigation measures.



TIP BOX:

A **Humanitarian Response Strategy** should be prepared within 72 hours and/or after completion of a rapid assessment in response to a sudden crisis. The Trócaire team can continue to add more to this first draft strategy (a basic outline) as more information is acquired.

Response Strategy

Trócaire's emergency response must be based on a clear strategy that focuses on priority needs.¹ It should guide Trócaire and the partner(s) to structure the response activities in the immediate aftermath of an emergency, and meet international quality standards². A good strategy can also be used to:

- Provide Trócaire Head Office with information on the scope of the emergency and the office's planned operational response
- Inform partners, the host government, and other relevant stakeholders
- Facilitate access to funding and developing proposals

The country office should begin to develop a Humanitarian Response Strategy **in the first week** of an emergency and based on initial and rapid needs assessment³. The Strategy must be finalised and approved within 3 weeks (see links at the end of this chapter). The approach should be **based on anticipated needs as well as on Trócaire's and partner capacity and expertise**.⁴

¹ Trócaire is a rights based organisation and the identification of priorities should reflect that. Trócaire's humanitarian priorities emphasize protection, gender and accountability. When developing a strategy you should consider partner priorities and technical expertise/experience.

² These include Sphere Standards and those of Caritas International.

³ Where there is no Country Office support from Head Office will be required to develop a strategy.

⁴ Anticipated needs must be compared with available capacity so that gaps may be identified and plans made to fill the gaps.

Ideally country teams should present an outline of a response strategy based on an already developed Emergency Preparedness Plan and/or a pre-existing humanitarian strategy.⁵ The response should aim at complementing the work of other agencies, while fully exploiting the added value that Trócaire and its partners can provide.



A quality strategy document is **realistic** about the capacity of the organisation and its partners to provide assistance to disaster-affected populations. The commitment of financial and human resources should be carefully weighed against the proposed response to ensure adequate support and resources are allocated. It is better to over resource a response in the initial stages following a crisis, rather than under resource a response in the emergency phase, which is generally the most critical period.

The strategy should also be **scalable** so that the response can be expanded or reduced if circumstances or understanding of the situation changes. Starting small with one or two partners in a specific area and where quality and impact can be assured is preferable over delaying a response in order to launch a larger or broader response⁶.

Similarly, setting clear **priorities** helps the organisation to effectively use its limited resources. Finally, a quality strategy should be **practical** and focus on **operational** issues. Considering these factors the Strategy should outline a tentative time frame for the different stages and phasing of the response. A specific exit strategy⁷ should be formulated at a later stage.

⁵ If a pre-existing humanitarian strategy exists, this can be updated to reflect the new situation or change in approach. See the Humanitarian Management Guide for further guidance.

⁶ This is particularly important for country offices that do not have a humanitarian programme or humanitarian partners

⁷ See Exit strategy chapter for more information on how to plan an exit strategy

A strategy document should assess possible risks from Trócaire's response and identify actions to **mitigate and manage risks**. The risks analysed should include both the external environment - programme participants, host communities, partners and the internal environment - Trócaire staff, assets and programmes and take into consideration Trócaire's **do no harm** approach⁸.

Key Elements of an Effective Response Strategy

Purpose: Define the Strategy's Objective(s) and Outline the Plan to Achieve it/them

Based on:	<ul style="list-style-type: none"> • Needs Assessment • Partners' capacity to respond (SWOT analysis – Strengths, Weaknesses, Opportunities, Threats) • Country Office capacities including resources available • Head Office technical support services and surge capacity
Aligned to:	<ul style="list-style-type: none"> • Trócaire's humanitarian mandate and global strategy • Emergency Preparedness Plan • Government, local and international response • Country specific response and coordination mechanisms
Addressing:	<ul style="list-style-type: none"> • Operational Objective • The implementation Plan • The support requirements (HR, financial, logistic, technical) • Risk management • Risks and constraints • Protection, Gender, & Accountability • Other cross-cutting issues such as DRR • Coordination mechanisms • Estimated Budget
Templates:	<ul style="list-style-type: none"> • Strategy format • Support documents erg. sitreps • Operational Plan

⁸ A 'Do no harm' approach means to monitor the intended and unintended impact of Trócaire and partner activities in order to eliminate negative impacts or increase positive impacts

What to include in a strategy

The strategy should be reviewed and updated regularly when significant changes or events occur to reflect changes in the operational context. The first strategy will be a very basic document prepared in the earlier stages of a humanitarian crisis when information is still incomplete, outlining the general direction of the response. The strategy should be reviewed regularly and updated. A basic strategy document should include the following:⁹

- Context and Crisis Overview
- Humanitarian Needs Overview- key finding of needs assessments; secondary information
- Strategic Response Plan - **what** do we want/aim to achieve clarity on;
 - 1) Timescale
 - 2) Thematic focus
 - 3) What partners
 - 4) Geographic scope
 - 5) Potential sectors
- How **Protection, gender** and **accountability** will be considered and included in needs assessments and integrated across the implementation to ensure safe and dignified programming
- Coordination mechanisms with Head Office, and within the country which Trócaire and partners will engage with
- What security factors should be addressed; what measures are in place to manage security for Trócaire staff?
- The initial support requirements (support from Head Office, administrative, financial, telecommunications support required)
- Estimated budget
- Initial risks, operational constraints and planned mitigating actions

⁹ See Humanitarian Management Guide for template:
https://trocaire.app.box.com/files/0/f/4225928935/Humanitarian_Management_Guide

A more comprehensive strategy document should include the following:

- Detailed Operational plan
 - describe what the planned programme sectors will be for each geographic location and partner
 - the approach to be used in each sector (i.e. which partners will be used)
- Detailed **protection, gender, accountability** and disaster risk reduction mainstreaming plans
- Detailed support requirements administrative, financial, telecommunications, logistical, procurement, and Human Resources support required to implement the strategy. Ideally this would be in a table illustrating what is required, what is available, and the resulting gaps
- Detailed budget
- Funding Strategy
- Possible exit strategy and transition options for when the emergency response ends
- Accountability mechanisms that will be put in place (e.g radio messages, sign boards, community meetings, Focus Groups, complaints handling mechanisms etc...)?
- Monitoring and Evaluation – focus on monitoring of the response at a Trócaire and partner level - weekly/monthly updates, field visits, learning/review workshops with partners
- Analysis of anticipated risks, operational constraints and planned mitigating actions
- Detailed analysis of the security situation



LINKS:

Trocaire Strategy Format

Sample Humanitarian Strategy - South Sudan

Accountability Minimum Standards

Strategy format, operational plan https://trocaire.app.box.com/files/0/f/4225928935/Humanitarian_Management_Guide

Practical Checklist for Strategy Development



DO

- ☒ Get a programme strategy in place quickly. This can help the country office stay focused while adapting to the rapid changes that happen in emergencies.
- ☒ Prepare a first draft as soon as possible. Add to it as you get more information.
- ☒ Base the strategy on a good assessment of needs, response gaps and Trócaire's and partners' capacities.
- ☒ Consider Trócaire's and partners' capacities and where we can have greatest impact within the overall humanitarian response.
- ☒ Identify critical response gaps and make sure the strategy targets them. Remember our obligation to respond to critical humanitarian needs.
- ☒ Identify the specific challenges facing the response. Adapt general policies and approaches to this specific situation.
- ☒ When developing a strategy, coordinate closely with disaster-affected communities, local authorities, UN cluster system and other humanitarian agencies.
- ☒ Clearly state the resources you need to carry out the strategy.
- ☒ Plan for scaling up support to the level needed to achieve strategy goals.
- ☒ Analyse risks and make plans to minimise those risks.
- ☒ Analyse security threats to staff and partners. The analysis may show that Trócaire cannot work safely in an area of need.
- ☒ Outline programme monitoring and evaluation systems as well as accountability mechanisms.
- ☒ Ensure that the strategy considers protection, gender, accountability and Disaster Risk Reduction concerns and reaches minimum standards for each.

DON'T

- ☒ Forget to match your funding requirements and opportunities to the strategy. Otherwise you may end up with contracts for projects that aren't suitable.
- ☒ Be overwhelmed by the task of writing a strategy. Start with something short and simple and revise it over time. Even the most basic strategy is better than none at all.
- ☒ Forget to include an analysis of security threats to staff, partners, and beneficiaries in the risk assessment section. The analysis may show that Trócaire cannot work safely in an area of need.
- ☒ Fail to analyse your strategy for possible risks to the community and partners. Trócaire must avoid doing harm.

Chapter 4: Project Design



KEY POINTS:

- Good quality projects are informed by the needs of women, men, girls and boys and based on partners' capacities
- All Trócaire projects should mainstream gender, protection and include accountability mechanisms
- Promote active participation of those affected by a disaster in project design and focus on their capacities
- A good understanding of the situation on the ground is essential when designing a project
- Often the needs assessment and the project design will have to proceed in parallel
- Involve a range of different Trócaire and partner staff when designing your project (e.g. project staff, logistics, finance etc.)
- Be realistic in terms of what can be achieved taking into account Trócaire and partner capacity, access and experience
- The quality of project design directly affects the quality of the assistance that is provided to the target population
- Share information on your project design with relevant stakeholders
- The project design process should directly feed into developing project proposals

Introduction

A well designed project creates clarity for Trócaire and partner organisations working through the Project Cycle to ensure Trócaire deliver a high quality response.

Project design in its most basic form involves taking time to think seriously about the projects goal and objectives, the results it seeks to achieve, and the activities to be carried out to achieve those results. These are then defined in project logic format and create a roadmap

for proposals aimed at raising external funds. There are various systems for articulating the logic of the project (e.g. Logframe, Logic Model, theory of change) and different organisations and donors use different methods. The preferred Trócaire method is the Logic Model¹, however it is up to each project to decide which is the best approach for them.

The project design is based on direct knowledge of the situation on the ground and the operational environment (Context Analysis). It takes into account and critically analyses how gender can influence how people are affected by an emergency, it analyses power dynamics in communities and affords complete respect and dignity to communities in its approach.



TIP BOX:

The quality of the project design directly affects the quality of the assistance that is provided to the target population.

¹ As part of Results Based Management (RBM). See example visual/table below.

Why is Project Design important?

The purpose of the design stage is to use the findings of the analysis phase to develop a project, or new strategies within an existing project, that will create positive change or prevent a situation from worsening within the target population. The analysis findings may be provided by the needs assessment (see chapter 2), an existing baseline already available in country or a relevant and appropriate external analysis carried out by another organisation (e.g. UNICEF nutrition analysis). It will also be informed by a strong contextual analysis.

During the design process, the project goal and objectives should be defined, as well as the results it will seek to achieve, and the activities to be carried out to achieve those results. Ideally, design should immediately follow analysis, to build on understanding and awareness raised around the problems and gaps identified. It should be a participatory process, where partners and communities develop their own solutions to the problems identified in the analysis phase.

The design of a humanitarian intervention will depend on:

- The issues and gaps raised during the analysis.
- The strengths, weaknesses, opportunities, priorities, competency and capacity of the partner organisation planning to carry out the project.
- Other projects and plans in the area that may be complementary, and how project design would add to, not duplicate, other projects.
- Potential to work with community structures and networks.
- Available funding and funding restrictions.

How to Design a Project

There are a number of steps to take in order to create a high-quality project design:

1. Agree with partner(s) how the design process should be undertaken, by whom, and what expertise is needed. If time has passed since the analysis stage, identify with the partner any new sources of information, and update the analysis.

In many cases there won't be enough time to finish the needs assessment before starting the project design. **The two activities will have to proceed in parallel**, with the results of the initial needs assessment findings informing the final version of the project design. In later stages of the response, the project design will continue to be informed by the more detailed needs assessments (as additional information is gathered and analysed to adapt and strengthen project implementation).

2. Discuss the key issues generated by the analysis, what Trócaire partner considers priority, their strengths and weaknesses, their current responsibilities, their competencies and their capacity and the focus of other projects and plans they may have.
3. Discuss, also, the likely amounts and conditions of funding with the partner.
4. Decide on the activities, duration, and the communities that the project intends to benefit. Ensure that Trócaire and partners are regularly being updated about the shifting emergency context and that the community's voice and opinions are taken into account when deciding on interventions.
5. Develop a project logic model based on the decisions made above.
6. Draw up a project budget. Define the human, financial and material resources needed to carry out and monitor the proposed activities.

Key components of a project design/logic:

The project logic element of the design phase between Trócaire and the Partner will essentially set out **what you are going to do, how you are going to it, and what you expect to see happen** to the people or communities you are targeting as a result of the project. This thinking is often represented in a logical manner through the below flow:



The Project Logic should clearly respond to the problems identified within the needs assessment and has two purposes:

1. By laying out the different steps it is **clearer to see if it is possible to achieve the final results** (outcomes) and identify any pitfalls in reaching these results.
2. **Identify the key outcomes and outputs that can be monitored during project implementation** and help adapt the project. Once these have been agreed, the M&E framework will be developed to set out how to measure and monitor them. (See M&E chapter)⁴.

² An output is the result of an activity.

³ An outcome is a change in the lives of the beneficiaries as a consequence of the project. These can be at two levels; **immediate outcome** which involves the **acquisition** of new knowledge, awareness, skills, resources e.g IDPs have access to NFIs and **intermediate outcome** which involves the **existence** of new behaviours, attitudes, practices, e.g IDPs are using the NFIs for their basic needs

⁴ It should be recognised that any assumptions made by the partners and Trócaire about the project should underpin and support the logic of the project. Assumptions are beliefs about the program, the people involved, the context, external factors in which the program exists and which could interact with and influence the program action.

Formats and Templates

Partners may use their own formats to set out the project logic. However, where these do not exist Trócaire should support partners using straight forward templates which **ensure a minimum standard of quality and content**. Formats may be adapted to suit the needs of the Emergency Response which may not have long-term outcomes but may focus more on immediate and intermediate outcomes. Indicators will then be created for those outcomes (within the M&E framework) as a means of measuring whether the project is achieving what it set out to do. It is important that, from the outset, information gathered is disaggregated at a minimum by age and sex. This may be an estimate in the early stages of an emergency, but it needs to be a more accurate calculation in later phases (after the initial assessment). The design of a project should also include an exit strategy (see *Exit Strategy* chapter) so as to clarify when and how the project will end, extend or integrate into another project or programme.

Sample Logic Model

Activity	Immediate outcome
Construct pure water supply facility Install water treatment scheme Distribute water purification tablets Conduct water tracking for 10 villages	Targeted men, women, boys and girls have access to safe water supply and treatment facilities
Output	Intermediate outcome
Ten water supply facilities constructed Water treatment scheme installed 10,000 water purification tablets distributed 50,000 litres of pure water supplied	Targeted men, women, boys and girls use safe water

What to include in the Project Design?

Within the above parameters, the design of an Emergency Response project at the local level should, at the very least, ensure the mainstreaming of **Gender, Protection and Accountability**.

Key Elements of Quality Projects	
Based on: <ul style="list-style-type: none"> • Needs Assessment • Partners' strengths • Partners in depth understanding of the context • Affected populations' capacities and active participation • Time spent with communities 	Mainstreaming: <ul style="list-style-type: none"> • Protection • Gender • Accountability • DRR
Aligned to: <ul style="list-style-type: none"> • Sector Cluster Plans • National Sector plans • Trócaire's focus areas of intervention 	Templates: <ul style="list-style-type: none"> • Concept Note • Full Proposal • Budget • Risk Matrix

Protection Mainstreaming

Mainstreaming Protection always forms an integral part of Trócaire's humanitarian programming. This is based around four Protection Principles of: prioritising **safety** and **dignity** and avoiding causing harm (to prevent as much as possible any unintended negative effects of an intervention), **Meaningful Access** (to ensure people have access to impartial assistance and services in proportion to their needs), **Accountability** to Beneficiaries (to set up appropriate mechanisms through which affected communities can address concerns) and **Participation** and **Empowerment** (to support self-protection capacities and assist people in claiming their rights). Upon these foundations lie several core Humanitarian Protection Mainstreaming standards.

These standards are put in place to ensure that humanitarian programmes from the very onset are designed to enhance the **safety, dignity** and **meaningful access** of those affected by the emergency to assistance. This should be based upon a sound analysis of context, vulnerability and need and that data is disaggregated according to sex, age and diversity so as to capture as much information as possible about the demographics of a community. This will help us to target and prioritise those who are in greatest need of assistance as well as to adapt programming to meet their specific needs. It is crucial that the communities are actively engaged in this process and that the two-way flow of information and feedback (between the targeted community and Trócaire/Partners) is systematic during all stages of the programme cycle. Trócaire projects should work to build local capacity, to reinforce community-led protection initiatives and to add voice to partner advocacy efforts.

Gender

Mainstreaming gender equality involves a set of steps that are summarised below in a framework known as '**ADAPT, ACT C**'

There are nine steps in the ADAPT and ACT C Framework:

1. Analyse gender differences.
2. Design services to meet needs of all.
3. Access to services for women, girls, boys and men is ensured.
4. Participate equally.
5. Train women and men equally.
6. Address GBV in sector projects
7. Collect, analyse and report sex and age disaggregated data.
8. Target actions based on a gender analysis.
9. Coordinate actions with all partners.

The SAD-SAD tool is also useful for mainstreaming gender as well as age and diversity (see links in Chapter 2).

Disaster Risk Reduction (DRR)

DRR should be considered in terms of a build back better approach to strengthen the capacities of crisis affected populations' and reduce the risk to current and future risks. This may include reinforced housing in earthquake or flood prone areas, diversifying asset bases to strengthen livelihoods, mechanisms and resources to prepare for, respond to, and facilitate recovery from hazards and shocks⁵.

Accountability

Accountability to communities is critical to all Emergency Responses. Effective community participation and engagement, information sharing, and providing reliable complaints and feedback mechanisms to programme participants should all be systematically built into the project, from the beginning, to ensure the respect and dignity of the project participants. These mechanisms and approaches must then be updated and monitored during the project life-cycle to ensure quality and effectiveness⁶.

To design a project that is accountable to communities Trócaire and its partners should strive to:

- Share information with the community on Trócaire and partner organisation, plans and intentions
- Encourage affected populations' representatives to participate in developing the project design

⁵ See the Emergency Capacity Building (ECB) source "Towards Resilience": <http://www.ecbproject.org/resource/18341>

⁶ See Humanitarian Accountability Partnership (HAP) Resource Page: <http://www.chsalliance.org/>

- Explain to people their rights as disaster-affected people
- Check project design with different groups of beneficiaries
- Design a complaints and response mechanism and train staff on how to handle complaints appropriately

Proposals

Good project design is the foundation for written proposals. This includes proposals from partners to Trócaire, as well as Trócaire proposals to institutional donors for funding. Comprehensive proposals are also informed by other areas elaborated in this handbook; particularly needs assessments, targeting and M&E.

Often, particularly in sudden onset emergencies, your project design and proposal development will be done concurrently.



LINKS:

Good Enough Guide <https://www.humanitarianresponse.info/en/topics/gender/document/good-enough-guide>

Project Proposal Template

Logic Model Template with examples

Sphere Handbook <http://www.sphereproject.org/handbook/>

Gender: Gender Handbook Basics; Gender in Emergencies WASH and EFSL fact sheets and checklists; Gender and Shelter; Gender and NFIs; Gender and Food Security; Gender and Food Distributions; Gender Mainstreaming Resource Pack;

Protection: Humanitarian Protection Handbook; Protection Mainstreaming brief; Integrated Protection brief

Accountability: Trocaire Accountability Framework; Accountability Emergency Checklist; Handout on Accountability Briefing Rapid Onset Emergencies; MANGO Accountability to Beneficiaries Checklist; Setting up Feedback and Complaints Mechanisms

Institutional Funding: ECHO Single Form; DFID Rapid Response Fund Proposal template; DFID Rapid Response Fund Budget Template; Irish Aid Emergency Response Fund documents

Trocaire Focus on RBM for Humanitarian Projects

Practical Checklist for Project Design



DO

- ☒ Involve the affected communities in the design of the project
- ☒ Match all projects to the response strategy founded on the needs assessment.
- ☒ Make sure Trócaire and partners have the staff and skills to design and implement/support partners to implement an emergency response.
- ☒ Work closely with partners to design the project and budget details
- ☒ Make the project flexible in case of delays in assistance or changes in the emergency.
- ☒ Initiate implementation as soon as possible

DON'T

- ☒ Ignore the affected community
- ☒ Design a project and budget without partner involvement
- ☒ Not designate someone solely to proposal writing in a large emergency. You will lose funding if you do
- ☒ Design a project which is unsuitable or which focuses on low-priority activities
- ☒ Design a project that is not realistic or achievable
- ☒ Waste time on an extensive design development process in the early stages of a response

Chapter 5: Targeting



KEY POINTS:

- Consider the correct terminology for targeting in your context e.g. Prioritisation, Participant Selection etc...
- Targeting refers to the process of identifying and selecting project participants
- A **blanket approach** may be appropriate in the immediate aftermath of a crisis but a **targeted approach** should be employed as soon as possible
- The objective of targeting during emergencies is to prioritise the needs of **the most vulnerable** women, men, girls and boys affected by the crisis using available resources in the most efficient and effective manner.
- Effective targeting depends on the involvement and inclusion of the affected community – women, girls, boys and men and representatives of vulnerable groups
- Targeting must be **fair, appropriate** and **do no harm**
- Identifying the potential risks and consequences involved in applying targeting mechanisms is critical for a do no harm approach
- Ensuring that targeting criteria do not undermine dignity, increase vulnerability, or exposure to exploitation or abuse is essential
- **Transparency** in project participant identification process is important – consider your communication around targeting (approach, criteria, selection, assistance etc...) – via radio, community meetings, billboards etc.
- Targeting criteria must be based on thorough analysis of vulnerability and coping capacity

Introduction

The targeting of project participants¹ for humanitarian assistance refers to the mechanism employed to identify the geographical areas, communities, and the most vulnerable groups/individuals affected by an emergency. Information gathered through the needs assessment process will help to determine the way in which emergency assistance is provided².

Targeting mechanisms should be timely, transparent, and safe. They should ensure the dignity and safety of the project participants and be appropriate to the local context, culture and conditions.³ Effective targeting also means understanding the barriers that do or may prevent people from accessing the assistance they need. This may be due to various factors such as security, a lack of information, discrimination and deliberate blocking of access or logistical issues. It is important to be flexible in your targeting as different groups may have different needs. Having done your gender analysis you will better understand what targeting method to use to access women without causing harm. The targeting methodology employed by Trócaire and its partners will be based on the following criteria:

- The type of emergency
- The overall project objectives
- The type of assistance that can be provided (food, protection, WASH⁴, etc.) in relation to the social and cultural context
- Access to affected communities
- Information available (needs assessments, mapping, profiling etc.)
- The presence (or absence) of local targeting guidelines

Targeting Steps

Prioritisation	Identifying the criteria on which specific geographic areas, vulnerable groups and individual households are to be selected
Identification	Developing screening tools (administrative, community or self-targeting mechanisms) to ensure that only those who meet the targeting criteria actually receive assistance
Allocation/Type	Determining the quantity and quality of goods and services to be provided to those identified to be in need, in order to achieve the desired impact among project participants. Identify any adaptations that may be required to ensure it is as appropriate as possible. E.g. of providing labour to older households receiving Shelter kits, or women receiving different hygiene items, or people with disabilities having access to latrines which include rails and handles.
Options	Choosing a suitable intervention strategy and delivery options for reaching the identified target population

¹ Cultural /local sensitivities may require you to use different terminology (e.g. beneficiary selection instead of targeting of beneficiary)

² Identifying project participants is crucial to good targeting, but the programming decisions about how and when to reach those people are equally important. (WFP, Targeting in Emergencies, 2007) <https://www.wfp.org/sites/default/files/wfp083629.pdf>

³ All in Diary, 4th Edition, 2014, p. 35

⁴ Water, Sanitation and Hygiene Promotion

It should not be assumed that those who have lost the most are necessarily the most affected. For example, households which have lost 10 goats may be more vulnerable than the household which have lost 20 goats if you assess a range of vulnerability factors and take other criteria into account for example family size and composition, access to education, health, livelihood diversification, income opportunities, debts, disabilities.

Targeting criteria should be assessed in terms of usefulness (for identifying most vulnerable), practicality (in terms of applying the criteria to the affected population) and efficiency (in terms of time required to apply criteria) for identifying households and the target populations' acceptance. It should include precautions to avoid multiple registration or selection bias by local partners or community members e.g verification of project participants identified.

Blanket Approach v. Targeted Approach

There are two principal methods of targeting: Blanket approach or Targeted approach

In certain circumstances, a **'blanket' approach** may be employed. A blanket approach uses a macro level analysis to choose a geographic area to work in. Project participants are identified through the assessment of a specific region or administrative units (village, town, district, etc.)⁵ When using a blanket targeting mechanism, project participants are identified on the basis of the total assessed needs of the area's population. A blanket is only appropriate in cases of **sudden-onset natural disasters**, where all households have suffered similar losses, or where a detailed targeting assessment is not possible due to **lack of access, security considerations** (such as in conflict zones), **political sensitivities or time**.⁶ There are many risks associated with adopting a blanket targeting mechanism as it does not take into account the different assets and capacities that households may have. Blanket targeting can result in undermining household coping strategies and providing assistance to people who do not meet the identified criteria (see table 1).

A targeted approach is used to distinguish between those in a defined geographic⁷ area who need humanitarian assistance and those who do not. This is the preferred method to be adopted and should always be used in cases of recovery, or protracted or chronic crises. A targeted approach involves the selection of groups, households or individuals in a community who are most in need of assistance. The approach is associated with assistance provided only to those individuals, households or groups that meet the targeting criteria, and is most appropriate where there are distinct differences in the levels of need, capacity and assets of different individuals, households, or groups in the targeted areas.

⁵ Depending on the nature of the emergency, the geographic concentration of need can vary widely from several small camps or villages to large areas of a country or countries. (WFP, Targeting in Emergencies, 2007)

⁶ Adapted from "Sphere Project, "Humanitarian Charter and Minimum Standards in Humanitarian Response" p. 192, 2011

⁷ Household targeting does not preclude an element of geographic targeting. The latter may be adopted to prioritise one or more geographic areas where household targeting will be used.

Effective household targeting on the basis of assessed need and capacity generally requires the full cooperation of the community. In some cases it may be affected by a combination of political, social or cultural factors and local power dynamics. Additional risks associated with household targeting include the high cost of collecting data and the potential exclusion of vulnerable groups due to gaps in data collection and lack of staff awareness or training?⁸ Local knowledge, language and trust are also key factors to reduce the risk of excluding the most vulnerable (See Table 1 for risks and risk mitigations).



TIP BOX:

A blanket and targeted approach may be employed sequentially during an emergency relief operation. **Blanket approaches** may be employed during the very first days of an emergency response, while a **targeted approach** may be utilised once the most immediate relief requirements have been addressed. It is important to move to a targeted approach as soon as possible.

Table 1: Blanket v Targeted Approaches

Approaches
Blanket Approach Reaching all households affected or partially affected with relief or temporary assistance
Opportunities
<ul style="list-style-type: none"> • Reach maximum number of the population • Easy to ensure participation of communities • Efficient and timely as blanket approach avoids a more detailed needs assessment and associated analysis • Risks around politicisation/partiality/social disparity of aid is avoided
Risk
<ul style="list-style-type: none"> • Ignores the severity of the crisis and specific needs • Not meeting the differentiated needs of vulnerable populations • Potential need to wait until sufficient resources are available before distributions • Disallows use of specific contextual indicators • Difficulty in maximising coverage • May undermine community coping strategies

⁸ Adapted from WFP, Targeting in Emergencies, 2007

Approaches

Targeted Approach

Individual, Household or other community grouping approach chosen against a specified criteria

Opportunities

- Enables the most appropriate solution for those most in need of assistance
- Mitigates against exclusion and ongoing vulnerability of affected population
- More micro level engagement with participants that enables greater opportunities for participation and accountability
- Allows for collection of households data for reporting against indicators

Risk

- Shift from blanket to targeting excludes previous programme participants that could create tension
- Requirements for detailed needs assessments that can be time-consuming and delay urgent responses
- Political interference a possibility
- Selection criteria not well understood or instrumentalised by local stakeholders
- Targeting criteria not well understood by programme participants

Risk mitigation

Specific to 'Blanket; Approach

- Potential supplementary assistance to most vulnerable

Applicable to both approaches:

- Clear understanding of the socio-political relations in the area
- Map out existing social divisions
- Ensure partner capacity and skills are adequate to do targeting
- Establish information sharing mechanism with participants that explains approach
- Ensure complaints are addressed and followed up
- Ensure good M&E to refine criteria as needed

Specific to Targeted Approach

- Facilitate engagement by a wide array of groups in the community (including women, older people, and more marginalised groups) in determining targeting criteria
- Engage with relevant District Committees handling the crisis/disaster

The table below lists the most common methods employed to select households and/or individuals.⁹ When selecting a targeting methodology, Trócaire project staff and partners should remain flexible and open to combine different elements of the methods described below. For example, prepared communities may develop their own assessment of damage and select the most vulnerable to be targeted for particular support (community based targeting). Trócaire and its local partner may then take this information and apply to it the specific selection criteria (administrative targeting).

Selecting Programme Participants

TYPE OF TARGETING	DEFINITION	RISKS
Self-Targeting (<i>direct project to specific groups</i>)	Self-targeting occurs when benefits are available to all, but assistance is provided in such a way that those not in need, volunteer not to participate (examples are cash for work schemes where the wage is so low they attract only the poorest or the distribution of food products that are unappealing to higher-end consumers).	<ol style="list-style-type: none"> 1. Need to understand the behaviour of vulnerable groups 2. Can exclude vulnerable groups or expose them to threats 3. Can further ostracize some vulnerable groups
Community-based Targeting (<i>Communities decide</i>)	Households or project participants identify vulnerability criteria and are selected with the participation of community members such as traditional or religious leaders and/or local authorities, local communities, women's groups and other local organisations and networks etc. These are then verified at public meetings	<ol style="list-style-type: none"> 1. May be disproportionately influenced by a few local leaders and administrators 2. May lead to abuse of power and or exclusion of certain vulnerable groups (i.e. orphans) or inclusion of elite groups 3. Time consuming and so could delay provision of assistance
Administrative Targeting (<i>based on data analysis</i>)	Households or individuals are selected by agencies or people external to the community using standard observable criteria or indicators such as nutritional status or objective socio-economic criteria	<ol style="list-style-type: none"> 1. Criteria and indicators may be inaccurate or irrelevant 2. Criteria may undermine dignity or be seen as intrusive/not culturally appropriate 3. Costs of collecting the data may be high 4. Time consuming and so could delay provision of assistance

⁹ Adapted from: FAO, Targeting for Nutrition Improvements, 2001; and All in Diary, 4th Edition, 2014

**TIP BOX:**

There are no simple rules for selecting an appropriate targeting method. The type of emergency and social context(s) in which humanitarian activities are undertaken will often lead to wide differences in the final choice of targeting method.

Inclusion and Exclusion errors¹⁰

For each activity, it is important to consider the likely scale of inclusion and exclusion errors, which are defined as follows:

- Inclusion errors refer to people receiving assistance who do not meet the criteria—for example, through blanket distributions certain households which do not meet eligibility criteria may still receive assistance.
- Exclusion errors refer to instances when targeted individuals and groups fail to receive assistance. An exclusion error may result from using a national ID card as a project participant selection criteria (often those most vulnerable don't have ID cards) or because of other barriers (lack of information, discrimination, deliberate strategy to exclude people).

The constraints inherent in emergencies will inevitably lead to targeting errors. However Trócaire should work carefully with partners to find the right balance between exclusion errors (which may be life-threatening) and inclusion errors (which are potentially disruptive and wasteful).

¹⁰ Adapted from World Food Project, Field Operations Handbook, 2002 and Sphere Project, "Humanitarian Charter and Minimum Standards in Humanitarian Response" p. 192, 2011

Targeting Criteria

Once a targeting methodology has been selected, the criteria to identify programme participants will have to be determined. This will be done while taking into consideration protection concerns (safety, dignity and meaningful access) as well as the requirement to provide assistance to those who need it most (most vulnerable women, girls, boys and men). Trócaire project staff should also keep in mind that the targeting criteria will be influenced by the local culture, context and social dynamics. Trócaire should work with local partners to determine targeting criteria to ensure that those most vulnerable are identified.¹¹ Below is a selection of criteria that may be used to assess vulnerability:

1. Physical safety
2. Household composition (i.e. female headed household, elder headed household, child headed household, single mother, child with disabilities);
3. Children under 1yr and 5yrs
4. Livelihood (subsistence farmer, urban worker), assets and expenditure (school fees, medical costs, rent etc.)
5. Coping capacities (remittances, family support, child labour, early marriage, trafficking etc..)
6. Food security/nutritional status;
7. Health Status (including disability, chronic illness etc.);
8. Education Status;
9. Household assets;
10. Social support networks; and
11. Access to basic services

When selecting the targeting methodology and criteria, Trócaire staff should engage as much as possible with partners who have much more local knowledge and access to local communities. However Trócaire staff should also be careful not to assume that partners are automatically able to assess needs of different target groups. At the selection stage and during the monitoring process, Trócaire and partner staff should take a sample of potential target project participants to ensure adherence to the selected criteria and to verify the selection process. A 5%-10% sampling is recommended.

Affected populations should **always be consulted** during the selection process. Community committees, women's groups, leadership structures, focus group¹² or community discussions are often the main avenue for vulnerable people to provide input in decision-making processes.

¹¹ When developing targeting criteria it is useful to check whether such criteria has already been developed by other agencies or if a vulnerability assessment has already been carried out.

¹² Focus Group Discussions with women, men and other vulnerable groups e.g. youth, elderly, disabled etc...

Application of Criteria

Selection and verification of project participants (to ensure they meet the criteria identified) is usually managed by committees or other forms of adapted decision-making bodies within the community. The list of selected project participants should be shared with and approved by the community and verified by the partner (and/or Trócaire staff). This list represents a baseline that can be used to monitor progress. A complaints or feedback mechanism should monitor whether the right people are being targeted or whether the criteria needs amending.

In the case of pre-compiled lists received for example by the local government for distributions¹³, the participation of the affected community should be verified by partners and Trócaire to ensure they meet the agreed criteria. The dynamics of social, political and economic structures in complex emergency situations should be taken into consideration.

Coordination with other stakeholders (local, national, international NGOs, UN, government etc.) on the overall targeting approach should be encouraged (based on needs assessments and context analysis). Agreeing on criteria to identify the most vulnerable women, girls, boys and men affected by the crisis can be established. It is important to tailor relief packages to meet the real needs of the affected women, men, girls and boys. These should eventually be prioritised based on available resources and the capacity of each group to benefit from existing assistance and access to services. Agreeing on criteria to identify the most vulnerable women, girls, boys and men affected by the crisis can be established. This can help reduce the risk of creating tensions because of different assistance packages.

Applying a gender focus in the targeting process, means considering the different impacts and needs of the emergency on women, girls, boys and men and ensuring that the assistance provided is tailored to meet the needs of women, girls, boys and men e.g. hygiene kits include sanitation items for women's menstrual cycle; nutritional support to pregnant and lactating women; specific food needs of the elderly.

The effectiveness and applicability of targeting female-headed households should take into account the prevailing workload of women and their health status.



LINKS:

Considering the special needs of vulnerable groups

Focus on Targeting PCMDP Part 3

WFP Targeting in Emergencies

¹³ Pre-compiled lists may be provided by other agencies, local organisations, local authorities etc.

Practical Checklist for Targeting¹⁴



DO

- ☒ Target recipients of humanitarian assistance on the basis of need and vulnerability
- ☒ Perform a risk/benefit analysis for the different targeting mechanisms being considered
- ☒ Find the right balance between inclusion and exclusion errors
- ☒ Use local skills and knowledge provided by partners when developing targeting criteria
- ☒ The criteria used in targeting should not be ambiguous.
- ☒ Communicate Trócaire and partner targeting methodology clearly with the affected population (including community leaders, female and male representatives)
- ☒ Ensure that consultations are carried out in the local language, and that arrangements are made for persons with special needs such as deaf persons.
- ☒ Ensure the active participation of women (as individuals or associations), to assist in the selection and registration of verified target project participants
- ☒ Update targeting mechanisms regularly. Be flexible in adjusting mechanisms to the situation as it evolves.
- ☒ Clearly document targeting criteria, in terms of vulnerable groups or geographic location

DON'T

- ☒ Employ a targeting mechanism that undermines dignity, increases vulnerability, or risks exposure to social stigma, exploitation or abuse
- ☒ Choose a targeting mechanism based on a budgetary basis. The leading parameters are the objectives, the available resources, the context of the emergency intervention, and the context of the target population.
- ☒ Forget to consider the type of disaster and social context
- ☒ Delay operations in order to find the perfect targeting mechanism
- ☒ Forget to monitor the distribution system to ensure that targeting criteria are respected

¹⁴ Adapted from Sphere Project, "Humanitarian Charter and Minimum Standards in Humanitarian Response" p. 192, 2011

Chapter 6: Monitoring and Evaluation



KEY POINTS:

- Monitoring and Evaluation (M&E) is a key project management function that provides invaluable information on performance, increases accountability and facilitates learning
- M&E will facilitate greater understanding of the project, context and culture so as to identify gaps
- Information and gaps identified must be used to **adapt and strengthen** the programme
- Protection principles and standards should be a focus throughout the M&E process
- Gathering **sex and age disaggregated data** should be a minimum requirement throughout the M&E process
- In the initial stages of a response the monitoring systems should be **simple, user friendly, flexible and frequent**
- An M&E plan essentially contains information on what will be measured, where the data will come from, how it will be collected, who will collect it, when it will be collected and who is responsible for analysing data
- Where possible data collection for M&E should be integrated into project implementation activities to minimise resources used and time spent monitoring

Introduction

Monitoring: Monitoring is an internal and continuous process that uses systematic data collection for **measuring project progress**. Monitoring processes allow us to confirm that change is happening, and understand if it is working positively or negatively, in achieving project goals.

Evaluation: Evaluation aims to **understand the status and assess change** in the affected population at different points in a project's life-cycle. The lessons learned from an evaluation will be crucial in informing future programming.

Why Monitor & Evaluate?

The process of monitoring and evaluating projects not only enhances accountability but creates methodical understanding as to where gaps may lie, adds to overall organisational learning and allows staff make project changes within an evolving environment.

In particular M&E is used to¹:

- Identify and solve problems (e.g. with the contents of the assistance, or the way in which it is provided);
- Refine project plans and identify new opportunities;
- Monitor changes during emergency crises;
- Understanding how project activities are progressing;
- Understand where the project stands in line with international humanitarian standards e.g. SPHERE & HAP² standards and LEGS³;
- Ensure the affected population is consulted on how the project is progressing.

A common gap in monitoring and evaluation is that only output data is collected. For example, it is common to collect data regarding the numbers of plastic sheets and other relief items distributed without understanding how the assistance provided is actually being used or whether significant gaps are remaining. For monitoring to be useful in addressing problems in real time, monitoring needs to take account of the following⁴:

- **Achievement:** What has been achieved? How do we know that the project caused the results?
- **Assessing progress against standards:** Is the level of assistance per individual or per family meeting standards (e.g. Sphere) or are significant gaps remaining? Is the project doing what the plans said it would do or are there unintended impacts?
- **Monitoring of project management:** Is the project well managed? What issues or bottlenecks should be addressed?
- **Identifying strengths and weaknesses:** Where does the project need improvement and how can it be done? Are the original objectives still appropriate?
- **Checking effectiveness:** What difference is the project making? Can the impact be improved? Is the assistance appropriate (dignity)
- **Identifying any unintended impacts:** Are there any unintended issues or negative consequences arising as a result of the response? Are there any safety issues? Or barriers to prevent meaningful access? How should these be addressed?
- **Cost effectiveness:** Are the costs reasonable?
- **Sharing learning:** Can we help to prevent similar mistakes or to encourage positive approaches?

¹ M&E purpose informed by Oxfam UK Humanitarian Handbook

² Humanitarian Accountability Principles

³ The Livestock Emergency Guidelines and Standards (LEGS), a set of international guidelines and standards for the design, implementation and assessment of livestock interventions to assist people affected by humanitarian crises.

⁴ CARE emergency toolkit

When

The key moment for fully developing an M&E Plan is prior to starting project implementation. The M&E plan details the **'data source, method, tool, frequency and responsibility'** that is the 'what, where, how, who and when'. Once the needs assessment and project design are complete an M&E plan needs to be developed. In humanitarian settings, the context can often change overnight and although initial plans should take a 'good enough approach', **regular formal and informal collection and updating of data** is necessary to strengthen the project and maintain understanding of the status and needs of the community. As the emergency situation stabilises the **M&E system should become more formalised and structured** and as such the frameworks developed at the outset should be reviewed and revised where relevant.

Some Trócaire humanitarian programmes, particularly humanitarian programmes for protracted crisis, use a Results Based Framework (RBM) structure which is an alternative way to articulate your M&E plan⁵.

Evaluations also have an important role in understanding and assessing change. An **internal Real Time Evaluation**⁶ is expected to be conducted half way through implementation (or after 3 months) of a project and an **external final evaluation**⁷ at the end of the project.

How

Monitoring systems should be simple, user friendly and flexible. They should allow you to track progress against outputs, to check the appropriateness and effectiveness of the response, and to change the response as needed based on regular data collection and review of findings. It is crucial that the data (process, output and results) is analysed as soon as it is collected. A good monitoring plan requires Trócaire and Partners to decide the most useful information you can get with the resources available to you.

In the early stages of the response **daily briefing meetings should be held to analyse and interpret data** that has been collected at field level with partner staff. Output/ activity related data should be recorded and readily available during the briefing meetings (posting information on whiteboards or flip charts in common areas helps track progress and shares information more broadly). Ensure that you look for **changes in the context that might influence current needs** or project success including any changes in the protection context (e.g. issues of safety, dignity or access issues that occur).

⁵ See "Project Design" Chapter for more information

⁶ RTE's are a quick snapshot or review of the emergency response project usually conducted internally

⁷ Ideally final evaluations are led by an external consultant (although Trócaire staff/ Partners staff can be members of an evaluation team), however this is not always possible where there are funding restrictions

As the programme develops and the situation stabilises the focus is directed more at outcome / results level in terms of use, quality and satisfaction, and subsequently to changes in the situation. At this stage, it is important to encourage programme participants to be involved as much as possible in the monitoring process (e.g. community monitoring committees for activities).



TIP BOX:

Activity: is an action carried out as part of a project

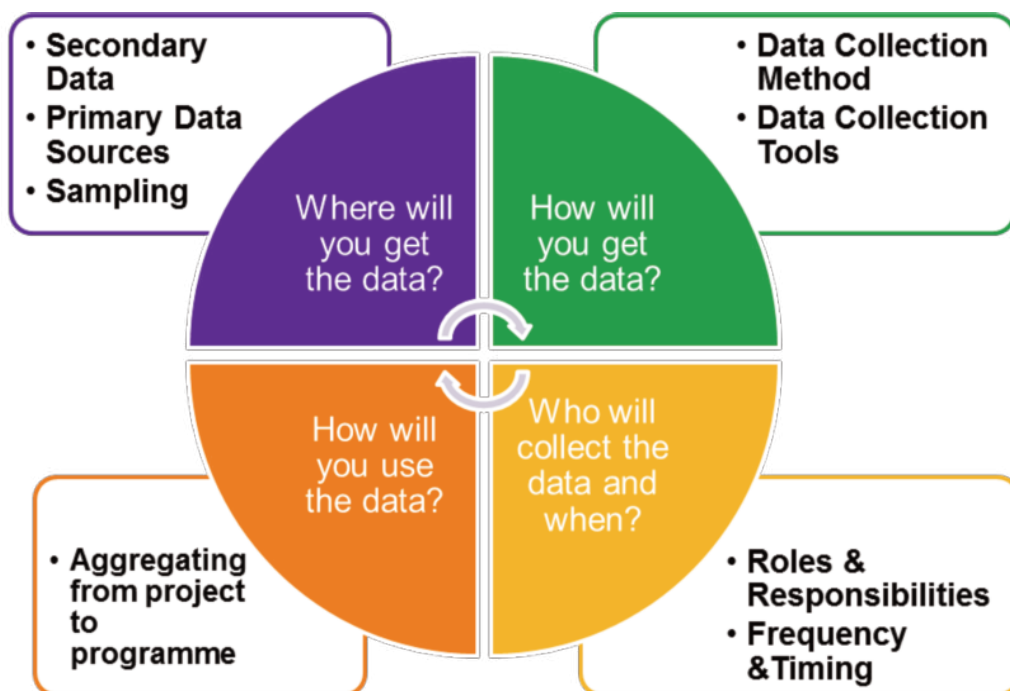
Output: is the result of an action carried out

Outcome: is a change in the lives of the target population as a consequence of a project or programme.

What is an M&E plan?

M&E starts at the beginning of the intervention and continues throughout the project lifecycle. Building an M&E Plan is a responsibility that the Programme officer shares with partners.

Figure 1: Components of an M&E plan



MONITORING and EVALUATION PLAN		
MONITORING		
What will be measured (indicator)	Where (will you get the data)	How (will you collect the info)
Number of targeted vulnerable households receiving standard food package per month <i>(immediate outcome level)</i>	Target communities <i>(Primary data)</i>	Distribution List ⁸ (tool #1)
Number of targeted women, men, boys and girls consuming a staple, oil and pulses to meet nutritional requirements <i>(intermediate outcome level)</i>	Target households <i>(Primary data)</i>	Post Distribution Monitoring tool (tool #2)
Levels of nutrition among target women, men, boys and girls <i>(long term outcome level)</i>	Target households Community Health Centres <i>(primary & secondary data)</i>	Focus Group Discussion (FGD) (tool #3) Health Reports from centres on malnutrition data (increase/decrease)
EVALUATION		
Type	Where (will you get the data)	How (will you collect the info)
Overall programme impact	Target Communities <i>(primary and secondary data used)</i>	Real Time Evaluation (RTE) - plan and format to be developed separately
		Final evaluation - plan and format to be developed separately
Complaints/Feedback Mechanism	Target Communities <i>(Primary data)</i>	Hot-desk for complaints (tool #4) Additional tools <i>(plan and format can be developed separately)</i>

⁸ Information disaggregated by age and sex at a minimum

MONITORING and EVALUATION PLAN

	Who (will collect the data)	When (will you collect the data)
	Partner Distribution team – each recipient of food package will sign a distribution list to confirm receipt of package (representative from each HH)	Monthly at each distribution
	Partner monitoring team will assign 2 communities to each team member. Each team member will complete 10 PDMs with random households in each community who received a package (5 male/5 female)	Within 2 weeks of distribution
	Partner monitoring team will hold FGDs with men, women and youth groups separately to assess overall nutrition status	Bi monthly
	Who (will collect the data)	When (will you collect the data)
	HQ/Trócaire Country Team	Half way through project implementation
	External consultant	End of project
	Partner monitoring team	One hour a week in each community

Data collection methods

It is important to identify who is responsible for analysing the data gathered to ensure it feeds into programme planning and reporting. Methods of data collection (quantitative or qualitative or both) should be selected based on the type of information required. This could be process related, such as activity/output monitoring, or results/outcome related. Where possible data collection for M&E should be integrated into project implementation activities to minimise resources used and time spent monitoring. For example, adding monitoring activities to field team work plans e.g. at least 2 focus groups per week in specific communities/villages; field staff gathering specific information during routine work in the project area and documenting it (e.g. observation sheets) or local water committees/individuals tasked with gathering information on water usage/water testing and filling in a notice board placed at the water point⁹ to share the information on a regular basis. Other informal types of monitoring can be as simple as debriefing with field teams on a daily or weekly basis.

Creating practical and useful ways to gather information which lead to clear and regular learning for field teams, partners and Trócaire staff will assist in improving the quality and impact of the emergency response.

Options for data collection¹⁰

Focus Group Discussion (FGD)	<ul style="list-style-type: none"> • Aims to understand target population opinions on certain topic/need • Can be used to further investigate and explain quantitative data • Essential to allow participants agree/disagree and have honest conversation • Requires a skilled facilitator who must be objective, set rules, mediate and understand such techniques as probing¹¹ • Requires dedicated note taker • Ideally for 6-8 participants • Systematic analysis of data from FGDs requires time and expertise
Post-Distribution Surveys (PDMs)	<ul style="list-style-type: none"> • Administered to sample group of target population immediately after distribution • Records satisfaction, demographic information, complaints, perceptions, methods of improving the distribution process • Does not allow in-depth exploration of responses

⁹ Training will be required as well as monitoring of accuracy

¹⁰ Some of these methods may depend on having the right staff member carrying them out with the right approach – e.g. a female staff for all women FGDs, or staff from specific groups who will more easily get the information.

¹¹ See Trócaire Focus on...Group Discussions

Observation	<ul style="list-style-type: none"> • Helps to understand what is being done and by whom but not why. • Obtrusive observation – when participants are aware i.e. supervision of health worker or school visit • Unobtrusive observation – aims to not influence the subject's behaviour e.g. observing a busy market place, latrine use, use of hand washing facilities by boys/girls • Observation of tangible objects i.e. visible wear and tear of distributed tools.
Participatory Rural Appraisal (PRA)	<ul style="list-style-type: none"> • Conducting activities with a group to understand attitudes to particular topics • Activities can include role-playing, social mapping • Typically more time-consuming than FGD & needs skilled facilitation • Some PRA tools are more appropriate in protracted crisis or the later stages of a response • Requires technical expertise and adequate preparation
Key Informant Interviews (KIIs)	<ul style="list-style-type: none"> • Allows for in-depth learning on the perspectives of an individual and potentially allows for discussion on sensitive topics • Allows for deep understanding of interviewee's outlooks, insights and world interpretations • Facilitator must remain neutral and objective and have knowledge of how to get more in-depth information (e.g. probing skills¹²) • Can be time-consuming and need the use of a ranking system to interpret the large amount of qualitative data

¹² Probing refers to seeking elaboration, details, and clarifications from interviewees during Key Informant Interviews

Types of Evaluation

Real-time Evaluation (RTE)	<ul style="list-style-type: none"> • Aims to check the programme is relevant and effective in meeting the affected communities' needs • Conducted internally during early response phase • Allows for speedy assessment of immediately needed actions, context and beneficiaries • There should be no delay in sharing the Report
Mid-Term Evaluation	<ul style="list-style-type: none"> • Aims to review project in-line with any changing context • Adds to, and improves, project strategy, efficiency and effectiveness • Must be conducted during project and when there is still time to make changes according to report's recommendations • Generally conducted as an internal process
Final Evaluation	<ul style="list-style-type: none"> • Comprehensive in nature • Examines: Relevance/appropriateness; connectedness; coherence; coverage; efficiency; effectiveness and impact¹³ • Led by external consultant • The purpose can either be for Accountability or Lesson Learning depending on the audience

Indicators

Indicators of change are needed to help measure the *actual* results achieved by the project against what was planned or expected. The expected results will have been set out in the project design phase. **An indicator will simply state the type or kind of information used to measure the result.** The direction and amount of change will be defined by the baseline¹⁴ and target. In considering your indicators you should refer to Trócaire's guidance note on **'Focus on.....Results Based Management'** and the Sphere Standards as a first reference¹⁵.

¹³ As defined by OECD-DAC

¹⁴ A full baseline may not be possible in the initial stages of a response in which case the needs assessment should provide the information upon which to measure project progress

¹⁵ If Sphere standards are not appropriate in a specific context additional indicators can be found in DFIDs standard indicators

**TIP BOX:****Hints and tips for constructing indicators:**

- A *strong* indicator **points effectively to the actual achievement** of the result.
- Indicators, their baselines and targets should be **disaggregated by sex and age** and in some cases **by specific target groups**.
- **Qualitative indicators** look at the process(how were people informed? how were things decided?), the levels of satisfaction and influence, or opinions of quality while **quantitative indicators** look at the outputs/ number or percentage of people affected by a change.
- Make sure **indicators are in line with the level of results** to be measured (output level delivery of products / outcome level changes in awareness, knowledge, situation or living condition)
- Ask yourself if there are **easily accessible and reliable sources** of information for indicators.
- Ask yourself if you or the partner has **the money and time** to collect the information.

Table 1: Example of Strong and Weak Indicators

Result	Weak indicator	Strong indicator	Explanation
Access to clean water supply	Rate of mortality from Water Borne Diseases	Number of people living within 500m of a water point	Access is better described by distance whereas mortality rates may stay the same or increase for reasons other than access and still fail to indicate the access improvement
Participants have acquired new knowledge on hygiene practices	Number of participants having obtained a certificate	Number of women, men, boys and girls able to explain good hand-washing practices to other people and/or Number of women, men, girls and boys using soap to wash their hands	Having a certificate does not indicate a change in knowledge or understanding. It just shows participation. Testing understanding will highlight new knowledge.
Communities are consulted on shelter design	Number of meetings held with community members on shelter design	Number of men and women of different ages consulted on shelter design	A community meeting to consult the population on shelter design does not take into consideration the needs of different groups and may be dominated by one specific group (men/leaders/elders) excluding the voices of the most vulnerable
Improvement of nutrition for targeted population	Rate of mortality	% reduction in GAM ¹⁶ rate for children U5	There can be many variables affecting mortality rates however linking sickness to a particular area of intervention will highlight the project related change.

¹⁶ Global Acute Malnutrition

Increase in capacity to build flood resistant shelter	Number of trained women and men having succeeded in passing a theoretical and a practical exam in flood resistant shelter	Number of flood resistant shelters constructed	Passing an exam does not indicate ability to make use of the knowledge and skills attained whereas using the knowledge to construct a flood resistant shelter indicates an appropriate capacity and usage.
Information shared with communities	Number of community information sessions conducted	% of women and men in the community that have received and understood updated information regarding project/response activities	Assuming that the mechanisms used for communicating information to a community reaches everyone is unrealistic, measuring who received the information, when and how is important to understand if your means of communication is effective Disaggregating information at indicator level will improve the quality and understanding of information gathered



LINKS:

Good Enough Guide <https://www.humanitarianresponse.info/en/topics/gender/document/good-enough-guide>

Trocaire Field Programme Monitoring and Evaluation Policy

Focus on Results Based Management for Humanitarian Programmes

Monitoring:

Monitoring and Evaluation Plan with sample tools

Cafods Monitoring Implementation and Programme Progress guide

FGD Accountability questions for communities

Accountability questions for monitoring visits

Evaluation:

Evaluating Humanitarian Action using OECD-DAC

Trocaire After Action Review

Practical Checklist for Monitoring and Evaluation



DO

SETTING UP AN M&E PLAN

- ☒ Assess M&E capacity and increase it to meet emergency needs.
- ☒ Design an M&E system suitable for the response. It should cover all aspects of response management.
- ☒ Set indicators and measure the baseline BEFORE the start of the intervention.
- ☒ Strive to achieve a good balance between output and outcome, quantitative and qualitative indicators.
- ☒ Use a common set of core indicators across all projects and report against them (i.e. Sphere).
- ☒ Always use internationally recognised humanitarian standards like Sphere Minimum Standards for disaster response and HAP in your M&E.
- ☒ Choose a range of suitable data collection methods. Involve the community in collecting information.
- ☒ Decide who will do what, including data collection, analysis and review.
- ☒ Plan for reporting, feedback and using results in decision-making.
- ☒ Include M&E in project budgets.
- ☒ Ensure safety, dignity and access issues and protection needs are integrated throughout the M&E Plan

MONITOR

- ☒ Coordinate M&E activities and findings with all partners.
- ☒ Collect disaggregated data (by sex and age) during the needs assessment and all monitoring activities
- ☒ Consider achievements, progress, management, strengths and weaknesses, effectiveness, accountability, cost-effectiveness and sharing of learning.
- ☒ Collect and analyse data at the time events are occurring.
- ☒ Make sure managers promptly review monitoring activities and results and deal with any problems.

EVALUATE

- ☒ Do a Real Time Evaluation three months after the start of the emergency response.
- ☒ Time evaluations to contribute to the Country Office's long-term planning.
- ☒ Budget for evaluations and choose any external consultants carefully by checking references and previous reports they have produced
- ☒ Encourage programme participants to be involved as much as possible in the monitoring process (e.g. community monitoring committees for activities)
- ☒ Collect information which will convey the effectiveness of accountability mechanisms in communities (e.g. question: what would you do if you did not receive all the items in the relief package?)

DON'T

- ☒ Forget to feed monitoring findings back to beneficiaries. Make sure they can get this information easily (use the right language, suitable formats etc.).
- ☒ Wait to collect data until the end of the intervention
- ☒ Collect information that won't give a realistic view of what is actually happening—make sure you seek information from a range of reliable sources and cross-check it.
- ☒ Forget to include monitoring indicators in the needs assessment
- ☒ Collect information that you do not need or cannot use
- ☒ Forget to consider the composition of the M&E team - gender, age and diversity factors that might prevent meaningful engagement with different groups

Chapter 7: Reporting



KEY POINTS:

- Reporting is a key management information tool. It contributes to accountable and transparent project management
- Good reporting enables and captures input and feedback from programme participants
- Reporting can be used to capture key lessons learned within the organisations that inform future projects and can be shared with other organisations
- Good report preparation takes time and good groundwork
- Reporting relies on the information collected and analysed through M&E activities and through financial controls
- Reporting entails both narrative and financial components that must be developed concurrently and speak to each other
- The type and format of information included in each report will be determined by the report's purpose and audience
- Trócaire divides reporting requirements into internal reporting and external donor reporting requirements

Introduction

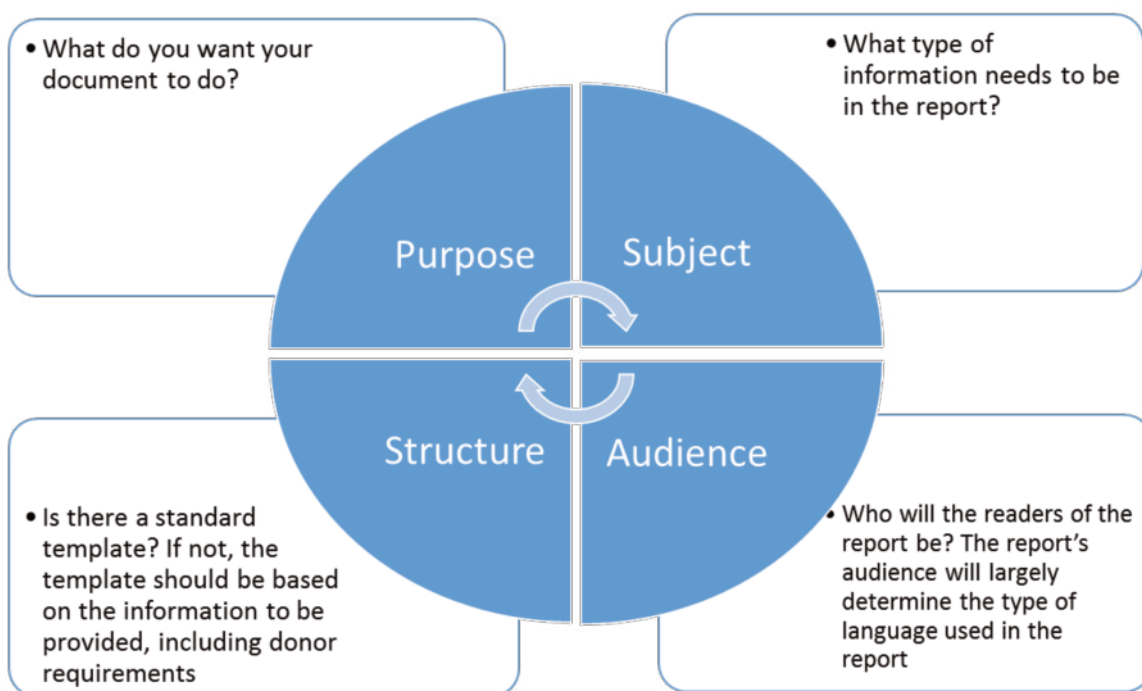
Reporting is essential not only for overall project monitoring but also as a management tool, to ensure internal and external accountability, to ensure budget expenditure matches activities and for planning future activities. **Reports allow information collected and analysed through M&E activities to be shared internally throughout the organisation, with external stakeholders and with donors.**

It ensures the documentation of the performance of a project against planned activities, outcomes and spend set out in the project design and budget. Trócaire divides its emergency reporting documents into two categories: those addressing internal reporting

requirements and those addressing external donor reporting requirements. While it is primarily the responsibility of Trócaire's partners to gather information for reporting, Trócaire's staff will have to ensure that such information is conveyed in a manner that fits the report's purpose and audience. It should also be noted that measuring and reporting against progress is much easier when expectations are clearly set out in the Monitoring & Evaluation Framework¹ as well as in individual project proposals.

Report Preparation²

When preparing a report, you should always keep in mind the following elements:



When writing your narrative report, arrange the core ideas and information in a logical way and ensure that the structure is well balanced. With the intended audience in mind, identify the core ideas essential to the document and the main points you want to make. Omit non-essential material. Use direct language, short sentences and short paragraphs whenever possible. Be brief, avoid repetition and aim for clarity, accuracy, and consistency.

Keep in mind that the reader may not possess your level of technical knowledge, and avoid the use of technical language and vocabulary. Make clear what acronyms mean. If a report is not easy to read, it will not be read. Be aware that donors may define words differently like accountability or protection and therefore it is important use certain terms carefully depending on the donor.

¹ Or "M&E plan". See chapter on "Monitoring and Evaluation".

² Adapted from All in Diary, August 2014

Check if there are minimum reporting standards or if there is a standard layout or if you can adjust and adapt your own format. Following a standard template can save time and you can always refer to previous reports written.

Ensure you are completing the report within the requisite length. Long reports should have a table of contents and executive summary.

Often reports require consultation with both partners and technical advisors in Trócaire. Ensure you have agreed with stakeholders when the first draft will be ready and whom it will be shared with for input. Ensure you have agreed on logical system of version control.³

Financial reports can be subject to particular scrutiny, particularly by donors, and therefore a review process including consultation with the Finance and Administration Manager (FAM) will help ensure that financial reports submitted are accurate, compliant with Trócaire and donor regulations and will stand up to audit.

If donor funding is involved, they will usually require reporting on any budget variances in excess of a certain percentage and to the same level of detail as per the budget submitted in the grant application/contract sign off phase. It is critical to be able to monitor programme partners' expenditure to a high level of detail.

Programme Officers should review budget versus actual reports for the donor grant as a whole, using Agresso for Trócaire's own costs and the donor reporting template for "grants to partners".

It is recommended to monitor expenditure reports and activity reports on a monthly basis while budgets forecasts should be done on a quarterly basis.



TIP BOX:

The report needs to be clear, easy to read, and backed up with reliable and key data

Trócaire Internal Reporting Requirements

Internal reporting documents rely on data collected and analysed through M&E activities and focus on operational developments relevant to the reporting period. They contain concise information on the on-going response, including information on the current situation, project progress against the planned response and future planned activities.⁴

³ All in Diary, August 2014, p. 41

⁴ An example of this is the identification of protection threats/trends by programme participants that feed into the interim report and are shown to aid in the reconfiguring of activities in accordance with the best interests of communities.

Trócaire's reports are also a tool to ensure that inputs from the affected communities are taken into consideration when shaping current and future activities. Internal reports may also be used to raise issues concerning resource requirement gaps with Senior Management within the Country Office and Head Office. Trócaire partners are responsible for drafting their own reports as outlined in the grant agreements made with partners.

Always make sure to find out if a donor provides a specific reporting format/template. A good report should include the following sections⁵ but it is also important to consider adapting reporting based on the context and partner capacity where feasible⁶:

- Summary (What happened)
- Key Disaster Data
 - This is wider, contextual information often received in coordination meetings, including information about assistance needs (goods/materials that people need) and the protection risks that are in the context.
- Security issues
- Progress vs activities, outputs and outcomes. This is the main body of the report and this section can not be written without having data against indicators.
- Beneficiaries reached disaggregated by age and sex at a minimum
- How Cross cutting issues (Protection, gender, accountability, safeguarding) are being addressed in the programme
- Challenges/problems and solutions found
- Any change in situation
- Any proposed programme changes. If you are requesting a change to the activities (and consequently the budget) for example, you would need to make your case in the narrative report.
- Involvement/engagement in coordination mechanisms/ meetings and benefits of this
- Any media & communications work done or opportunities for this
- Advocacy (any initiatives/campaign engaged in or any possible opportunities)
- Activities planned for next reporting period
- Financial management issues
- Any changes to Risk and mitigation measures
- Case study⁷

⁵ This is not a prescriptive list but should be determined by Trócaire Programme Officers – some sections like Media & Communications may not be relevant in certain contexts

⁶ This may not be possible if projects have Institutional Funds

⁷ The case study is very important and adds a human component/story to the report. It should include a photograph of the individual or group that has been supported (with their permission), and their basic details (name of person, some quotes from them on how the project has impacted on their lives).

Types of Reports

Report	Audience	Submission Date / Frequency	Author	Length	Content
Situation Report (SitRep)	Internal Trócaire	Depends on the phase of the emergency- typically daily for the first few weeks and then weekly, or 1-2 per month	Trócaire staff	3 pages	Brief factual and neutral update on context, key issues, and beneficiaries reached, progress, challenges, trends (including protection trends), needs, response and gaps in a given emergency.
Humanitarian Partner Report	Internal Trócaire	Frequency – quarterly or as specified in grant agreement	Trócaire Partner	Standard format can be found as an annex	Progress in activities/results reached, beneficiaries reached, challenges, changes in context, coordination with other stakeholders, financial expenditure, how cross cutting issues have been addressed.
Interim Reporting Narrative	Donors	Depends on donor requirement-	Trócaire Staff	Depends on donor requirement	Update on activities and progress, challenges faced and how they were addressed beneficiaries reached, changes in project/situation/needs; Financial spend/progress/Gaps
Final Reporting Narrative	Donors	Timeframe following the completion of a project/project will depend on donor requirement	Trócaire Project Officer	Depends on donor requirement	Final evaluation information, Broader overview of context, situation, main challenges, successes and lessons learnt from these, final achievements, sustainability, exit out of programme and full financial report etc.

Trócaire External Donor Reporting Requirements

Donors have their own reporting requirements which are likely to be different from those of Trócaire. Donor reporting requirements refer to what donors expect as feedback from NGOs and other recipients of funds in order to ensure accountability, measurable progress, and continuous quality improvement of their funded activities and contractual compliance.

The reporting matrix above provides details concerning the audience, frequency, author and suggested length of the different internal and external reporting requirements. Trócaire field staff should develop a reporting matrix with information pertaining to the author, frequency, and list of different reports to be produced.

When reporting to Donors ensure that you review terms and conditions set out in the original contract and proposal and address any previous feedback received on earlier reports. When writing the report it is useful to have the proposal and supporting documentation in front of you and to check back to the last report you submitted to the donor. Also, please note any contractual amendments or revisions that were made over the course of the project e.g reallocation of funding, inclusion of new activities etc and ensure that you report against the most recent proposal documents i.e. narrative, budget and Results Framework (if applicable) and in the correct donor format.

As the bulk of the information for donor reports will be collated from information provided in partner reports, it is essential that the partners reporting system and formats are set up in such a way to facilitate donor reporting.

Donor reports should NOT be overdue as it can have serious implication for Trócaire's reputation with the donor. If there is any likelihood of a delay, a clear explanation and a plan of action are needed *before* contacting the donor to explain the issue and discuss an alternative reporting timeline.

It is important to collate lessons that have been learnt during the implementation of the project and to emphasise these in the final report and how this has or will inform the next phase of project planning and response and also how it will be shared (where appropriate) for wider organisational learning. If an evaluation has been conducted and recommendations are available, these should be included in the final report particularly if the donor has funded the evaluation.



LINKS:

Trocaire Humanitarian Partner Report Template

Activity follow-up Report Template

Trocaire Sitrep Template

Trocaire Sample Sitrep

Reports Matrix/Information Management Template

ERFS 2015 Guidelines, Application Form, Budget Template, Final Narrative Report

Trocaire Somalia Case Study

Example of Trocaire ERF Final Narrative Report

Practical Checklist for Reporting



DO

- ☒ Develop a Reports Matrix, including a timeline for circulation and a dissemination list
- ☒ Refer back to the original contract/ donor guidelines before creating the timeline and /or writing an external donor report
- ☒ Familiarize yourself with the structure of the different reporting documents
- ☒ Ensure that the M&E framework/plan developed for the project gathers the required information for your reports
- ☒ Ensure beneficiary information is disaggregated by age and sex, at a minimum, for all activities
- ☒ Have most recent version of approved report templates readily available
- ☒ Ensure that you have the right computer software for the preparation of reports
- ☒ Proof-read the report for accuracy as well as grammar and spelling mistakes
- ☒ Make it easy to read and clarify jargon and acronyms
- ☒ Ensure version control
- ☒ Ensure the financial and narrative reports match (figures, budget lines, project spend etc.)

DON'T

- ☒ Forget to collect the information required for the target audience
- ☒ Share internal reports with donors or external stakeholders
- ☒ Forget to create the right title for the report or include the dates for the report, number the pages and the sections
- ☒ Don't be late with donor reports (in particular when Head Quarters must review them before submission to a donor)
- ☒ Don't forget to draw up a plan of action (in line with the donor's guidance and rules) before contacting a donor regarding reporting requirements

Chapter 8: Exit Strategy



KEY POINTS:

- Knowing how to end an emergency response can be as important as knowing when to begin one
- The exit strategy describes the timing, roles, responsibilities and funding required for the closure, scaling down, handing-over or transition to the recovery phase of a response
- An exit strategy should be developed as early as possible in a response
- Partners and communities are directly involved in developing the exit strategy. They contribute to it, understand it and own it
- Trigger indicators tell us when it is time to start implementing our exit strategy
- A successful exit strategy links relief programmes to rehabilitation and development with the goal of “building back better”
- For cyclical or slow onset crises, preparing for potential future relapses into humanitarian situations must also be considered
- The strongest exit strategies look beyond providing immediate, life-saving relief services, and look into the future to develop the capacity of partners and affected communities and governments to address the underlying issues and prepare for future crises

Introduction

Closing a programme is a key element in the lifecycle of humanitarian interventions. Programmes end for several reasons: sometimes all the goals have been achieved, or a funding cycle comes to an end or the organisation has transitioned from the relief stage of a response to the rehabilitation and development stage (programme transition). It is important to plan for this moment well in advance in order to make the transfer of responsibilities to partners or local organisations as smooth as possible, to leverage other funding sources for partners if required and to ensure that the programme's benefits to target populations are sustained. An exit strategy is a programme management tool that can guide, and be used and updated during the implementation phase.

When and how Trócaire should end a humanitarian response depends on a range of factors and can take various forms, including phasing-out or shifting to longer-term programmes. Key factors to consider when planning an exit include:

- Nature of the emergency
- Vulnerability of the population
- Regional context
- Partner capacity
- Resources (human and financial)

Whether Trócaire's humanitarian response ends with a hand-over to partners or local institutions or with a shift from relief to rehabilitation and development, an exit strategy should be developed in the early stages of the project cycle so that Trócaire's intervention is considered one step towards the sustainable future of the community.

What is an exit strategy?

The exit strategy spells out the vision, timeline and objectives for ensuring continuity or at a minimum ensuring any gains are not lost during and after the emergency response. The exit strategy document should be attached to the main programming document (strategy document and/or project design). The M&E system should include tools to monitor the progress of the exit strategy for example checking that capacity building plans are progressing or Emergency Preparedness Plans are being developed.



TIP BOX:

Clear communication to communities regarding the timeframe for the exit strategy is essential to ensure respect and dignity for programme participants and partners

An exit strategy, spells out clearly:

- Who will be responsible for what services at the end of the project;
- What the capacity needs are of the organisations responsible for taking over and how Trócaire will work to fill these gaps;
- How to dispose of Trócaire's assets if any
- Contractual obligations to national staff, partners and local suppliers
- A timeline for the transfer of responsibilities;
- How the financial resources required for funding the programmes will be generated if necessary.

**TIP BOX:**

Emergency contexts characterised by frequent or recurrent natural disasters (e.g. floods in Pakistan) require adequate investments in the preparedness of the population and local organisations.

If an emergency project will be integrated into existing development programme activities, the exit strategy will clarify the links. A humanitarian response exit strategy can explore and propose effective ways to increase the resilience of the population. It also identifies triggers (and monitoring tools) to transition from one phase to another.

Triggers can be:

- Programmatic (progress towards objectives e.g. basic needs being met),
- Contextual (overall improvement in the humanitarian situation e.g. return and resettlement post conflict, reconstruction of shelter after floods),
- Systemic (government's improved capacity to meet needs e.g. improved access to basic services provided by the government/local authorities)
- External (diminished donor contributions and shift in donors' funding from relief to rehabilitation programmes e.g. shift from blanket food provision to livelihood programming involving micro enterprise)¹.

The character of the exit strategy varies according to the nature of the crisis: the frequency of the shock, the suddenness of the onset, the vulnerability of the population, are all factors that influence the transition.

¹ WFP, *Exiting Emergencies: Programme Options for Transition from Emergency Response*, 2004

Examples of Trigger indicators:

- Alleviation of general humanitarian needs evident through proxy indicators (e.g. decrease in malnutrition, decrease in food aid dependency)
- Sufficient community programmes to provide for the basic humanitarian needs of the most vulnerable women, men, boys and girls
- Local organisation(s) trained in specific aspects of programming with adequate staff capacity;
- Evidence that the intervention will be sustained over time
- Local organisations demonstrate capacity to access external resources
- In protracted crises, changes in the political or security environment that enables programme participants to return home, generate income or access their livelihoods

Who needs to be involved in the exit strategy?

An exit strategy is a programme management tool that needs to be developed in consultation with partners, with their full involvement and ownership. The strategy has to be widely shared with communities, local authorities and other humanitarian organisations in order to create a common understanding of what can be expected from Trócaire and what the responsibilities of the different actors are. Trócaire should also support partners strengthening local capacity for future self-sustainability.

**TIP BOX:**

If you wait to develop an exit strategy late in the programme, you will not have time to strengthen the capacities of the organisations that will take over the programme if that is the case.

Early Stage	Mid Stage	Final Stage
<ul style="list-style-type: none"> • Planning the exit • Developing indicators for exit (triggers) 	<ul style="list-style-type: none"> • Updating context factors • Monitoring key indicators/triggers 	<ul style="list-style-type: none"> • Evaluating key indicators/triggers • Identifying and planning follow-up programme and LRRD

Key Elements of of an Exit Strategy	
Based on:	<ul style="list-style-type: none"> • Capacity needs of the organizations that will take over • Triggers • Vulnerability analysis of the population • Type/nature of emergency • Context analysis • Communications strategy with stakeholders • Available resources
Addressing:	<ul style="list-style-type: none"> • Roles and responsibilities • Capacities • Financial resources requirements • Timeline • Preparedness • Livelihoods • Resilience • Communication
Complying with:	<ul style="list-style-type: none"> • National labour laws • Donor requirements regarding assets • Trócaire Contractual obligations
Templates:	<ul style="list-style-type: none"> • Project exit strategy template (TBL)

Below is a Planning Matrix which can guide Trócaire teams on How to develop an Exit Strategy²

Component	Key Questions
Plan for Exit from the start!	<ul style="list-style-type: none"> • How will we 'phase-down' our program? Will we 'phase out' activities or 'hand them over' to a local actor? • What is an appropriate time line? • How much do partners and communities agree and contribute to the time line of the disengagement? • How will we know we are on track? • What indicators or benchmarks will we use? How will we monitor them? • What are the specific action steps to reach the indicators/benchmarks?
Develop partnerships and local linkages early on.	<ul style="list-style-type: none"> • What types of organisations should we partner or develop links with exit in mind? • What will they bring to us and what can we offer to them in terms of exit? • How can this help facilitate a successful exit?
Build institutional strength and staff and community capacity.	<ul style="list-style-type: none"> • What local organisations require some institution building? How? What are the areas that need capacity building? • What communities and staff require capacity building within these organisations? How? • What staff do we need within our programme? When these staff are not local, how can we bring in locals as counterparts to learn these skills so that on exit these skills are left behind? • What capacities already exist? • What indicators and methods will we use to monitor progress with capacity building? • What skills will be needed within communities when we leave (consider advocacy strategies)
Resourcing an exit strategy	<ul style="list-style-type: none"> • What inputs will we need to maintain programme outcomes? • How do we provide these inputs? Are they available locally? Externally? • Which benefits of the programme can be sustained without continued inputs? Which can't?
Stagger phase out and exit of various activities where possible	<ul style="list-style-type: none"> • What are the key elements of the programme? Which elements are dependent on others? • Build a timeline of the exit plan for each of the programme components and communicate this to stakeholders. How will this be implemented & monitored?

	Guiding Principles	Challenges
	<ul style="list-style-type: none"> • Flexibility: consider the timeline. Beneficiary needs are not static, many things change. • Maximize community/partner engagement and consultation. • Build in ongoing programme review and revision. • Transparency: especially regarding programme limitations and funding cycle. • Participatory. Partners and communities must be fully involved in deciding when and how Trócaire will handover responsibilities. 	<ul style="list-style-type: none"> • Allow adequate time and staff resources to build capacity, and to work with other organisations. • Respond to changing needs of target groups. • Resist the tendency to cover for a lack of sustainability by handing on unfinished business or financial/resourcing commitments to other organisations.
	<ul style="list-style-type: none"> • Diversity: other programme inputs may be needed as well as the core one (say construction) • Build in good coordination and communication from the start. • Ensure goals are shared and clear. 	<ul style="list-style-type: none"> • Aligning the needs and goals of diverse stakeholders. • Supporting and building the capacity and institutions of local partners without building dependency.
	<ul style="list-style-type: none"> • Build on existing capacity wherever possible • Create environments that foster skills development and passing on skills to counterparts. • Develop advocacy strategies with communities and build their capacity to access what they need in the future from other agencies (empowerment) • Monitor progress 	<ul style="list-style-type: none"> • Slower progress when working with a capacity building approach. • Retaining experienced staff (build this into your HR policies and benefits system) • Designing monitoring to track capacity building.
	<ul style="list-style-type: none"> • Build sustainability into programme from outset, and look to resource it as locally as possible. • Advocate for long term needs of communities. 	<ul style="list-style-type: none"> • Difficulty finding resources locally. • Resist the tendency to cover for a lack of sustainability by handing on unfinished business or financial/resourcing commitments to other organisations.
	<ul style="list-style-type: none"> • Flexibility and ability to adapt 	<ul style="list-style-type: none"> • Not all programmes enable staggered exit

Practical Checklist for Exit Strategy



DO

- ☒ Plan for exit in the early stages
- ☒ Design projects with sustainability in mind
- ☒ Communicate the plan to partners, the humanitarian community, local institutions and target groups
- ☒ Keep a flexible timeline
- ☒ Work to enhance resilience in areas prone to recurrent shocks
- ☒ Link emergency response to a longer-term strategic framework
- ☒ Assess the capacities of the organizations that will take over from Trócaire and develop a capacity building plan that includes on-the-job training
- ☒ Meet legal and financial obligations transparently
- ☒ Complete grant reporting requirements/process procedures for closure/exit as per grant agreement
- ☒ Transparent asset donation/ disposal with proper documentation
- ☒ Budget for the cost of exit
- ☒ Leave good documentation for ex-post evaluations including completed evaluation and management report and programme/project close report

DON'T

- ☒ Wait until the last minute to decide how to hand-over responsibilities
- ☒ Give the impression that Trócaire will stay in the country / support partners forever
- ☒ Get people used to the cycle of disaster-relief and create/deepen dependency for humanitarian assistance



LINKS:

Exit Strategy Activity Plan

What we know about Exit Strategies

Chapter 9: Coordination and Information Management



KEY POINTS:

- Effective information management and coordination are critical to the success of the emergency response, particularly sudden onset emergencies
- Information needs to be unambiguous, reliable and relevant for the intended audience whether for the organisation or the affected population
- Effective information management cuts across multiple different areas of project management: assessments, ongoing monitoring results, implementation and reporting
- Sharing and soliciting information from other agencies in a coordinated way is essential for effective humanitarian response
- Poor information leads to poor decisions and wrong choices that weaken humanitarian responses
- Coordination with other stakeholders, particularly in sharing of key information, is critical to effective humanitarian response
- Refer to the ICRC Professional Standards for Protection Work for specific information management of Protection issues (see links at the end of this chapter)

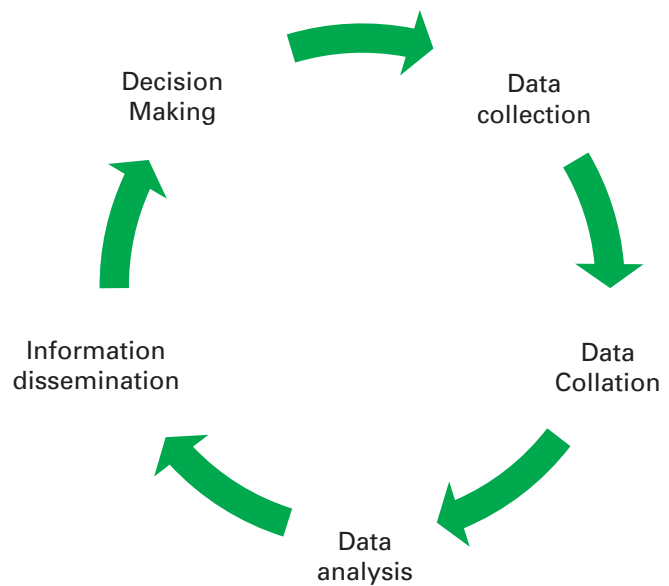
Introduction

Information is critical to an effective humanitarian response, but it needs to be clear, reliable, relevant to the intended audience and produced and updated regularly. Information management covers the need to collect data, process it into information, store it where it can be accessed, analyse and disseminate it to ensure it informs decision making and actions. Access to information is critical to enable good decision making in emergencies. Often agencies have inadequate access to information in emergencies to make appropriate choices¹.

¹ This chapter speaks about broader information management and not programmatic household/community data collection specifically (please see M&E section for this).

Information Cycle²

Data Collection – Be creative in how you collect information and utilise a range of methods: phone calls; field visits. Use ICT where feasible (see below). Build relationships with trusted sources: people share information if they get useful information in return. Always try to use common formats and datasets to ensure data can be analysed and compared with others (see Needs Assessment tools for examples).



Data Collation – Sort and align, and aggregate the information collected (see Needs Assessment tools); Store in an electronic database to avoid information loss; and ensure a back-up is made; ensure ease of use and access between country offices and HQ. See Chapter 6 of the **ICRC Professional Standards for Protection Work** for detailed guidance on the collection and handling of protection information.³

Data Analysis Don't underestimate the time needed to analyse information through the processing of data. There is a range of software available for analysing qualitative and quantitative information (at a cost) but most Trócaire teams use Excel to analyse information.

Information Dissemination – Ensure all relevant stakeholders have access to critical information. This includes information sharing between Trócaire country office and HQ; sharing information with 4W⁴ UN Clusters; with local and national governments and donors as necessary. Remember to keep information as clear and concise as possible. This is especially important during sudden onset emergencies.

Decision Making – using the information and knowledge to make informed and timely decisions that prioritise responding to the needs of the affected population. Information will enable you to decide what area the project will focus on, who it will target, how it will adapt to new contexts and how new information can be used to adapt the response etc.

² Adapted from All in Diary 2014 <http://allindiary.org/information-management/>

³ For information on quantitative and qualitative analysis tools contact the Humanitarian or Strategic Impact Unit in Head Office.

⁴ The 4Ws (Who, what, where, when) is an activity matrix and is one of the most important coordination tools for humanitarian response globally. Knowing which organisation (WHO) are carrying out which activities

Information and Communications Technology (ICT)

During emergencies, ICT presents an opportunity to collect information much more efficiently (digital data collection), particularly for data collection and data analysis. To this end, it can bring efficiencies to how needs assessments and monitoring are conducted. It can be useful for ensuring the affected population have access to information and communication also. It's important to communicate with Trócaire Head Office on the latest systems, hardware and technology available which can be utilised as this is updated regularly.

Sources of Information

Primary sources

The primary source of information for Trócaire staff should always be potential project participants and partner organisations. Effective Projects are impossible without detailed consultation with both. Information sharing with partners and project participants is key.

However, in certain circumstances you might not want to use primary data because of particular sensitivities and risk of causing harm. For example, when protection mainstreaming, you might not ask directly about what protection needs are because a) they could be sensitive and if staff are not trained to ask/deal with the response in a safe way you could do harm but also because b) you might raise expectations about providing solutions to those issues. Protection risks can often be identified/researched via secondary sources (academic papers, reports, assessments by protection specialists etc.)

Secondary sources

There are important secondary information sources that Trócaire staff need to be cognizant of in emergencies. Accessing these sources will enable much better decision making and consequently deliver more effective responses. The key areas are:

HumanitarianResponse.info and Reliefweb

HumanitarianResponse is a central website provided by UN OCHA enabling operational responders to collaborate during an emergency. After a humanitarian crisis the site is activated as a centralising portal for operational coordination, information and Information Management tools/services. ReliefWeb provides up to date situation reports and maps on crisis. For slow onset emergencies, FEWSNET⁵ should be regularly monitoring for updates and information.

⁵ <http://www.fews.net>

Caritas Internationalis – <http://baobab.caritas.org/>

As a member of Caritas Internationalis, Trócaire staff can register⁶ and access Baobab, an internal Caritas Internationalis information platform which supports information sharing and internal communication between CI agencies. Baobab can help staff access up to date information on a particular humanitarian crisis and also serves to facilitate internal communication among Caritas member organisations through specific working groups. The Caritas Emergency Toolkit with tools and resources for humanitarian response are also available on Baobab.

Cluster Coordination

Clusters are groups of humanitarian organisations (international, national, local authorities, civil society etc.) coordinating across the main sectors of humanitarian action e.g. water, food security, health, logistics. The Cluster Approach aims to strengthen predictability, capacity, coordination, accountability, and partnership, with each cluster having a designated global 'cluster lead agency'. It is vital that Trócaire (and partners where feasible) engage in the relevant clusters. The Clusters facilitate information sharing on contexts, latest assessments, gaps in response, best practice and about how to ensure programming enhances safety, dignity and access of programme participants.

Mapping

Most humanitarian information has a geographic component. Maps are a highly effective means of communicating large amounts of information in a simple form. GIS mapping can be useful and is an effective presentation tool. However, it can also be resource and time intensive. Quick and simple maps are practical and effective for many types of data, particularly at the onset of an emergency when base data is often incomplete and/or changing rapidly. OCHA is an important source for this data using satellite imagery, other geospatial information, census data and other tools. It uses this data to create maps on demand. Maps can be collected for free from UN OCHA in-country.

Who What Where When (4W) Data

The 4W database⁷ was designed by UN OCHA to provide key information regarding which organisations (Who) are carrying out which activities (What) in which locations (Where) and to what schedule (When). This information is essential if those organisations and activities are to be coordinated in a way that ensures humanitarian needs are met without gaps or duplication. It is important that Trócaire shares its project information⁸ through the 4W database to avoid duplicating efforts with other agencies and maximise coordination.

⁶ Staff should register with BOABAB prior to an emergency where possible <http://baobab.caritas.org/>

⁷ <https://www.humanitarianresponse.info/en/infographics/infographic-type/3w>

⁸ It is important to clarify that the information being shared by Trocaire does not duplicate information being shared by Trocaire partners or other Caritas Internationalis Member Organisations.

UNOCHA Contact lists

These provide the key contact information for actors working in a humanitarian operation, including rapid-onset and chronic emergencies. There can be hundreds of different organisations and individuals involved. Therefore, the ability to receive or sort contact information by cluster lead, thematic sector, location or other detail is invaluable. These contact Lists should be accessed through the UNOCHA offices in country

Meeting schedules

Coordinating a large number of actors in major humanitarian operations requires many meetings, whether for overall direction on the situation, or decision-making on a specific area with different sets of partners. Meeting schedules provide the time, location and function of all meetings in an operational environment and are available through UNOCHA in-country on humanitarianresponse.info. They are updated daily in the first weeks after a disaster. It is important that Trócaire country staff quickly decide which meetings are relevant and who will attend to have access to latest information.

Key information in emergencies	Useful information sources
<p>Early warning alerts, emergency alerts, updates, bulletins</p> <p>Daily updates with partners by phone</p> <p>Partner reports</p> <p>Relevant impact / need figures</p> <p>Ongoing assessments of needs, risks, capacities, and gap analysis</p> <p>Plans and policies of national governments, UN Agencies, UN clusters and other NGOs</p> <p>4Ws (who is doing what, where, and when)</p> <p>Situation Reports</p> <p>Photographs & short video clips from the affected areas</p>	<p>Affected population</p> <p>Local partners</p> <p>UN OCHA sitreps</p> <p>Other UN Agency and NGO sitreps</p> <p>ACAPs project</p> <p>Reports from government</p> <p>Local and international news media</p> <p>Assessment reports</p> <p>Notes/minutes For the Record of coordination meetings</p> <p>UNOCHA One response website</p> <p>Reliefweb website</p> <p>Academic or research institutions</p>



LINKS:

<http://www.humanitarianresponse.info/crises>

reliefweb.org

<http://www.caritas.org/services/CaritasBaobabEntryPage.html>

<http://www.fews.net>

<https://www.icrc.org/eng/assets/files/other/icrc-002-0999.pdf>

Chapter 10: Communications



KEY POINTS:

- Effective communications and information management is critical to the success of the emergency response
- Communications – with media (online and print) and directly to supporters – is a vital way to raise the money that enables us to mount an effective humanitarian response
- The Communications team at HQ will drive the communications response but there may be requests made to in-country teams for information, materials or possibly interviews. These requests should be treated as an integral part of Trócaire’s overall humanitarian response
- The Communications team will work with staff in affected areas, providing guidelines, tips and support on communications matters

Introduction

Information and Communication are valuable commodities during an emergency. The term “Communications” refers to the act or process of using words, sounds, signs, or behaviours to express or exchange information or to express your ideas, thoughts, feelings, etc., to someone else. In crisis situations communication is a critical element of any emergency response. When, where, how and who we communicate with will either strengthen or weaken Trócaire and partners capacity to most effectively serve those in need. One of the key factors in communicating in an emergency is being clear on **who your audience is** in order to communicate effectively and using appropriate means of communication to share your message whether it is with the affected population or the general public at home in Ireland. Information exchanged should come from Trócaire’s own experience but may also draw from data in the field¹.

¹ See “Coordination and Information Management” chapter on key information in emergencies and useful information sources.

Internal Communication Requirements / Structure

Trócaire has developed an emergency response mechanism (MERMaid) to facilitate the organisation's response to large scale humanitarian crises. The MERMaid is a framework for decision-making, response, and communication during a major response. The MERMaid team² will be responsible for leadership and decision-making during a major emergency, ensuring that clear lines of communication are agreed at the earliest possible point of a major emergency³. In addition, for each major emergency response, one focal point will be identified in the field and one in Maynooth. Having focal points does not preclude bilateral communication between relevant parties, however all key decisions and events must be communicated to them. The establishment of email groups by the Maynooth focal point for each response is recommended to ensure effective flow of information. It is important to remember that not all emergencies will result in the activation of the MERMaid, most emergencies are managed in country with support from the Humanitarian team. It is only for major emergencies that the MERMaid will be activated when an organisational response is required.

External Communications Requirements

News and social media plays an increasingly influential role in politics, public mobilisation and helping to determine priorities. Humanitarian organisations engage with them to raise their profile, increase donations, and protect their image and reputation. Apart from major emergencies, humanitarian crises are often invisible to people in the developed world. We need to tell as many people as possible what we do and why. By failing to engage the media, we limit the number of people we can reach and the effectiveness of our work.

² The decision to establish a MERMaid Response Structure and identify crisis focal points for the field and Ireland will be taken by Strategic Decision Makers including (but not limited to): Head of International, Head of Region, Head of Humanitarian Programmes)

³ Trocaire has yet to define a 'major emergency' or categorise emergencies, however generally speaking a major emergency will be defined by the scale, impact, media coverage, public reaction and support etc...

Working with the Media		
Why Trócaire needs the Media	Why the Media needs Trócaire:	Establish good relations by:
<ul style="list-style-type: none"> • Advocate the cause of those in need • Increased donations to enable us to support more people affected by the crisis • Raise our profile • Protect and maintain our image/reputation 	<ul style="list-style-type: none"> • They need high quality and relevant – stories • They need information from reliable sources in affected areas • They need support and access 	<ul style="list-style-type: none"> • Being available (for interview, information sharing, facilitating access) with key messages and information • Providing rapid access to information • Understanding journalists' concerns and making efforts to accommodate them • Supporting journalists by helping where possible (such as with transport and/or access to hard to reach areas)

Trócaire Communications Guidelines

Because of Trócaire's high profile with both the public and the media in Ireland, calls are to be expected from different media outlets when a major emergency strikes. To facilitate the prompt engagement of the media, Trócaire has developed a set of communications guidelines that should be adhered to during an emergency response.

According to the guidelines, during an emergency the Humanitarian Communications Officer (HCO) is responsible for the development and implementation of an agreed media plan, preferably from the affected area. This plan will cover the communication needs of Trócaire at HQ and in Northern Ireland, and will target all of Trócaire's key audiences. The Communications team will generate a media profile for Trócaire's emergency response, as well as engaging directly with supporters.

The key materials needed by the Communications team in times of emergency crisis are:

- Facts and figures (Trócaire response, number of people affected, critical needs, beneficiaries reached, geographic location, partners etc.)
- Photographs (e.g. people/areas affected, impact of disaster/crisis, assistance being provided by Trócaire/partners, Trócaire staff and partners (including logos where possible))

- Short video clips (e.g. showing the scale of the crisis and/or Trócaire's impact)
- A person in the affected area willing to carry out interviews with the Irish media (Communications staff in HQ are available to help prepare any staff member conducting media interviews)

These materials will be used to drive media coverage and engage directly with supporters and the general public through social media, email, etc.

The preference of the organisation is for the HCO to be deployed to the affected area in order to gather materials and conduct media interviews. In cases where deployment is not an option, the Communications team will be reliant on Trócaire's in-country staff, possibly with help from Caritas, to carry out these functions.

In an emergency, the local Caritas Organisation is often the lead agency in a co-ordinated response from the confederation. Frequently, a Communications Officer from a Caritas Member Organisation will be deployed in order to provide materials for the whole confederation. This is done in order to ease the communications pressures on programme staff. The Caritas Communications Officer should be regarded as a valuable resource and should be engaged with in order to ensure Trócaire requests are being facilitated⁴.

If a Trócaire Country Team does not have a communications officer, a focal point should be identified as part of the team's emergency preparedness planning process⁵. The focal point will then be responsible to take the lead on engaging with the media and producing photographs and videos at the country level. He or she may also be required to support Irish and UK media requests. The media guidelines table below and the practical checklist at the end of the chapter contain useful guidance for the media focal point. A code of conduct on the use of images and messages is available on the Dochas website⁶.

⁴ This may not be the case if Trócaire's response and/or intervention is with other partners or in different geographic areas from the coordinated Caritas response

⁵ This is usually the Country Director or Programme Manager

⁶ <http://www.dochas.ie/code-conduct-images-and-messages>

Media Guidelines⁷

SOCIAL MEDIA

1. Keep in mind that you are responsible for your words and behaviour on social media.
2. Be honest and transparent but do not disclose sensitive or confidential information.
3. Talk to your programme participants and partners to get a better understanding of the context and impact of the emergency
4. Don't be afraid to bring in your personality. Share the passion you feel for your work.
5. Correct mistakes and respond to constructive criticism.

PHOTOGRAPHY

1. You should obtain consent from the individual(s) and the name of the individual must be provided when taking photographs.
2. Digital cameras should be set at the highest resolution that the camera offers.
3. Avoid backlight, keep the light source behind.
4. Non JPG formats (TIFF and RAW) use more memory on cards and computers. These should be converted to JPG with editing software such as Adobe Photoshop or equivalent.
5. You may be required to advance images by e-mail. In this case, files may compress or re-size files for ease of transmission.
6. Refrain from manipulating images beyond regular colour management and cropping.
7. Photographs taken on smartphones can be sent directly to the Communications team via email or Whatsapp.

VIDEOS

1. Videos can be shot on either digital cameras or smartphones.
2. Keep the video short in length – 30 seconds to 2 minutes is ideal for social media use.
3. Have an idea of the message you want to deliver prior to shooting the video.
4. If using a smartphone, remember to hold it horizontally when recording.
5. Don't move the camera or follow subjects moving while shooting.
6. Refrain from zooming while shooting-instead stop the camera and move closer and farther away to change shot.
7. Avoid backlight

⁷ Adapted from WFP media guidelines

As a member of Dóchas Trócaire staff and partners must abide by the Dóchas Code of Conduct on Images and Messages. The purpose of this Code is to provide a framework which can be referred to when designing and implementing public communications to ensure the safety and dignity of programme participants <http://www.dochas.ie/images-and-messages>

Practical Checklist for Communications



DO

- ☒ Maintain up-to-date flow of information with key Trócaire personnel
- ☒ Regard communications – both with media and supporters – as an integral part of Trócaire’s response
- ☒ Be friendly with the media and helpful with their requests
- ☒ Keep in stock a minimum quantity of visibility items (i.e. t-shirts, logos)
- ☒ Ensure that communications equipment (i.e. camera, smartphone, and/or other video cameras) is available, functioning and fully charged

DON'T

- ☒ Ignore the media or regard communications as not falling under your remit
- ☒ Use jargon and acronyms without explanation when talking to the media
- ☒ Lose your temper
- ☒ Use images or pictures that compromise the dignity of those affected



LINKS:

Trócaire Communications Guidelines for responding to an emergency

When Disaster Strikes - Protocol for online activities during emergencies

Trócaire Logo

Dochas Code of Conduct on Images and Messaging

http://dochas.ie/sites/default/files/Illustrative_Guide_to_the_Dochas_Code_of_Conduct_on_Images_and_Messages.pdf

Illustrative Guide to the Dochas Code of Conduct on Images and Messaging <http://www.dochas.ie/images-and-messages>

Chapter 11: Advocacy



KEY POINTS:

- Advocacy is a process, based on demonstrable evidence, to influence decision-makers with and/or on behalf of crisis-affected populations
- Country offices are responsible for advocacy on field-based, crisis-specific issues using existing policy and advocacy capacity in country and from HQ
- Targets of advocacy work are identified based on the issue at hand. These could be specific clusters, the in-country Humanitarian Country Team, donors, government representatives/departments and other key players (e.g. the church) who influence decisions at country level
- In humanitarian settings Trócaire encourages collaboration with likeminded organisations e. g NGO consortia, other Caritas agencies
- Trócaire's advocacy always respects and promotes humanitarian principles in collaboration with partners and like-minded organisations

Introduction

As part of Trócaire's justice mandate, advocacy is viewed as a key strategy within Trócaire's humanitarian work to ensure the rights of those affected by crisis are met in line with humanitarian principles. The right to assistance, the right to life, safety and dignity are all part of the Universal Declaration of Human Rights. Trócaire works with partners to support and empower vulnerable communities' access to assistance, especially women and to participate in the humanitarian response processes and demand assistance and accountability from their governments.

There is a natural tension between the promotion of humanitarian principles of neutrality and addressing root causes of crises through advocacy efforts, particularly those that are political in nature. In such cases, advocacy may compromise the principles of neutrality and jeopardise the organisation's ability to address humanitarian need and to gain

humanitarian access to the affected area. This balancing act can only be addressed on a case by case basis, weighing up the costs and benefits to particular advocacy actions. In particular, risks to Trócaire staff, partners and programme participants must be properly analysed prior to any advocacy initiative to avoid any unforeseen or unintended negative consequences or backlash as a result of a specific advocacy approach (e.g. threats, intimidation, expulsion, abuse).

Trócaire's Approach to Advocacy

Trócaire's advocacy is based on a 'rights' analysis, interpreting human rights in its broadest sense to cover political, civil, economic, social, cultural and collective rights. Trócaire works in solidarity with people living in poverty and who are marginalised, seeking to empower poor communities and individuals to know and claim their rights and to participate in decisions that affect them.

Promoting humanitarian principles should always inform Trócaire's advocacy, guided by a clear understanding of the key international legal frameworks (see Principles and Policies section of this handbook). Rights-based advocacy must be applied consistently. At country office level, this work should be based on specific issues that are relevant to the particular crisis. Trócaire can add value to advocacy efforts by leveraging its strengths: partnerships and proximity to populations.

Humanitarian advocacy should always be developed in close collaborations with our traditional partners and possibly building alliances with other organisations. Our efforts should be based on a comprehensive analysis of the problems and supported by evidence collected at field level that demonstrates the relevance and longer term consequences of the issues at stake.

The term advocacy covers a number of activities that organisations or individuals implement to promote and encourage **change** in a specific policy or behaviour of a government, organisation, or possibly individual. Trócaire believes that humanitarian advocacy should speak to and grow out of practical experience in responding to a crisis. In humanitarian responses, advocacy can be done in a number of ways, by individuals or collectively by groups with shared concerns and perspectives on an issue that is related to the advancement of the human rights of populations affected by emergencies.

Trócaire's country offices are responsible for **advocacy on specific issues at field level** where they are best placed to highlight **humanitarian** issues and analyse contributory factors to a crisis context. Trócaire's humanitarian advocacy work is led and guided by those closest to the situation: our partners, our collaborators, and Trócaire staff - programme officers and Country Directors. Country offices and partners have a clear, first-hand understanding of the problems and they have access to different platforms that can be used to communicate what is of concern to the organisation. These platforms will vary across different contexts according to what humanitarian architecture is present in country.

For example the UN Cluster systems may already be in place, and or there may be a UN Humanitarian Coordinator present at national level. It is important that Trócaire and partners are engaged with humanitarian or Disaster Risk Reduction coordination mechanisms in country if they are to be an advocacy player¹.



TIP BOX:

Trócaire's country offices should seek to advocate on humanitarian issues which affect vulnerable groups in areas where we work.

Engaging with the relevant coordination mechanisms in a humanitarian setting to highlight protection issues can be an effective, informal advocacy approach. This form of evidence-based advocacy (drawn from first-hand engagement with programme participants), can inform better practice and improved guidance on issues such as protection mainstreaming, accountability, participation and inclusion.

Planning an Advocacy Strategy

An advocacy strategy depends on analysis on what needs to change and why, and provides a clear route on how to achieve the desired result. The questions below² provide a solid basis for developing an advocacy strategy. It is also important to consider the resource implications for developing and implementing an Advocacy Strategy.

1. What do we want? (Goals)

Any advocacy effort must begin with a sense of its goals. Among these goals some distinctions are important. What are the long-term goals and what are the short term goals? What are the content goals (e.g. policy change) and what are the process goals (e.g. building community among participants)? These goals need to be defined at the start, in a way that can launch an effort, draw people to it, and sustain it over time.

2. Who can give it to us? (Audiences: Key players; or Power Holders)

Who are the people and institutions you need to move? This includes those who have the actual formal authority to deliver the goods (i.e. legislators). This also includes those who have the capacity to influence those with formal authority (i.e. the media and key constituencies, both allied and opposed). In both cases, an effective advocacy effort requires a clear sense of who these audiences are and what access or pressure points are available to move them.

¹ See Coordination and Information Management chapters for information on who and how to coordinate in humanitarian contexts

² Developed by Jim Schultz of the Democracy Centre

3. What do they need to hear? (Messages)

Reaching these different audiences requires crafting and framing a set of messages that will be persuasive. Although these messages must always be rooted in the same basic truth, they also need to be tailored differently to different audiences depending on what they are ready to hear. In most cases, advocacy messages will have two basic components: an appeal to what is right and an appeal to the audience's self-interest.

4. Who do they need to hear it from? (Messengers)

The same message has a very different impact depending on who communicates it. Who are the most credible messengers for different audiences? In some cases, we need to engage the "authentic voices", those who can speak from personal experience. What do we need to do to equip these messengers, both in terms of information and to increase their comfort level as advocates?

5. How can we get them to hear it? (Delivery)

There are many ways to deliver an advocacy message. These range from the genteel (e.g. lobbying) to the in-your-face (e.g. direct action). The most effective means vary from situation to situation. The key is to evaluate them and apply them appropriately, weaving them together in a winning mix.

6. What resources do we have? (Resources)

An effective advocacy effort takes careful stock of the advocacy resources that are already there to be built on. This includes past advocacy work that is related, alliances already in place, staff and other peoples capacity, information and political intelligence. In short, you don't start from scratch, you start building on what you've got.

7. What do we need to develop? (Gaps)

After taking stock of the advocacy resources you have, the next step is to identify the advocacy resources you need that aren't there yet. This means looking at alliances that need to be built and capacities such as outreach, media and research which are crucial to any effort.

8. How do we begin? (First Steps)

What would be an effective way to begin to move the strategy forward? What are some potential short term goals or projects that would bring the right people together, symbolize the larger work ahead and create something achievable that lays the groundwork for the next step?

9. How do we tell if it's working? (Evaluation)

As with any long journey, the course needs to be checked along the way. Strategy needs to be evaluated by revisiting each of the questions above (i.e. are we aiming at the right audiences; are we reaching them etc.) It is important to be able to make mid-course corrections and to discard those elements of a strategy that don't work once they are actually put into practice. A common confusion in the development of an advocacy strategy is the difference between 'strategy' and 'tactics'. Tactics are specific actions – circulating petitions, writing letters, staging a protest – that are the building blocks of advocacy. A strategy is something larger, an overall map that guides the use of these tools toward clear goals. A strategy is a hard-nosed assessment of where you are, where you want to go, and how you can get there.



TIP BOX:

While planning is important and valuable, humanitarian situations change so rapidly, flexibility and responsiveness to the situation is key to ensure that advocacy remains relevant and does not do unintentional harm

Key Elements of Advocacy	
Based on:	<ul style="list-style-type: none"> • First-hand knowledge of the issues in the field • Regularly reviewing the changing context and political dynamics of the humanitarian crisis • Understanding of the audience • Clear message
Aligned to:	<ul style="list-style-type: none"> • Trócaire's global advocacy positions • Partners' positions
Addressing:	<ul style="list-style-type: none"> • Humanitarian response issues • Underlying issues
Aware of:	<ul style="list-style-type: none"> • Context (each crisis presents different opportunities and constraints) • Timing • Organisation's and partners' strengths • Risks to Trócaire/partner staff and communities

Standards for Humanitarian Advocacy



Context-specific and evidence based

Undertaken in partnership

Promotes Humanitarian Principles

Risks

Advocacy initiatives carry some type of risks, especially in humanitarian situations. Trócaire, in collaboration with its partners, must analyse and monitor the possible adverse effects of engaging in advocacy strategies on staff security, country programmes and vulnerable populations. Some of the risks associated with advocacy work are³:

- Reduced access;
- Security threats to staff and programmes;
- Security threats to local population;
- Distortion of messages;
- Misunderstanding or conflict among partners and internally within the organisation;
- Misallocation of resources



LINKS:

Nine Advocacy Questions

Advocacy Strategy Planning Worksheet

South Sudan Example of an Advocacy Strategy - overview

Trocaire Advocacy Strategy Template

The Advocacy Cycle

³ Adapted from: UNICEF, *Advocacy Toolkit. A guide to influencing decisions that improve children's lives*. 2010

Practical Checklist for Advocacy



DO

- ☒ Research the issue: what is the problem? What are its causes?
- ☒ Find evidence to support your argument
- ☒ Choose a clear message
- ☒ Identify the players you want to influence
- ☒ Set your goals
- ☒ Perform a risk analysis
- ☒ Try to build an alliance with like-minded organisations (strength in numbers)
- ☒ Identify the interest and relative influence of the different stakeholders in the issue (for example using ODI's Alignment, Influence and Interest matrix - AIIM), both among supporters and opponents.

DON'T

- ☒ Do it alone, without involving partners and other potential allies
- ☒ Use the same message for different audiences
- ☒ Be ignorant of the political, economic and social context and the implications your advocacy project may have.
- ☒ Start doing advocacy without a clear goal and a plan of how to achieve it
- ☒ Develop action plans that run to an internal timetable
- ☒ Disperse your energies on multiple goals (Focus!)
- ☒ Put your staff, partners and participants in jeopardy

Chapter 12: Logistics & Procurement



KEY POINTS:

- The Humanitarian Supply Chain is the network of people and processes that are involved in the flow of relief items from where they are produced until they reach the final programme participants
- Logistics is one activity of the end-to-end process of supply chain management
- Procurement and contracting of services should be transparent, accountable and provide value for money
- The type of relief items to be distributed greatly influences the selection of storage, transportation, and distribution options
- Warehouses are used as a transit point and to provide safe, clean, and dry storage conditions for supplies
- Partner Organisations are responsible for managing their supply chain
- Trócaire staff should monitor Partner logistics and procurement operations and provide support in case of limited Partner capacity
- Trócaires **Supply Chain and Logistics Handbook** should be referred to for more detailed information on Logistics and Procurement

Introduction

A normal supply chain is the network of people and processes that are involved in moving a good from the place where it is made to the end user. All organisations have supply chains of varying degrees, depending upon the size of the organisation and the type of items produced. These networks obtain supplies and components, change these materials into finished products and then distribute them.¹

¹ RCG University, "Supply Chain Management", <http://rockfordconsulting.com/index.htm>

Humanitarian supply chains are essentially the same (with programme participants being the customers) but with the following significant differences:

- Unpredictable demands in terms of timing, geographic location, type and quantity of relief items required
- Short lead time and suddenness of demand for large amounts of a wide variety of items;
- High humanitarian stakes regarding timelines in the face of donor and media attention; and
- Limited resources in terms of supply, human resources, technology, capacity and funding.

Humanitarian supply chain management encompasses the following:	
Planning	The process of turning programme requirements into logistics planning. It includes the development of a strategy to source relief items, manage their flow from port of entry to final delivery points, and select and manage the resources required to implement operations.
Sourcing	This is the process of identifying sources as well as procuring the relief items required for the emergency response. The sourcing process adopted will depend on the situation and on the time available to carry out sourcing. In humanitarian response operations, the primary emphasis is on availability and speed of delivery ² .
Logistics	Logistics refers to the flow and storage of goods, services and related information between the point of origin and the distribution points.



TIP BOX:

Logistics is one activity in the end-to-end process of supply chain management.

Humanitarian Cargo

The type of cargo to be distributed greatly influences the selection of storage, transportation, and distribution options. Logistics Officers will need to develop good knowledge of the characteristics and handling requirements of the different types of humanitarian cargo in order to optimise the supply chain.

Humanitarian cargo can be divided into food commodities and core relief items.

² Always trying to balance this with the objective to try and source as high quality materials as possible

Humanitarian Cargo ³		
Category	Type	Description
Food Commodities	<ul style="list-style-type: none"> • Cereals or cereal blends • Oils • Salt • Sugar • Pulses • Fortified foods • Ready to Use Food (RTUF) 	<ul style="list-style-type: none"> • Relatively homogenous • Standardised transport contracting process to minimise costs • Procured, transported, and stored based on tonnage • Adequate packaging is important to reduce losses and deterioration in transit and in storage. It is important to consider size of packaging particularly with women, disabled and older peoples needs in mind. Also, opting for pre-packaged items may need to be considered versus measuring out goods at distribution sights.
Core relief items	<ul style="list-style-type: none"> • Medical items • Housing and shelter items • Water sanitation and hygiene (WASH) items • Dangerous/hazardous goods 	<ul style="list-style-type: none"> • Procured, transported, and stored based on quantity and volume • Lack of standardisation within categories (for shelter, there are several different varieties of tent, tarpaulin or plastic sheeting) • Many medical items will be sensitive to temperature, humidity or light. • WASH items may be provided in kits which must be kept together. Losing one box could well render the entire kit unusable. • There are internationally recognised labels for the different kinds of dangerous goods. Transport and storage of these items is usually subject to legislation—ensure that certified personnel are available.

³ Adapted from World Food Programme Logistics Technical Trainings, Introduction to the Humanitarian Supply Chain training module, 2010.

Procurement and contracting of logistics services

Staff undertaking the procurement of goods and the contracting of services should ensure that all goods, services and construction works are sourced - either directly or goods in kind - in compliance with Trócaire standards, donor policies and all applicable laws. Make sure to consult “Trócaire’s internal Standards for Supply Chain and Logistics” for details on limits, waivers and emergency procurement processes. It should however be noted that, for the initial period of an emergency response and not exceeding three months, the normal procurement procedures and thresholds can be adapted to reflect the practical circumstances to facilitate rapid procurement and absence of normal markets.

Procurement and Contracting Principles
<p>Transparency</p> <ul style="list-style-type: none"> • All steps in the procurement and contracting processes should be accurately documented.
<p>Fair competition</p> <ul style="list-style-type: none"> • A process of competitive bidding (multiple quotations or tender) is to be used for the majority of project procurement needs. • All suppliers participating in a competitive procurement process should: <ul style="list-style-type: none"> - Get an equal opportunity to bid; - Be provided with the same information at the same time; - Be allowed a pre-determined and sufficient amount of time to provide a quotation.
<p>Segregation of duties</p> <ul style="list-style-type: none"> • Authorisation roles and responsibilities should be clearly defined at different steps in the process and include an appropriate management level escalation for high value spends. • Authorisation roles should be compliant with segregation of duty requirements. • No one individual should be responsible for the entire procurement and contracting process. A clear segregation of duties is to be documented and adhered to.
<p>Ethics & Accountability</p> <ul style="list-style-type: none"> • Ethical criteria should be considered when selecting suppliers e.g.: <ul style="list-style-type: none"> - Child labour; - Human Rights abuses; - Links to arms industry / military groups • Staff must maintain an impeccable standard of integrity in all business relationships • Staff are accountable for their actions in managing Trócaires resources

Quality and Appropriateness

- Goods, services and works procured should be locally appropriate, of acceptable quality and reflect the needs of programme participants in its specifications.
- Quality of technical goods, services and works should match national / international standards.
- Provide exhaustive information on the services or products required e.g. Food smell, taste (only for products for human consumption), colour, physical characteristics (size of the grains, powder), solubility (if relevant); Spare parts (design, part number, shape, material used/or chemical composition, density; Fabrics (colour, weave, texture)⁴

Supporting Local Economies

Whenever possible and appropriate, Trócaire and partners should endeavour to use local human or material resources, in order to assist the economic recovery of beneficiary populations. Trócaire and partners should aim to ensure that local procurement will not distort local markets, influence prices, or impact on local natural resources or the environment.

Warehousing

In humanitarian emergencies it is essential that relief items reach programme participants at the right time in the right quantities and in the right condition. Within this context, the warehouse will have two main functions:

1. As a transit point, to facilitate the movement of supplies in a timely and cost-efficient manner;
2. To provide safe, clean, and dry storage conditions for supplies.

Warehouse selection is based on analysis of options against a list of criteria including accessibility, security, the anticipation of future requirements / scaling up e.g. in an emergency.

⁴ Whenever possible consider the services of Standards Control Agencies to test and analyse goods procured

Warehouse Selection⁵
<p>Location</p> <ul style="list-style-type: none"> • Accessible by road • In proximity to points of entry (ports, airports, railway lines, etc.) and programme participants • Site should be free from flooding, drainage should be adequate and the soil should be strong enough to support the transit of trucks and other heavy vehicles
<p>Physical structure</p> <ul style="list-style-type: none"> • Solid, without cracks or holes in roof, walls, or floor. • Contamination free soil resistant to moisture absorption. • Ease of maintenance. • Suitable for humanitarian cargo to be stored - with sufficient storage capacity, refrigeration facilities if needed, and allows for the use of mechanical equipment. • Walls should have at least 20-25 cm of concrete to prevent rodents from entering. • Exterior and interior walls should be of light colour to facilitate cleanliness • Roof should overhang 1-3 metres above doors to allow loading and offloading in the rain.
<p>Accessibility</p> <ul style="list-style-type: none"> • Easy access for different kinds of vehicles (including trucks). • Should have parking and space to manoeuvre. • Should facilitate loading and offloading operations.
<p>Sanitary & other Facilities</p> <ul style="list-style-type: none"> • Water: in addition to drinking water, drainage and water pipes should be in good condition. • Electricity. • Sanitation. • Waste collection and garbage disposal
<p>Security</p> <ul style="list-style-type: none"> • Security of staff, infrastructure and humanitarian cargo. • Entrance control of people and vehicles (identification of staff and subcontracted workers, search of incoming and outgoing vehicles). • Premises should have adequate lighting. • Updated contact information for local police and fire fighting authorities.

⁵ Adapted from World Food Programme Logistics Technical Trainings, Warehouse Management Module, 2010.

A warehouse should be organised to allow for easy access to goods and an easy flow of goods including receiving, kitting and dispatching. Goods should be separated as required by type (e.g. shelter/ WASH / food / medical items/ fuels etc.) and by project and/or donor where possible. Goods are to be stored as safe and secure as possible to prevent material loss, damage and personal injury. The layout should be efficient and make use of shelving, pallets and racking⁶.

A number of core documentation activities are required to be done when receiving goods at the warehouse, when dispatching materials, to record stock control and to report on stock movements and levels of stock remaining⁷.

Trócaire's role in humanitarian logistics

Generally Trócaire's partners are fully responsible for managing the supply chain during an emergency response. Trócaire's programme and support staff should monitor and provide oversight of the processes to ensure these are in line with "Trócaire's internal Standards for Supply Chain and Logistics" as well as donor requirements. Trócaire has developed a toolkit to support Partner Organisations strengthen their supply chain operations. The toolkit includes a set of supply chain standards that are in line with best practices in the sector and conform to Trócaire's internal standards and most institutional donor requirements. Trócaire has to also consider the financial management capacity of the partner organisation to procure and distribute supplies. This should be addressed through financial checks (e.g. Trócaire Partner Financial Management Guidelines, Trócaire Minimum Requirements for Partnership, MANGO Health Check) and partner minimum requirements. However these checklists are not a prerequisite for starting the procurement process. They identify areas for capacity building and support.



TIP BOX:

In sudden onset emergencies, procurement of stock supplies should be high up the the priority list. Starting this process as soon as is possible, even before the final needs assessment and design are complete, will avoid critical delays when providing timely humanitarian assistance.

⁶ For example, positioning goods so that they are easily accessed in accordance with when they will be distributed (first in, last out) etc.

⁷ See supply Chain and Logistics Toolkit for Partner Organisations.

**TIP BOX:**

In case of limited partner capacity, Trócaire will provide assistance with the procurement of relief items and contracting of logistics services

A complementary Partner Self-Assessment Tool has also been developed to help partner organisations assess their supply chain and logistics capacity against Trócaire's standards and initiate action plans for improvement. While the tool primarily seeks to increase the capacity and independence of local partners during humanitarian emergencies, it will also enable non-emergency partners to strengthen their internal systems. The tool also provides guidance to Trócaire staff going to the field to monitor partner logistics. The self-assessment tool focuses on five process areas of the supply chain: Procurement, Warehousing, Asset Management, Fleet Management and Distributions. A sixth set of Standards, called Cross-Cutting, applies to all process areas and are included in the tool.

**LINKS:**

Supply Chain and Logistics Standards: Partner Self-Assessment Tool for Trocaire partners

Supply Chains and Logistics Toolkit for Partner Organisations

Trocaire Partner Financial Management Guidelines

Trocaire Minimum Requirements for Partnership

Practical Checklist for Logistics & Procurement



DO

- ☒ Consult with the programme staff concerning the quantity/tonnage and/or volume of relief items to be procured and delivered
- ☒ A market survey to assess the possibility for local procurement
- ☒ Consider the impact of international sourcing on local markets
- ☒ Contact customs authorities to identify options for fast-tracking the import of humanitarian cargo
- ☒ Check if there are any import restrictions on humanitarian cargo (i.e. GMOs).
- ☒ Assess the transport and delivery requirements
- ☒ Check internal standards and donor requirements for logistics and procurement
- ☒ Start the tendering process for the procurement of goods and contracting of services as early as possible
- ☒ Document all steps in the procurement and contracting process.

DON'T

- ☒ Select products and service providers only on price without considering quality of goods & services, capacity to deliver
- ☒ Sign contracts without having them reviewed by a local lawyer

Feedback Form

Country:			
Name:			
Position:			
Date:			
Use of the handbook	Daily/weekly	Occasionally	Less often
Your Feedback on the Humanitarian Handbook			
Chapter	Page	Comment/Suggestion/Edit/Correction	
Chapter	Annex	Comment/Suggestion/Edit/Correction	
General/Overall Comments			
Recommendations on how we can improve the humanitarian handbook			

Ranking of Chapters	Scoring: 1-5 (1=not useful 5=very useful)				
	Please only rank chapters used and annexes!				
	1	2	3	4	5
Chapter 1: Policies and Principles					
Chapter 2: Needs Assessment					
Chapter 3: Strategy Development					
Chapter 4: Project Design					
Chapter 5: Targeting					
Chapter 6: Monitoring and Evaluation					
Chapter 7: Reporting					
Chapter 8: Exit Strategy					
Chapter 9: Coordination and Information Management					
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