



ACT Alliance/Paul Jeffrey

# Training Handbook

## Introduction to the Core Humanitarian Standard on Quality and Accountability (CHS)

## Table of Contents

Acknowledgements.....	1
Notes for the User.....	2
Programme .....	4
Opening Session.....	5
Introduction to the Core Humanitarian Standard .....	6
Humanitarian Principles.....	7
'Principles' cards.....	8
Humanitarian Principles: Dilemmas.....	9
Commitment 1: Communities and people affected by crisis receive assistance appropriate and relevant to their needs. ....	10
East Africa Coastal Floods: Needs Assessment.....	12
Needs assessment: Guidance for the community .....	14
If the team asks you questions which are not answered in the information given here, please invent a feasible reply.....	14
Commitment 2: Communities and people affected by crisis have access to the humanitarian assistance they need at the right time. ....	17
Commitment 3: Communities and people affected by crisis are not negatively affected and are more prepared, resilient and less at-risk as a result of humanitarian action. ....	30
Commitment 4: Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them. ....	32
Participatory Approaches .....	33
Review of the Day .....	34
Commitment 5: Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints. ....	35
Commitment 6: Communities and people affected by crisis receive coordinated, complementary assistance.....	37
Banuatu case study – Exercise description and roles .....	42
Banuatu Case Study – Map .....	43
Commitment 7: Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.....	49
Monitoring, evaluation and learning: Scenarios.....	50
Monitoring, evaluation and learning: Examples.....	52

Commitment 8 – Competent and well-managed staff and volunteers    Quality Criterion: Staff are supported to do their job effectively, and treated fairly and equitably .....	55
Commitment 9: Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically. ....	59
Applying the Core Humanitarian Standard.....	78
The Verification Scheme of the Core Humanitarian Standard .....	80
What is verification? .....	80
Walking in the shoes of the auditor.....	82
Action Planning .....	100
Conclusion of the Workshop.....	110
Annex 1: Registration Form .....	111
Annex 2: Useful References .....	112
Annex 3: Learning Log.....	116
Learning Log/Personal Reflection .....	116

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## Notes for the User

### Overall learning objectives:

By the end of the workshop, the participants will be able to:

- Differentiate accurately between the humanitarian principles of humanity, impartiality, independence, and neutrality, and explain their importance;
- List the nine commitments of the Core Humanitarian Standard and explain how each contributes to the delivery of a quality humanitarian response;
- Give examples of good practice drawn from their own experience and more widely from the sector;
- Act as advocates and peer leaders on the importance of quality, accountability and good people management in humanitarian action.

### Scope:

The choice to make the course two days long reflects operational realities of humanitarian agencies, for which time is a very precious resource. It is only possible to give a basic introduction to the topics included in the Core Humanitarian Standard within two days. We hope that those whose interest is piqued by the training will follow up the references for reading and e-learning given in the Guidance Notes and in Annex 2 of this handbook to further increase their knowledge.

### Profile of participants:

The intended audience for this workshop is very wide, comprising anyone who is interested in knowing more about the Core Humanitarian Standard and its implications for policy and practice in humanitarian organisations. Individuals who have at least some existing knowledge and/or experience of humanitarian work will benefit most. It is important that participants get the opportunity to relate their learning to their current experience, and to share examples of challenges and of good practice from their own experience.

### Registration form:

Use of a registration form can help to ensure that the participants included in the workshop are the appropriate ones. In addition, it helps the facilitators to learn in advance about the knowledge, experience and motivations of the participants, so that they can orient the workshop accordingly. Annex 1 of this Handbook shows an example of a registration form.

### Pre-workshop assignment:

Participants should read (and, ideally, re-read) the Core Humanitarian Standard and the associated Guidance Notes before joining the workshop.

### Follow-up:

Research has shown that skills, knowledge and attitudes learned during training are exponentially more likely to be put into practice if the participant is offered follow up in terms of ongoing advice and support. If supervision and mentoring can be offered, this will be even more effective. We

strongly advise that this training is not taken in isolation, but given in the context of supervised opportunities to put the learning into practice, with advice available and feedback given.

### **Energisers:**

Energisers can help participants to maintain their concentration – especially immediately after lunch. We particularly recommend those that include a physical element of moving, stretching, etc. Participants are usually a good resource for fun energisers. Make sure you give them a time limit! If you are looking for ideas for energisers, try the International HIV/AIDS Alliance resource, [100 Ways to Energise Groups: Games to use in workshops, meetings and the community](#).

### **Use of this material:**

We offer this handbook as a resource for those who will design and/or deliver training on the Core Humanitarian Standard. This material is not subject to copyright and may be used and adapted freely. There is no charge for its use. New facilitators may like to follow closely the course as laid out here, whereas more experienced trainers will certainly adjust and add to it according to the context and purpose of each specific workshop they deliver.

### **Key to facilitation notes:**

**Timing:** Timings are given in numbers of minutes, with the total time needed listed at the bottom of the notes for that session.

**Materials/equipment needed:** It is assumed that an LCD projector, flipchart paper and marker pens will be available throughout, and these are not, therefore, listed against each individual session where they will be used. *If no LCD projector is available because the training is taking place in a remote place*, the slides can be printed out in advance in 'handout' format, and a copy given to each participant.

## Programme

### DAY 1

Time	Session	Methodology
09:00	Opening session	
09:30	Introduction to the CHS	Presentation
10:00	Humanitarian principles	Group exercise-scenarios, discussion
<b>11:00</b>	<b>Break</b>	
11:15	Commitment 1: Appropriateness, relevance	Practical needs assessment exercise
<b>12:30</b>	<b>Lunch</b>	
13:30	Commitment 2: Effectiveness, timeliness	Introduction to key technical standards
14:30	Commitment 3: Strengthening local capacities	Presentation, film, discussion
<b>15:30</b>	<b>Break</b>	
15:45	Commitment 4: Participation, information sharing	Discussion of real-life examples
16:45	Review of the day	
17:00	Close	

### DAY 2

Time	Session	Methodology
09:00	Review of Day 1	
09:15	Commitment 5: Complaints mechanisms	Story-telling exercise and film
<b>10:15</b>	<b>Break</b>	
10:30	Commitment 6: Coordination, complementarity	Role play exercise
11:45	Commitment 7: Learning and improvement	Group exercise-scenarios, examples
<b>12:30</b>	<b>Lunch</b>	
13:30	Commitment 8: People management	Presentation and group exercise
14:30	Commitment 9: Resource management	Simulation exercise
<b>15:30</b>	<b>Break</b>	
15:45	How to apply the Core Humanitarian Standard	
16:15	Action planning	
16:45	Conclusion	
17:00	Close	

## Opening Session

### Facilitation Notes:

Timing	Activity	Materials/equip needed
Prior to start time	Register participants and distribute workshop materials pack, notebooks and pens. Give everyone a name card.	Materials packs Notebooks and pens Name cards
05	Welcome participants, and thank them for attending. Give an opportunity to the host agency to formally open the workshop, if applicable.	
10	Introductions: Facilitators and participants each to introduce themselves – their full name, the name they want to be known as in the workshop, their job title and organisation. It can help to bring the group together if everyone also has to mention something more personalised, such as ‘the first job I had’, ‘something that no-one in this room knows about me’, etc.	
05	Facilitator shares the following practical information: <ul style="list-style-type: none"> <li>Briefly explain the format and programme of the workshop. Mention where the coffee/tea breaks will be held, arrangements for lunch, and where the toilets are located. Explain what to do in case of fire.</li> <li>Remind participants about the pre-workshop reading. Explain what follow up support will be available, and that the materials will be shared on a USB key at the end of the workshop, when certificates of attendance will also be issued.</li> <li>Together, create ‘ground rules for the workshop’, if this is a context in which this is likely to be useful.</li> <li>Ask for two or three volunteers to form an evaluation panel for the end of Day 1 (to collect feedback on the day from all participants, so that the facilitators can make any necessary changes on Day 2).</li> </ul>	
10	Show the slide with the objectives of the workshop on it. Participants work in groups to identify their expectations and any worries about the forthcoming workshop (one expectation or worry per post-it note). These can then be put up where everyone can see them, and participants given the opportunity to speak briefly about what they have written.	Presentation slide Giant post-it notes
30	<b>Total number of minutes scheduled for the session</b>	



## Introduction to the Core Humanitarian Standard

### Learning Objectives:

By the end of the session, the participants will be able to:

- Briefly describe the background, purpose and structure of the Core Humanitarian Standard
- Mention key words indicating the focus of each of the nine commitments
- Define quality and accountability
- Describe the purpose and structure of the Guidance Notes & Indicators
- Describe in brief the CHS verification scheme

### Facilitation Notes:

Timing	Activity	Materials/equip needed
20	Deliver slide presentation. Give opportunity for questions.	
10	If there is time, have a brief discussion after the presentation, using the starting point of the question, <i>Which aspect(s) of the Core Humanitarian Standard will be most useful for your organisation/programme?</i>	
30	<b>Total number of minutes scheduled for the session</b>	

## Humanitarian Principles

### Learning Objectives:

By the end of the session, the participants will be able to:

- Give the definitions of the humanitarian principles of humanity, impartiality, independence and neutrality, as written in the Core Humanitarian Standard
- Explain the importance of the humanitarian principles, and how they can be applied
- Give examples of dilemmas faced in the application of the principles
- Identify best practice strategies for applying the principles

### Facilitation Notes:

Timing	Activity	Materials/equip needed
10	Introductory presentation: What are the principles, where did they come from and why are they important?	Presentation slides
05	Put participants into four groups. Groups match cards of principles and their definitions.	'Principles' cards
20	<p>Give out the handout setting out scenarios of dilemmas about the principles – assign each group one scenario for which they should prepare – on a flipchart paper – the answers to the following questions:</p> <ul style="list-style-type: none"> <li>• Which humanitarian principle(s) is/are challenged by this scenario? <i>NB: Solution: Scenario 1-Impartiality, 2-Independence, 3-Neutrality, 4-Humanity</i></li> <li>• How would you recommend that your organisation should proceed if facing this scenario?</li> <li>• What kind of dilemmas have you faced in your experience in implementing humanitarian action according to humanitarian principles?</li> </ul> <p>If one group finishes sooner than others, they can start to look at another of the dilemmas.</p>	Handout on dilemmas
15	Back in plenary, groups take it in turns to share their conclusions, and other groups have the opportunity to ask questions or add points for each scenario.	
10	Conclude by asking the group, 'Do you think the principles are important or not? Why/why not?'. Record their answers on flipchart, and put it up on the wall along with their group work, for reference during the rest of the workshop. Try to	

	<p>ensure that you elicit the following key points:</p> <ul style="list-style-type: none"> <li>Principles are a tool for decision-making in complex situations;</li> <li>Following the principles, and being known for doing so, can help to ensure access in emergencies;</li> <li>Following the principles can help earn the trust and acceptance of affected communities, and enhances the credibility and reputation of an organisation, and of the humanitarian sector as a whole;</li> <li>Following the principles helps to ensure that beneficiary selection criteria and contract tendering procedures are transparent.</li> </ul>	
60	<b>Total number of minutes scheduled for the session</b>	

### 'Principles' Cards

<b>Humanity</b>	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.
<b>Impartiality</b>	Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no adverse distinction on the basis of nationality, race, gender, religious belief, class or political opinion.
<b>Independence</b>	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.
<b>Neutrality</b>	Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.

## CHS Introductory Training: Humanitarian Principles

### Humanitarian Principles: Dilemmas

Consider the following questions in relation to the scenarios below:

- Which humanitarian principle(s) is/are challenged by this scenario?
- How would you recommend that your organisation should proceed if facing this scenario when considering opening a programme in the country in question?
- What kind of dilemmas have you faced in your experience in implementing humanitarian action according to humanitarian principles?

1. In an Asian country with a long history of repressive government, the first ever democratic elections have taken place, and NGOs are now being invited to come and help. An international organisation would like to open a clinic in an area which will serve a stigmatised ethnic group where the needs are very high. Government permission is granted on the condition that the organisation opens a second clinic in an area where the needs are far less but the population is of the same ethnic and religious group as the ruling party.

2. In an era where there is a scarcity of funding available for humanitarian assistance and, simultaneously, a high number of complex emergencies linked to conflicts, a generous donor government in the Middle East offers to provide a significant grant for shelter for refugees from a conflict in the same region. The assistance granted will ensure they have provision of services at a much higher level than that of refugees in other places. There are strong indications of human rights violations perpetuated domestically by the donor government in question.

3. In a country in the Horn of Africa, a civil war is underway between the government and a group of tribes with a different faith and ethnic profile. Organisations and donor governments which embrace the same faith as the rebel group have been taking the lead in providing mass food distribution in the rebel-held areas, along with medical assistance in areas of relative security. The financial costs of working in this large and remote conflict-affected region of the country are very high indeed. The insecurity means it is difficult to track who are the final recipients of the food which is distributed. The civilian population are anyway strongly supportive of the rebels, and likely to share any food received with the combatants.

4. In a Central South Asian country, organisations have avoided working in certain areas with communities in great need because of the possibility of some of the assistance falling into the hands of terrorist groups active there. If assistance got diverted in this way, even though the intent would not be to support terrorism, aid organisations could be liable for prosecution under counter-terrorism laws in their own country.

## Commitment 1: Communities and people affected by crisis receive assistance appropriate and relevant to their needs.

### Learning Objectives:

By the end of the session, the participants will be able to:

- Name the key steps needed to ensure effective needs assessment is undertaken in emergencies
- Explain the importance of ensuring that particularly disadvantaged groups are consulted about their needs

### Facilitation Notes:

Timing	Activity	Materials/equip needed
10	Presentation – key steps and issues in undertaking a needs assessment.	Presentation slides
10	<p>Distribute the handout <i>East Africa Coastal Floods: Needs Assessment</i>, and read through it together.</p> <p>Ask for four to six volunteers (depending on the overall group size), to form the assessment team. Ideally, the assessment team should be gender balanced and preferably include some participants with experience of undertaking needs assessments. The rest of the group will take the roles of the community.</p> <p>The second page of the handout gives written instructions and timings for the exercise, for the participants to refer to.</p>	
10	<p>Groups prepare for the role play.</p> <p>The assessment team needs to agree their approach and what information they need to find out. They should do this in another room, if at all possible, so that the needs assessment team and community members do not overhear each other.</p> <p>Distribute the handout <i>Needs Assessment: Guidance for the Community</i> to those playing the community members, and go through it with them. Work with them to assign the pieces of information listed, and make sure they understand the advice regarding when they can share it and when not. They should decide for themselves if they are a man, woman or child in the role play, and they can invent some key</p>	

	details about their lives if they would like to build up some 'back story'. Stress to the community that they are well-disposed towards the organisation sending the needs assessment team, and that they should not be hostile towards them.	
15	The role play of the needs assessment takes place. The facilitator should stop it at an appropriate moment after approximately 15 minutes.	
10	<p>Following the assessment, the two groups work together as follows:</p> <p>The assessment team prepares to report its findings to a group of donors, other NGOs and government representatives.</p> <p>The community members note which pieces of information they shared, and which they did not, and discuss together how they felt during the assessment.</p>	
10	<p>The assessment team reports their findings, taking no longer than five minutes.</p> <p>The community feeds back to the assessment team on the information they did not share, and why not (maximum five minutes).</p>	
10	Debriefing: The facilitator guides a reflection on the learning from the role play and the overall session, and gives participants the opportunity to ask any questions they have.	
<b>75</b>	<b>Total number of minutes scheduled for the session</b>	

**Suggestions if you have more time:**

05	Show ACAPS film clip from YouTube on Qualitative & Quantitative Methods in humanitarian needs assessment.	Film clip
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## CHS Introductory Training: Commitment 1

### East Africa Coastal Floods: Needs Assessment



Unusually heavy rains in the coastal belt of an East Africa country at the beginning of the wet season have led to widespread flooding. A remote county in the north has been identified as the worst affected area. This county suffers from chronic poverty. It is adjacent to the border with the neighbouring country, a persistent failed state whose rural areas are substantially controlled by a rebel group linked to Al-Qaeda. The area has suffered a number of terrorist attacks on buses and hotels, and has seen a subsequent decline in the tourist industry on which it is heavily economically dependent.

Data collected last week by the National Red Cross Society indicates that two people died (when their house collapsed on them during heavy rain) and 10,000 people are affected, the flood waters having destroyed houses and crops. The total population of the county is just over 100,000, according to the most recent national census figures. Your research on ReliefWeb shows that floods occur in this county during the wet season at least every other year. The national press are currently reporting cholera outbreaks in two different parts of the country, including further south in the coastal zone.

Your NGO has had a presence in this coastal area for more than ten years. You have an office in the largest town on the coast – 200 kilometres from the affected county. You have run programmes in that county in the past, although not currently.

You have already held key informant interviews with the County Governor and his senior technical advisors on agriculture and on health. The County authorities provided rescue services for stranded people during the initial stage of the flood, as well as equipment to pump away the flood water and mud. They plan to investigate the longer-term implications and to look for solutions, particularly with regard to unauthorised construction of homes and larger buildings in drainage channels.

The National Red Cross Society is known to be a strong and effective organisation, but has been rather overstretched recently responding to a number of devastating terrorist attacks across the country. Nevertheless, they have informed you that they have managed to make a distribution of food packages and bedding in the county, which has reached almost all those affected by the floods. They hope to do a further food distribution next week.

## Exercise

You have now arrived at the largest village in the affected area, and you are going to engage with the community there to conduct an assessment to find out their needs. You are leading the assessment, but you are accompanied by two other NGOs, one international and one local.

### Preparation

5 minutes

**Assessment team:** Agree your approach and what information you need to find out.

**Community:** Read the guidance and assign roles.

### Assessment

15 minutes

### Debriefing

10 minutes

Following the assessment, confer in your groups as follows:

**Assessment team:** Prepare to report your findings to a group of donors, other NGOs and government representatives.

**Community:** Make a note of what information you shared with the assessment team, and what you did not.

### Reporting back

10 minutes altogether

**Assessment team:** Give the report of your findings, taking no longer than five minutes.

**Community:** Feed back to the assessment team on what information you did not share, and why you did not share it (five minutes).

### Reflection

5 minutes

Together reflect on what issues this exercise has raised.



## CHS Introductory Training: Commitment 1

### Needs assessment: Guidance for the community

You have no pre-existing issues or problems with the organisation visiting you today. In previous contacts, they have always been respectful, and their projects have been helpful.

Do not introduce yourself, unless invited to do so. If the team does invite you to introduce yourself, do so openly and without hesitation.

Assign community members with the following pieces of information. Guidance is given in each case about how or when to share the information.

If the team asks you questions which are not answered in the information given here, please **invent** a feasible reply.

#### **We cannot afford to send our children to school.**

Share this information freely at any suitable moment. Repeat at every opportunity. This is your community's biggest long-term frustration and highest priority for action.

#### **We need food urgently, as our food stores were destroyed.**

Share this information freely at any suitable moment.

#### **Our houses and all our possessions have been destroyed.**

Share this information freely at any suitable moment.

#### **The floods have brought many mosquitoes. We do not have nets or sprays to protect ourselves from them.**

Share this information freely at any suitable moment.

#### **Fewer than half of us can read and write.**

The community are embarrassed by this. You should only share if you are asked specifically and politely about your level of education.

**If we get maize seeds now, there is still time for us to replant and get a harvest in five months' time.**

Share this information only if you are specifically asked about the planting season.

**The mosque and the church here are trying to help, as neither of them were flooded. Some of the older people and the children are sleeping inside the mosque, and the church has been providing anyone who needs it with one meal of maize-meal porridge each day since the floods occurred.**

Share this information only if you are asked if others are helping the community in any way.

**Our fishing boats were not badly damaged by the floods. However, we have not been out to fish since the floods occurred, because we have been trying busy salvaging our possessions and comforting our families.**

Share this information only if you are specifically asked what means remain to you to provide food or money for your families.

**We need sanitary pads to help us deal with our menstruation while we are out of our homes.**

Share this information only if women community members are invited to form a separate group, to speak individually with one of the NGO staff or to submit written requests. You will not say this in front of the men in the community.

**There are prostitutes who are approaching our local men because they don't have enough business from tourists any more. Our husbands have 'girlfriends' and they don't use condoms with them or with us. We are afraid of HIV.**

Share this information only if women community members are invited to form a separate group, to speak individually with one of the NGO staff or to submit written requests. You will not say this in front of the men in the community.

**Some of us are work in the nearby tourist hotels. We are worried about losing our jobs because we have no way to keep our uniforms washed and ironed since the floods. There is a laundry in the town where the hotels are, but for that we have to pay a small amount of money, and we cannot afford it.**

Not being able to keep clean and presentable is painful for these individuals, who have a high status in the community because they have salaried jobs. Despite the desperate implications if you do lose your job, you share this information reluctantly, and only if asked directly about what livelihood activities/means of support you have.

**The latrines which are nearer to the river are flooded. Others are okay, including those at our village primary school. But we have not been able to persuade the headmistress to let us use them temporarily, until ours dry out. We have to relieve ourselves in the fields, and we are worried about the possibility of disease.**

This information should only be shared if you are asked directly about latrines or sanitation.

**The Village Chief has built a large house and paved terrace in one of the main drainage channels for the village.**

The person reporting this may be at risk of reprisals from the Chief. You should only mention it reluctantly, if asked specifically and directly about factors which contribute to the flooding.

## Commitment 2: Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.

### Learning Objectives:

By the end of the session, the participants will be able to:

Name seven other standards relevant to humanitarian and development work, mainly technical standards, as follows, and explain briefly the purpose and content of each:

- The Sphere Project: Humanitarian Charter & Minimum Standards in Humanitarian Response
- The SEEP Network: Minimum Economic Recovery Standards
- LEGS: Livestock Emergency Guidelines & Standards
- INEE: Minimum Standards for Education: Preparedness, Response, Recovery
- IASC: Minimum Standards for Child Protection in Humanitarian Action
- Code of Conduct for the International Red Cross & Red Crescent Movement and NGOs in Disaster Relief
- Groupe URD: Quality COMPAS

### Facilitation Notes:

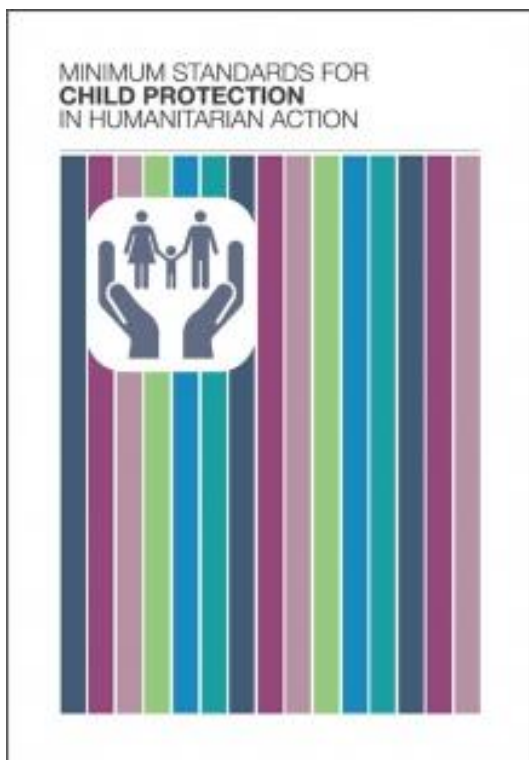
Timing	Activity	Materials/equip needed
05	Read through Commitment 2 with the participants, so that the context of the subsequent exercise on this Commitment is clear.	
10	Ask participants to share their experiences of working with technical and other standards.	
10	<p>Facilitator puts the participants into seven groups.</p> <p>She/he then spreads the cards depicting the seven standards on a table at the front of the room. Groups are invited to send one representative each to the front of the room to pick one standard, preferably one they are already familiar with. The representatives then return to their groups and show them which standard they have picked.</p> <p>The facilitator asks the groups to now pass their card to the group on their immediate left. Groups familiarise themselves with their new card representing a different standard.</p>	Laminated 'standards' cards (see materials section, below)
10	The facilitator spreads the brief descriptions of the standards on the table at the front.	

	<p>Groups must send a different representative to the table to choose the description which matches the standard that they currently hold. The representative then returns to the group with the description, and the group reads it together and decide whether or not they are in agreement that the correct matching description has been selected.</p> <p>The facilitator asks the groups to pass their two cards to the group to their immediate left. Groups take a few moments then to familiarise themselves with their new standard.</p>	
10	<p>The facilitator spreads laminated pages from each of the standards on the table at the front.</p> <p>Groups must send a different representative to the front to select the page which matches with the standard and description they are currently holding.</p> <p>The representative takes the selected page back to their group. The group examines the page to verify whether or not it matches with the standard card and description that they are holding.</p>	
05	The facilitator gives groups five minutes to prepare a very brief introduction to their standard.	
10	Groups take it in turns to make a one-minute presentation on 'their' standard to the group as a whole.	
<b>60</b>	<b>Total number of minutes scheduled for the session</b>	

**NB: Full texts available (usually in multiple languages) at:**

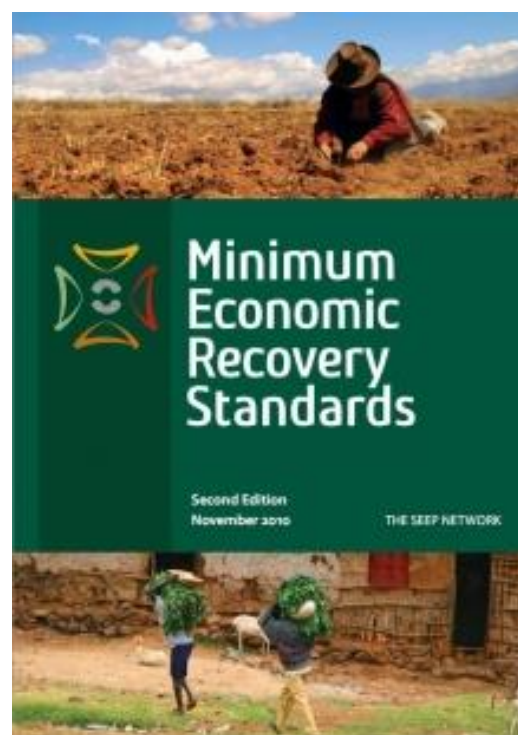
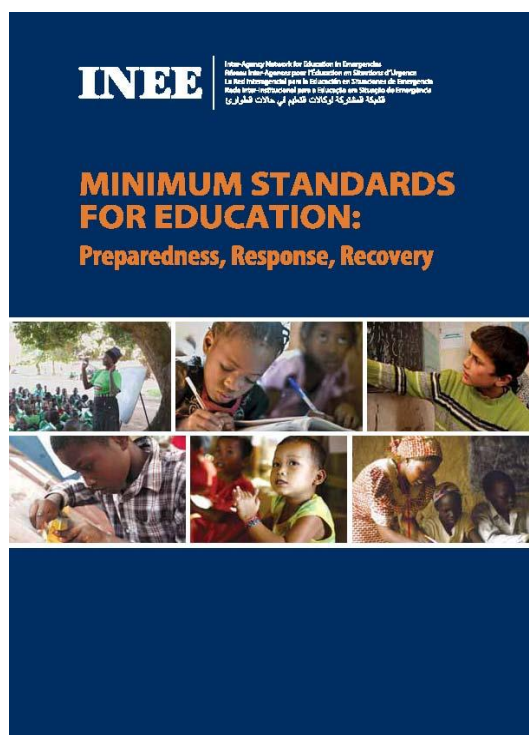
- **Child Protection:** [http://cpwg.net/minimum\\_standards-topics/cpms-full-version/](http://cpwg.net/minimum_standards-topics/cpms-full-version/)
- **Sphere Handbook:** <http://www.sphereproject.org/handbook/>
- **LEGS:** <http://www.livestock-emergency.net/resources/download-legs/>
- **INEE:** <http://www.ineesite.org/en/minimum-standards/handbook>
- **Quality Compass:** <http://www.compasqualite.org/en/compas-method/supports-compas-method.php>
- **Code of Conduct:** <http://www.ifrc.org/en/publications-and-reports/code-of-conduct/>
- **Economic Recovery:** <http://www.seepnetwork.org/the-handbook-pages-20106.php>

Materials for Standards exercise (print off and laminate, to make cards):

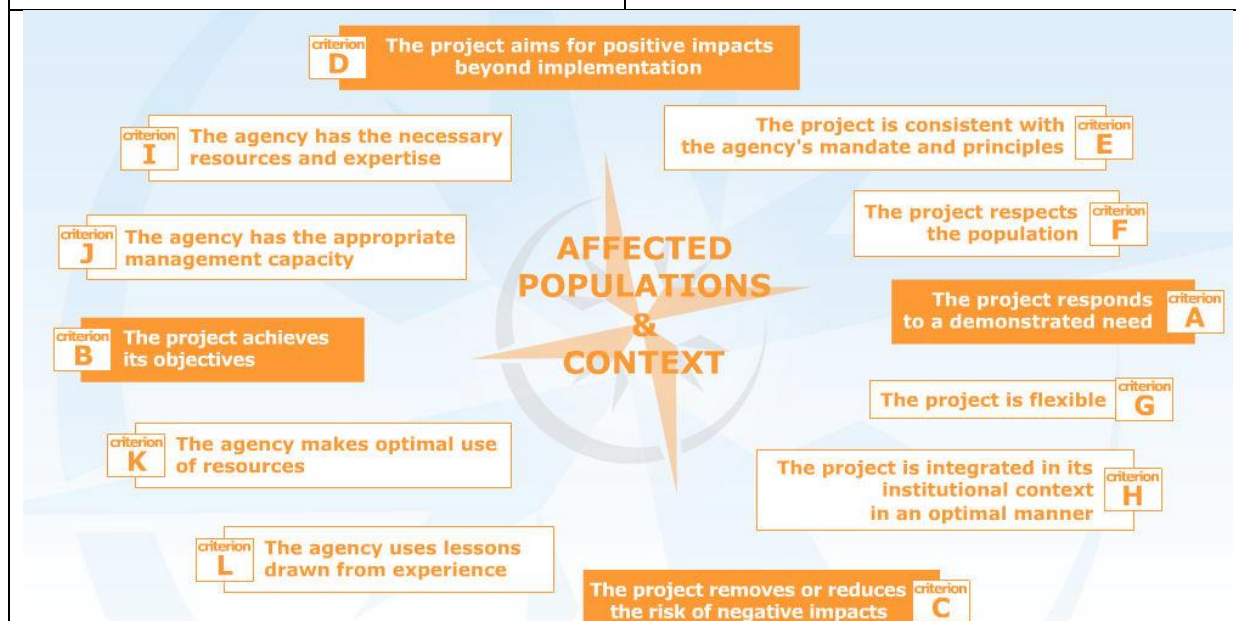
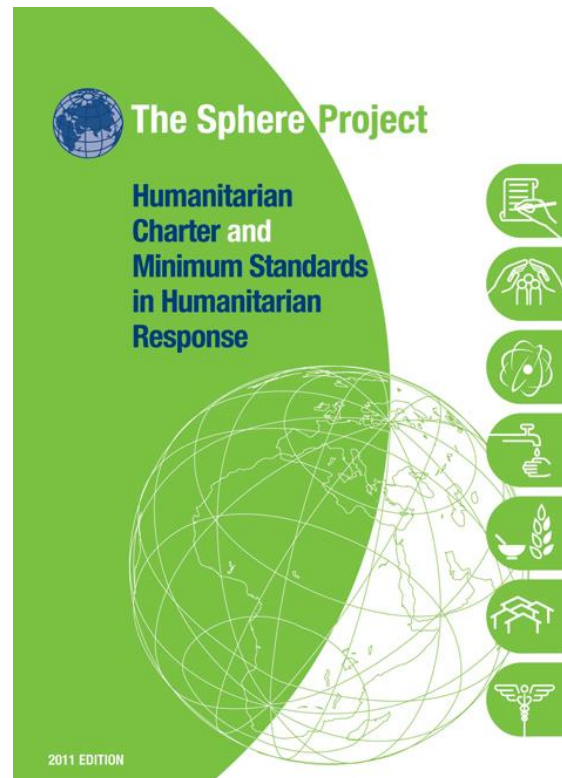
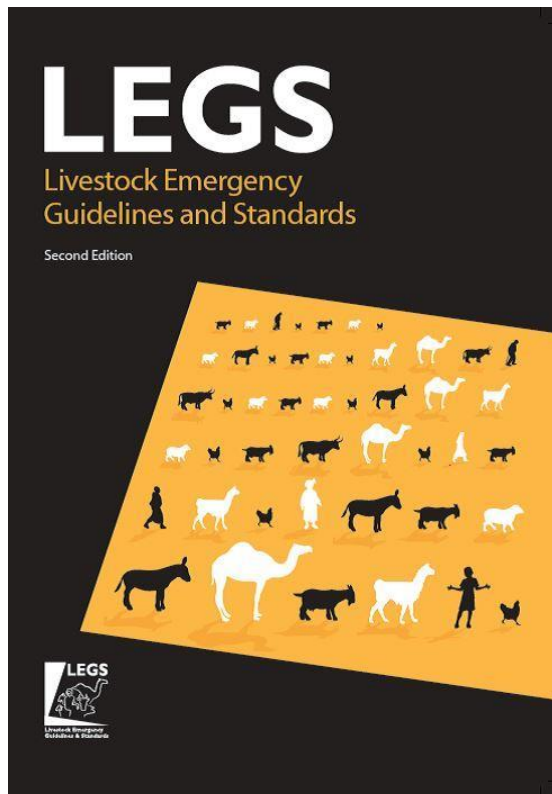


## Code of Conduct

for  
the International Red Cross and  
Red Crescent Movement  
and  
Non-Governmental Organizations (NGOs)  
in Disaster Relief







**Descriptions (print off and laminate to make cards):**

**1.** This standard puts the right of disaster-affected populations to life with dignity, and to protection and assistance at the centre of humanitarian action. It promotes the active participation of affected populations as well as of local and national authorities, and is used to negotiate humanitarian space and resources with authorities in disaster-preparedness work. The minimum standards cover four life-saving areas of humanitarian aid: water supply, sanitation and hygiene promotion; food security and nutrition; shelter, settlement and non-food items; and health action.

**2.** In an effort to improve the capabilities and accountability of humanitarian and economic practitioners, this standard focuses on minimum industry standards for facilitating economic recovery in crisis situations. It sets out strategies and interventions designed to improve income, cash flow, asset management, and growth among crisis-affected households and enterprises. These include financial services, productive assets, employment, and enterprise development. It emphasises encouraging the re-start of enterprises and livelihoods strategies, and improving market productivity and governance.

**3.** This is a standard for the design, implementation and assessment of livestock interventions to assist people affected by humanitarian crises. It presents practical options for supporting livestock during and following disasters. It provides guidance on participatory processes to identify appropriate livestock responses, followed by detailed information on destocking, veterinary services, the provision of feed and water, livestock shelter and settlement, and restocking.

**4.** This standard articulates the minimum level of educational quality and access in emergencies through to recovery. It covers all domains of educational response from access and safety of learners, to the development of curricula and the role of teachers. It aims to:

- enhance the quality of educational preparedness, response and recovery;
- increase access to safe and relevant learning opportunities for all learners, regardless of their age, gender or abilities; and
- ensure accountability and strong coordination in the provision of education in emergencies through to recovery.

**5.** This standard establishes common principles aimed at strengthening coordination amongst — and improving accountability of — child protection workers. It provides a synthesis of good practice and learning and enables better advocacy and communication on child protection risks, needs and responses. The standards are designed to ensure a quality child protection response focus on key programming concepts. Standards addressing child protection needs cover core work areas and critical issues. Those addressing strategy relate to case management, community-based child protection, child-friendly spaces and protection of excluded children. A fourth set of standards gives guidance on how workers in other sectors can ensure that their programmes are accessible and beneficial to children.



6. This code seeks to safeguard high standards of behaviour and maintain independence and effectiveness in disaster relief. It is a voluntary code, enforced by the will of organisations accepting it to maintain the standards it lays down.

7. This standard is built around a quality reference framework, the compass rose, which is central to the quality assurance method. The Quality Compas, composed of twelve criteria that define the quality of a humanitarian project, is centred on crisis-affected populations and their context. At the four cardinal points, impact and results criteria focus on affected populations and their environment. To meet these four criteria, there are eight structure and process criteria, which focus on the project and the aid agency. At each stage in the project cycle, aid agencies are faced with a certain number of critical points where the quality of their action may be affected. Each critical point is associated with one of the twelve criteria of the compass rose. By asking questions (key questions), this method guides the user in making decisions in order to ensure 'quality' project management.

### Key

1. **The Sphere Project:** Humanitarian Charter & Minimum Standards in Humanitarian Response
2. **The SEEP Network:** Minimum Economic Recovery Standards
3. **Livestock Emergency Guidelines & Standards**
4. **INEE:** Minimum Standards for Education: Preparedness, Response, Recovery
5. **IASC:** Minimum Standards for Child Protection in Humanitarian Action
6. **Code of Conduct for the International Red Cross & Red Crescent Movement and NGOs in Disaster Relief**
7. **Groupe URD:** Quality COMPAS



## STANDARD 2 HUMAN RESOURCES

Humanitarian agencies have been taking progressive steps to ensure child protection staff develop the skills and expertise needed to work on child protection in emergencies, and to ensure that all staff are safeguarding children through appropriate policies and procedures. This standard does not aim to replace standards developed elsewhere, but rather provides a focus for human resources when mobilising child protection staff and implementing safeguarding requirements.

### STANDARD

Child protection services are delivered by staff with proven competence in their areas of work and recruitment processes and human resource (HR) policies include measures to protect girls and boys from exploitation and abuse by humanitarian workers.

## KEY ACTIONS

### PREPAREDNESS

- Develop, implement and monitor a child safeguarding policy or child protection policy that applies to all staff and partners. Include references to the Secretary-General's Bulletin on the Special Measures for Protection from Sexual Exploitation and Sexual Abuse, the Keeping Children Safe Standards and the IASC Six Core Principles Relating to Sexual Exploitation and Abuse;
- ensure that all staff have signed and received orientation on the code of conduct, particularly the rules governing behaviours related to the protection of children against sexual exploitation and abuse, and including the consequences if they violate the code;
- train focal points and implement a monitoring and complaints mechanism within the organization; and
- at global level, set up a pool of standby personnel and mechanisms for rapid deployment, preferably including flexibility to deploy them from as near the emergency as possible.

### RESPONSE

- Take stock of existing human resources in the context – such as social workers or trainee social workers, teachers, staff of local organisations and community volunteers (such as those in faith communities), and identify



## PRELIMINARY PHASE

During the preliminary phase, agencies decide whether to commence the Initial assessment phase or not. When an emergency situation is declared, the preliminary phase is the first phase in the project cycle. It involves assessing whether institutional capacity is coherent with people's needs. Access to information at this point is often limited.

### ***Preparing the preliminary phase***

- 1 (J3)** When assessing whether to carry out a diagnosis or not, what information (i.e. source, quality, accuracy, etc.) do you base your decision on?
- 2 (J1)** How do you make the decision to carry out a diagnosis? Who makes this decision or participates in the decision-making process? Where is the decision taken? (e.g. head office/field office, Desk officer/Chairman/Board of members)
- 3 (I3)** What time limit are you giving yourself before making a decision about whether to carry out a diagnosis?

### ***Rapid situation and needs analysis (opportunities and constraints)***

- 4 (A1)** According to the information available, can you identify needs that have been provoked by the crisis, and that neither the population, controlling authorities nor other actors are able to meet?
- 5 (E2)** What are the political and legal issues relating to this crisis?
- 6 (B2)** Would foreseeable constraints, such as limited access, delays, administrative issues, etc., make it impossible to implement a project or could they be overcome?
- 7 (J6)** Does the current security situation allow you to consider implementing a project?
- 8 (E4)** Is there a risk that certain actors may try to manipulate or exert pressure on your intervention?
- 9 (L3)** Can previous experience in similar contexts provide you with information about the opportunities and risks that could affect a potential project?

### ***Rapid analysis of institutional capacity***

- 10 (E3)** Based on your initial appraisal of the situation, do people's needs correspond to your agency's mandate? How does this crisis concern you?
- 11 (I1)** Does your agency currently have the capacity to mobilise or obtain the necessary resources for an intervention? How much time will you need to mobilise them?
- 12 (J4)** Does your current management capacity (administrative, logistical and financial) allow you to consider implementing a new project?

### ***Finalisation and record keeping***

- 13 (L1)** How is the decision to carry out a diagnosis documented?



## Core Standard 2: Coordination and Effectiveness

Economic recovery is planned and implemented in coordination with the relevant authorities, humanitarian agencies, and civil society organizations, working together for maximum efficiency, coverage, and effectiveness—in partnership with the private sector for greater leverage and impact.<sup>17</sup>

### Key Actions

- Opt for participating in relevant sectoral coordination mechanisms from the outset (see Guidance Note 1), rather than creating new ones.
- Be informed of the responsibilities, objectives, and coordination role of government authorities and other relevant coordination groups, where present (see Guidance Note 2).
- Provide information about the agency's mandate, objectives, and economic recovery programs to the relevant coordination bodies and local stakeholders (see Guidance Note 3).
- Provide information about program objectives and progress on a regular basis, to enable coordination leaders to establish a clear division of labor and responsibility, gauge the extent to which economic recovery needs are being collectively met, and reduce duplication or gaps in coverage or quality.
- Collaborate with other implementing agencies to strengthen advocacy on critical concerns.
- Clarify agency practice regarding coordination and partnerships with the private sector and other actors in the response (see Guidance Note 4).
- Use coordination mechanisms to undertake joint assessments, disseminate findings and other relevant information, and/or formulate intervention strategies and programs.

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17. See *Sphere Handbook* (2011 edition, forthcoming) Core Standard 2: Co-ordination and Collaboration for more information.

like the one in Somalia in 2011, to climate change. At present, climate science gives few specific pointers to the disaster risk reduction community on how to improve drought preparedness or to conduct interventions during droughts. As the science progresses, it is important for agencies involved in disaster risk reduction among livestock keepers to keep abreast of what is known about future trends and levels of certainty. It will also be important to take account of scientific views in public statements on the trends in and causes of droughts.

## The core standards

### Core standard 1: Participation

The affected population actively participates in the assessment, design, implementation, monitoring, and evaluation of the livestock programme.

### Key actions

- Identify all specific subsets and vulnerable groups in a population, inform them that an assessment and possible intervention(s) will take place, and encourage them to participate (see *Guidance notes 1 and 2*). Monitor and evaluate the process (see *Guidance note 3*).
- Document and use key indigenous livestock production and health knowledge and practices, coping strategies, and pre-existing livestock services to ensure the sustainability of inputs (see *Guidance note 4*).
- Base interventions on an understanding of social and cultural norms (see *Guidance note 5*).
- Discuss planned programme inputs and implementation approaches with community representatives and/or community groups representing the range of population subsets and vulnerable groups (see *Guidance note 6*).

### Guidance notes

- 1. Representation of groups.** The effective identification, design, and implementation of livestock interventions requires the involvement of local people, particularly that of marginalized or vulnerable groups who keep livestock or who might benefit from access to livestock or livestock products (see *Case study 2.4* at the end of this chapter). This involvement should



## Access and Learning Environment Standard 1: Equal Access

All individuals have access to quality and relevant education opportunities.

### Key actions (to be read in conjunction with the guidance notes)

- No individual or social group is denied access to education and learning opportunities because of discrimination (see guidance note 1).
- Learning structures and sites are accessible to all (see guidance note 1).
- Barriers to enrolment, such as lack of documents or other requirements, are removed (see guidance notes 2 and 4).
- A range of flexible, formal and non-formal education opportunities is progressively provided to the affected population to fulfil their education needs (see guidance notes 3-5).
- Through sensitisation and training, local communities become increasingly involved in ensuring the rights of all children, youth and adults to quality and relevant education (see guidance notes 6-7).
- Sufficient resources are available and ensure continuity, equity and quality of education activities (see guidance note 8).
- Learners have the opportunity to enter or re-enter the formal education system as soon as possible after the disruption caused by the emergency (see guidance note 9).
- The education programme in refugee contexts is recognised by the relevant local education authorities and the country of origin.
- Education services for disaster-affected populations do not negatively impact host populations.

### Guidance notes

1. **Discrimination** includes obstacles imposed because of sex, age, disability, HIV status, nationality, race, ethnicity, tribe, clan, caste, religion, language, culture, political affiliation, sexual orientation, socio-economic background, geographic location or specific education needs. Discrimination may be intentional. It may also be the unintentional result of infrastructure that is inaccessible to people with disabilities, or of policies and practices that do not support learners' participation. Examples of discrimination include



## **1 The humanitarian imperative comes first**

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.

## **2 Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind.**

### **Aid priorities are calculated on the basis of need alone**

Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. Within the entirety of our programmes, we will reflect considerations of proportionality. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. In implementing this approach, we recognise the crucial role played by women in disaster-prone communities and will ensure that this role is supported, not diminished, by our aid programmes. The implementation of such a universal, impartial and independent policy, can only be effective if we and our partners have access to the necessary resources to provide for such equitable relief, and have equal access to all disaster victims.

## **3 Aid will not be used to further a particular political or religious standpoint**

Humanitarian aid will be given according to the need of individuals, families and communities. Notwithstanding the right of NGHAs to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of the recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

## **4 We shall endeavour not to act as instruments of government foreign policy**

NGHAs are agencies which act independently from governments. We therefore formulate our own policies and implementation strategies and do not seek to implement the policy of any government, except in so far as it coincides with our own independent policy. We will never knowingly – or through negligence – allow ourselves, or our employees, to be used to gather information of a political, military or economically sensitive nature for governments or other bodies that may serve

criteria: relevance; appropriateness; connectedness; coherence; coverage; efficiency; effectiveness; and impact.

6. **Sector-wide performance:** Sharing information about each agency's progress towards the Sphere minimum standards with coordination groups supports response-wide monitoring and creates an invaluable source of sector-wide performance data.

#### Core Standard 6: Aid worker performance

Humanitarian agencies provide appropriate management, supervisory and psychosocial support, enabling aid workers to have the knowledge, skills, behaviour and attitudes to plan and implement an effective humanitarian response with humanity and respect.

#### Key actions (to be read in conjunction with the guidance notes)

- ▶ Provide managers with adequate leadership training, familiarity with key policies and the resources to manage effectively (see guidance note 1).
- ▶ Establish systematic, fair and transparent recruitment procedures to attract the maximum number of appropriate candidates (see guidance note 2).
- ▶ Recruit teams with a balance of women and men, ethnicity, age and social background so that the team's diversity is appropriate to the local culture and context.
- ▶ Provide aid workers (staff, volunteers and consultants, both national and international) with adequate and timely inductions, briefings, clear reporting lines and updated job descriptions to enable them to understand their responsibilities, work objectives, organisational values, key policies and local context.
- ▶ Establish security and evacuation guidelines, health and safety policies and use them to brief aid workers before they start work with the agency.
- ▶ Ensure that aid workers have access to medical care and psychosocial support.
- ▶ Establish codes of personal conduct for aid workers that protect disaster-affected people from sexual abuse, corruption, exploitation and other violations of people's human rights. Share the codes with disaster-affected people (see guidance note 3).
- ▶ Promote a culture of respect towards the disaster-affected population (see guidance note 4).





## Commitment 3: Communities and people affected by crisis are not negatively affected and are more prepared, resilient and less at-risk as a result of humanitarian action.

### Learning Objectives:

By the end of the session, the participants will:

- Recognise the basic tenets of the *Do No Harm* approach, list at least three possible unintended negative consequences of a humanitarian or development intervention, and describe three key strategies for avoiding unintended negative effects and identifying them promptly when they do occur.
- Be able to name the main prohibitions and obligations relating to sexual exploitation and abuse by aid workers, as described in the Secretary-General's Bulletin on Special Measures for Protection from Exploitation and Abuse.
- Be convinced of the importance of the steps that organisations and individuals can take to prevent sexual exploitation and abuse by our own staff and representatives.
- Be able to link the *Do No Harm* approach to personal experiences of unintended negative consequences in programming.

### Facilitation Notes:

Timing	Activity	Materials/equip needed
15	Present the slides on unintended negative effects and the <i>Do No Harm</i> approach.	
25	Show the film <i>To Serve With Pride</i> , which introduces and discusses the issue of sexual exploitation and abuse by aid workers. Introduce the film by explaining that sexual exploitation and abuse is one of the worst possible unintended negative effects of humanitarian and development work.	Copy of the film <i>To Serve with Pride</i>
10	Working in pairs with the person sitting next to them, participants should discuss the following two questions: <ul style="list-style-type: none"> <li>• Do you think sexual exploitation and abuse by our own staff can happen in the context in which you work?</li> <li>• Have you personally experienced a case where an organisation's actions had unintended negative consequences? Describe the case (keeping the details confidential, as appropriate). How were the negative consequences identified, and how were they</li> </ul>	

	addressed?	
10	Ask for feedback from the discussions on the above questions. The facilitator must be aware that the participants may be shocked or emotional following the film, which is very hard-hitting. They should not, therefore, insist that everyone participates in the discussion and should be careful not to put anyone on the spot. Promote a quietly reflective atmosphere as participants share their reactions and experiences.	
60	<b>Total number of minutes scheduled for the session</b>	

## **Commitment 4: Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.**

### **Learning Objectives:**

By the end of the session, the participants will be able to:

- Explain the importance of ensuring active participation of affected communities in decision making in humanitarian action, and list techniques for facilitating this;
- Give examples of good practice of participation of affected communities and of information sharing with them.

### **Facilitation Notes:**

<b>Timing</b>	<b>Activity</b>	<b>Materials/equip needed</b>
10	Presentation on active participation and information sharing.	
25	<p>Put the participants into four groups. Distribute the handout which shares real-life examples of community participation in decision-making. They should apply the following questions to all four scenarios, and note the answers so that they can give feedback in plenary:</p> <ul style="list-style-type: none"> <li>• Do you think this approach results in effective empowerment of the community to be involved in decision making or otherwise hold the organisation to account?</li> <li>• What gaps or challenges might there be with this approach?</li> <li>• Is this an approach that you might try in your project/organisation? Why or why not?</li> </ul>	
15	Bring the groups back into plenary, and give each the chance to lead the feedback on one of the examples. The other groups then ask questions or add further points.	
10	Conclude by inviting the participants to share examples of effective participation by communities that they have witnessed in their own work. You could also invite them to give examples of good information sharing that they have seen.	
<b>60</b>	<b>Total number of minutes scheduled for the session</b>	

## CHS Introductory Training: Commitment 4

### Participatory Approaches

The following are all real-life examples of community participation in decision-making in humanitarian action. Please read them all, and then consider the following questions with regard to each of them:

- Do you think this approach results in effective empowerment of the community to be involved in decision making or otherwise hold the organisation to account?
- What gaps or challenges might there be with this approach?
- Is this an approach that you might try in your project/organisation? Why or why not?

Please be ready to share, in plenary, examples of effective participation by communities that you have witnessed in your own work.

A. A partnership initiative with a strong focus on accountability to affected populations has two seats on its Board reserved for disaster survivors. The present Chair of the Board is one of the two current disaster survivor representatives, having previously been a refugee from a civil war in a Latin American country. Observation of the dynamics of the Board indicates that the presence of disaster survivors has helped to ensure that the impact of decisions at field level is remembered by the Board at all times.

B. This large national organisation in Bangladesh has created a structure of People's Organisations, of which beneficiaries are members. Through these People's Organisations, the agency raises awareness about rights, and promotes active citizenship and leadership. *They are systematically involved in the decision-making processes relating to the projects and the organisation as a whole.* Two People's Organisations leaders are amongst the eight members of the organisation's managing Board.

C. Current information about the salaries and benefits of staff at all levels from Executive Director to Trainee is available on this organisation's website.

D. This international organisation working in Ethiopia is sharing information on its code of conduct in pictorial form with the communities in which it works, to ensure that they are aware of the standard of behaviour they can expect from the organisation's representatives. At the same time, they are informing the communities of the channels through which they can complain if the behaviour of the organisation's representatives falls below the expected standard.

## Review of the Day

### Learning Objectives:

By the end of the session, the participants will be able to:

- Express key individual learnings from the day
- Resolve concerns which have arisen for them

### Facilitation Notes:

Timing	Activity	Materials/equip needed
03	Ask participants to reflect for a few moments on the day, and to notice what has stood out for them in terms of something new, interesting or perplexing.	
06	Invite participants who would like to, to share their thoughts – in brief.	
06	Address any concerns that are raised. Invite participants to stay afterwards if they still have unresolved questions, issues or concerns following this session.	
15	<b>Total number of minutes scheduled for the session</b>	

## Commitment 5: Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints

### Learning Objectives:

By the end of the session, the participants will be able to:

- List a number of significant barriers which may prevent members of affected communities from coming forward with their complaints
- Name ways in which a complaints mechanism can be designed and operated to overcome such barriers
- List the steps needed to develop or review a complaints mechanism

### Facilitation Notes:

Timing	Activity	Materials/equip needed
10	<p>The following exercise encourages participants to root their understanding of the barriers to complaining in their own experiences of the same.</p> <p>Participants work in pairs, to tell each other the story of an occasion when they wanted to complain about something but did <b>not</b> actually go forward and complain. They then help each other to identify what the barrier was which prevented them from lodging the complaint.</p>	
25	<p>In plenary, sitting in a circle, participants take it in turns to tell each other's story (in brief) and to share the barrier which they identified which had stopped their colleague from complaining. If the group is very large, participants can be asked to share only the barrier itself, or, if possible, three or four volunteers can be called upon to share stories that they think are particularly interesting or useful.</p> <p>The facilitator records the barriers on a flipchart as a bullet-point list.</p>	
10	<p>The facilitator asks the participants to look at the list of barriers which is created, and to say:</p> <ul style="list-style-type: none"> <li>• Which would apply also to affected communities to prevent them coming forward with a complaint?</li> <li>• What additional barriers there may be for affected communities?</li> </ul> <p>The facilitator records the additional barriers mentioned here on a new piece of flipchart paper.</p>	

	<p>The facilitator now asks the participants to reflect on a final question:</p> <ul style="list-style-type: none"> <li>• How can a complaints mechanism be designed and operated to overcome such barriers?</li> </ul> <p>The facilitator should take the opportunity here to emphasise the importance of consulting with the community as part of the process of setting up a complaints mechanism, to ensure it is appropriate and that the community feel a sense of ownership of it.</p>	
10	Save the Children film '10 Steps to a CRM'	Film
05	Brief discussion of the film, and opportunity for questions.	
<b>60</b>	<b>Total number of minutes scheduled for the session</b>	

## Commitment 6: Communities and people affected by crisis receive coordinated, complementary assistance.

### Learning Objectives:

By the end of the session, the participants will be able to:

- List key advantages of a coordinated response
- Explain different areas for coordination
- Name key coordination stakeholders including the UN cluster system
- List good practices and challenges to be aware of in order to promote a coordinated response

### Facilitation Notes:

Timing	Activity	Materials/equip needed
5	<b>Introduction</b>  <b>Ask participants why coordination is important?</b> (see corresponding powerpoint slide)	Relevant slides of the training course powerpoint presentation
10	<b>Ask participants:</b>  <b>Which are the main agencies and/or entities dealing with coordination in a disaster response setting?</b> (Note: this description is based on RedR-UK "Children in Emergencies" training manual)  <ul style="list-style-type: none"> <li>- OCHA (Office for the Coordination of Humanitarian Affairs) is the UN body charged with strengthening the coordination of humanitarian assistance of the UN in complex emergency settings. OCHA nominates a Humanitarian Coordinator (HC).</li> <li>- UNHCR: the primary purpose of UNHCR is to safeguard the rights and well-being of refugees. In an emergency, it will lead and coordinate international action for the protection of refugees and resolution of refugee problems, in coordination with the host country government.</li> <li>- Cluster system: part of the humanitarian reform, born following IASC Humanitarian Response Review of the 2005 Tsunami response, to promote a sector-based approach to coordination. It includes pooled-financing mechanisms. It promotes partnership between the UN and other humanitarian actors and with host</li> </ul>	



	<p>governments, local authorities and civil society. Each sector is grouped in a cluster with a lead agency. Clusters can work at global, national and field level.</p> <p>- Host government: usually a special ministry or other entity is in charge of the overall emergency coordination for the government humanitarian assistance. Local authorities or local military commanders can also play a role.</p> <p>Others as indicated by participants including national networks.</p>	
<p>15 Preparation</p>	<p><b>Exercise:</b></p> <p>The exercise is conceived to reflect the complexity of humanitarian assistance and the impact it can have on coordination. Participants will have to think of solutions to answer these challenges and come to an agreement on harmonised objectives.</p> <p>Plan the number of sectors which will be role-played according to the number of participant. For instance:</p> <ul style="list-style-type: none"> <li>- Health and WASH</li> <li>- Food and shelter</li> <li>- Education and protection</li> </ul> <p>The ideal is to have six to eight participants per group. If there are more participants, some of the roles can be played by two people.</p> <p>Give to participants:</p> <ul style="list-style-type: none"> <li>- The exercise handout</li> <li>- The case study and the situation report</li> <li>- A couple of Banuatu maps per group</li> <li>- A post-it so that participants can name-tag their organisation</li> </ul> <p>Participants have 10 minutes to read the documents and review their role.</p>	<p>Exercise handout Map Case study Situation Report</p>
<p>25 Meeting</p>	<p>Then explain to the participants that the goal of the meeting is to contribute to the preparation of a harmonised emergency response plan. Each group has to identify a total of three priority objectives for the sectors allocated to them.</p>	
<p>15 Debrief</p>	<p>At the end of the exercise, ask participants what were some of the challenges they faced during the exercise and how these could be overcome. Then, ask participants to share recommendations and good practices based on their experience of coordination. Encourage participants</p>	

	<p>to share examples from their working context.</p> <p>If participants do not have so many examples to share, you can use some of the challenges and good practices mentioned below.</p> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>- Lack of transparency</li> <li>- Growing number of organisations</li> <li>- Duplication of coordination initiatives</li> <li>- Competition between humanitarian organisations</li> <li>- Lengthy coordination meetings yielding poor results</li> <li>- Cooperation led by individuals personalities rather than systematic processes</li> <li>- Language (foreign, jargon) as a barrier</li> </ul> <p><b>Good practice:</b></p> <ul style="list-style-type: none"> <li>- Map stakeholders</li> <li>- Include the government and civil society.</li> <li>- Identify and engage with existing national coordination networks.</li> <li>- Recognise organisations' respective mandates and strengths but seek ways to engage toward common objectives.</li> <li>- Use coordination as a tool to solve practical problems, and increase advocacy.</li> <li>- Plan coordination activities in your budget and advocate for funding.</li> <li>- Encourage and train your partners to participate in coordination activities.</li> <li>- Base coordination on recognised standards, as this helps in agreeing on objectives and indicators.</li> </ul>	
5	<p><b>Conclusion:</b></p> <p>The main point about coordination is for the humanitarian system to deliver effective assistance to the affected population.</p> <p><b>Show ALNAP's spectrum of coordination slide.</b></p> <p>Point out that the three levels of coordination shown on the slide complement each other and exist in parallel.</p> <p><b>Lastly show slide: Coordination and the project cycle</b></p> <p>Emphasise that while there has been increased coordination at the level of assessment and design, the implementation and monitoring and evaluation phases would deserve more effort.</p>	Relevant slides of the training course Powerpoint presentation
75	<b>Total number of minutes scheduled for the session</b>	

## CHS Introductory Training: Commitment 6 Case Study

### Banuat Case Study – Tropical storm Maya

**Emergency overview:** Severe tropical storm Maya struck Banuatu as an extremely destructive category 5 cyclone on the evening of 31 March 2015, causing serious damage to infrastructure and leaving debris strewn across the capital and coastal regions. As of 14 April, the storm has affected around 450,000 people on the country's three islands, who are in need of some form of humanitarian assistance. Approximately 50,000 homes are reported to have been destroyed or damaged and 200,000 are in need of emergency shelter. The Government of Banuatu declared a State of Emergency on 1<sup>st</sup> of April. Initial rapid assessments have been carried out by teams consisting of representatives from the Government, UN agencies and national and international organisations. The country's three islands are: Central Island, where the capital Tanutu is, Southern Island (main town is Sunny Town), and Western Island (Port West).

#### Initial preliminary figures following Maya:

**Food security and livestock:** 80 per cent of crops have been destroyed. The destruction of food gardens, rice fields and banana plantations, as well as livestock, has left households with little food source alternative. Adequate nutrition is required for over 300,000 affected people, in particular pregnant and lactating women and children under five years.

**Education:** Approximately 70,000 school-aged children are affected. Curriculum materials and resources in many schools have been damaged. About half the schools have been moderately to seriously affected. Unaffected schools are currently being used as shelter for the population, making it impossible for classes to run.

**Health:** Initial rapid assessment estimated that 300,000 people are in need of safe drinking water. Cases of diarrhoea have been reported.

**Shelter:** An estimated 200,000 people are in need of shelter assistance.

#### Coordination set-up:

Coordination is provided by two instances: first the government, through its Ministry of Interior-designated Department for Emergency Preparedness and Response (DEPR); then, the Banuatu Humanitarian Team (BHT), a network of nongovernmental humanitarian actors, Red Cross and UN agencies. Following a series of rather hectic rapid assessments made by the various humanitarian actors in the first week following Maya, the DEPR and BHT have been collaborating on preparing a harmonised needs-assessment covering the various sectors, and hope to be launching the exercise very soon.

## CHS Introductory Training: Commitment 6

### Banuat: Situation report on preliminary humanitarian response and remaining gaps per sector at 14 April

**Food security and livestock:** A first round of food distribution has been completed by the government, the WFP and its partners. Procurement by the WFP is on-going for further food distribution.

**Education:** temporary learning spaces have been set up in 26 schools. Education kits (tarpaulins, tents, learning material and recreational kits) have already been distributed targeting the hardest impacted communities. More kits are on the way but funding is still needed to purchase additional kits. There is also a need for water for the schools. A working group is currently developing trainings for teachers on psychosocial support and hygiene and health practices.

**Health:** It is estimated that about one fourth of the 100 health centres will need serious repair before they can be functioning again. The four major hospitals of the country (two in Tanutu, one in Sunny Town and one in Port West) remain largely intact, however staff are overwhelmed by the amount of injured. Medical supplies, including medicines, are running short. There is a serious shortage of chlorine tablets.

**Shelter:** About 70,000 people have received emergency shelter assistance to date however significant needs remain. More accurate data on needs is expected from additional assessments, on the number and location of houses damaged. Detailed mapping of communities is not accurate and the population census is not recent enough to form a good baseline.

**Water, sanitation and hygiene:** So far 15,000 hygiene kits provided by UNICEF have been distributed with the assistance of the Ministry of Health and a number of partners, reaching 75,000 people. More hygiene kit distributions are needed. The government, UNICEF and WASH partners are working on repairing water systems.

**Gender and protection:** A team of assessors will participate in the harmonised need assessments with a view of gathering more specific data on gender specific needs as well as protection needs, including family reunification.

**Logistics:** Many access roads have been destroyed and while flooding is receding, some dirt paths remain unusable in particular for trucks. Coastal communities can be accessed by boat. The airport in the capital can now receive cargo flights and warehouses have been built in order to store shipments. The Western and Southern Islands both have one landing strip and one major seaport.

## CHS Introductory training: Commitment 6

### Banuatu case study – Exercise description and roles

#### Objective:

The two coordination units, the DEPR and BHT, decided that humanitarian actors need to come up with a harmonised sectoral emergency response plan.

Read the documents that you received and get familiar with the organisation that you represent, in particular its mandate, resources and capacity available.

During the meeting, for the sectors that have been allocated to you and in discussion with representatives of other organisations, come up with a total of three priority objectives for the emergency response.

If you feel you are missing information in your role description, you can make up information as relevant.

#### Stakeholders:

Type	Organisations
<b><u>Coordination</u></b>	<ul style="list-style-type: none"> <li>- Department of Disaster Preparedness and Response (DEPR) ;</li> <li>- Banuatu Humanitarian Team (BHT)</li> </ul>
<b><u>Government</u></b>	<ul style="list-style-type: none"> <li>- Ministry of Education</li> <li>- Ministry of Health</li> </ul>
<b><u>UN</u></b>	<ul style="list-style-type: none"> <li>- UNICEF</li> <li>- WFP</li> </ul>
<b><u>National organisations</u></b>	<ul style="list-style-type: none"> <li>- National Red Cross Society</li> <li>- Action for Children and Youth</li> </ul>
<b><u>International organisations</u></b>	<ul style="list-style-type: none"> <li>- Medic WorldWide</li> <li>- A Better Tomorrow</li> </ul>

#### Sectors:

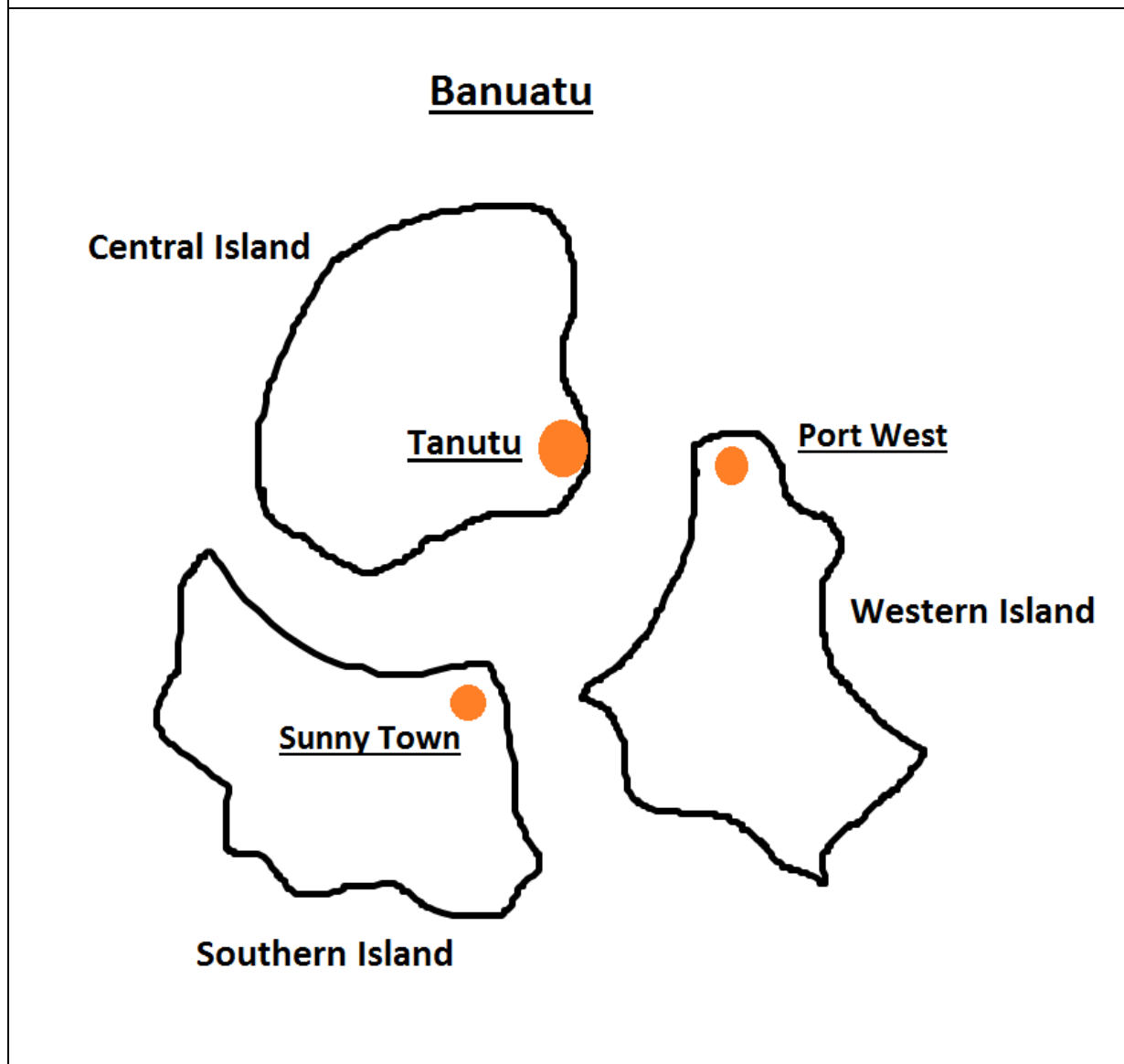
**Health and WASH:** BHT, Ministry of Health, UNICEF, Medic WorldWide, National Red Cross Society, A Better Tomorrow, Action for Children and Youth

**Education and protection:** BHT, DEPR, Ministry of Education, UNICEF, Action for Children and Youth, National Red Cross Society, MedicWorldWide

**Shelter and food:** DEPR, WFP, National Red Cross Society, A Better Tomorrow, Action for Children and Youth, Ministry of Education

## CHS Introductory Training: Commitment 6

### Banuat Case Study – Map



**Role descriptions (cut out and laminate, ideally three times each):**

**Department for Emergency Preparedness and Response (DEPR) – Ministry of Interior:**

You are a Senior Manager of the DEPR. Your role is to ensure proper coordination together with the Banuatu Humanitarian Team. You have to ensure that accurate information is shared in a timely way by all humanitarian actors and that the government has a clear picture of the overall response. You also have to ensure that all foreign humanitarian organisations coming to the country provide detailed information about their mandate, activities, assistance provided, and provide regular reports to the government. If asked about logistics, you can explain that there will be no tax on imported shipments; however, there will be a quarantine inspection of vessels and aircrafts bringing relief supplies to the country.

When starting the meeting, you inform all participants that the meeting has to be quick and effective, as you have to leave for another meeting soon. The DEPR 2014-2018 strategic plan had identified infrastructure, especially road and communications, as a major weakness and you would like to see humanitarian agencies address this challenge in the emergency response.

**Coordinator of the Banuatu Humanitarian Team (BHT):**

The BHT is a network of nongovernment humanitarian actors, the Red Cross and UN agencies. The BHT seeks to harmonise the different mandates of operational agencies in Banuatu and provide a common forum to meet and jointly plan the response. Another objective is to develop a common approach to disaster preparedness and response, including the use of humanitarian standards. Lastly, BHT aims at supporting the government in its efforts for disaster preparedness and emergency response and enhances communications between the governmental and non-governmental actors. During this coordination meeting, the main preoccupation of the BHT Coordinator is to ensure that the population of Banuatu, men, women, boy, girls, elderly and disabled affected by cyclone Maya, are able to access timely and appropriate assistance, through improved engagement between NGOs, Red Cross, UN agencies and DEPR.

**Ministry of Education:**

According to the 2006 education census, there are 350 primary schools across the three Islands, for children aged 6 to 12. While 90% of the students in this age range attend primary school, there is a relatively low adult literacy rate due to high drop-out of students, low number of poorly-qualified teachers, and lack of adequate education material. Only 20% of students attend secondary level institutions and 7% post-secondary education. Women are particularly under-represented in both vocational training centres and university study. There is a shortage of places at all educational levels. The education sector is largely dependent on foreign assistance and the Ministry of Education looks at the presence of foreign actors as an opportunity to build back and improve the education system over the coming years. It is urging the humanitarian actors to work together on a plan for reconstruction and provide financial support.



**Ministry of Health:**

The Ministry of Health is responsible for the two main hospitals of the Central Island, including the hospital of Tanutu, as well as the two provincial hospitals of Sunny Town and Port West. There are 30 health centres and 80 active dispensaries providing primary care across the three islands. Most recent surveys indicate 10 doctors, and 140 nurses and midwives per 100,000 people. There is no local pharmaceutical industry on Banuatu, which means that all pharmaceutical products are imported. Over the past years, the Banuatu Government has been working in partnership with the WHO and a number of other partners to improve access to medical facilities and essential medicines and vaccinations. With an estimate of 60 percent of health facilities on the seven islands having suffered moderate to extensive damage, Cyclone Maya is a blow to the development efforts. There is an acute lack of proper maternity and pediatric facilities. The Ministry of Health is in strong need of partners to further assess the situation, respond to the most pressing needs, and ensure rebuilding of the health facilities.

**UNICEF:**

UNICEF is assisting the Government of Banuatu in providing humanitarian assistance to affected children. UNICEF is the cluster co-lead for water, sanitation and hygiene (WASH), and supports the National Department for Disaster Preparedness and Response (DEPR), the Ministry of Education, and Ministry of Health, with response to Maya.

As part of the overall response, UNICEF targets 120,000 people with water, sanitation and hygiene. It is planning the distribution of hygiene kits including soap, household water treatment and menstrual hygiene kits. UNICEF is working with partners to provide emergency health services and the restoration of other health services, targeting in particular mothers, pregnant women and children. UNICEF is also working with partners to prompt the restart of education for 40,000 affected children through the establishment of temporary learning spaces. It aims at providing psychosocial sessions to help children and adolescents recover from the trauma and include a disaster risk reduction component to support community disaster preparedness.

UNICEF is currently scaling up efforts to reach the most affected areas with deployment of staff, and procurement of additional WASH, health, nutrition and education supplies for a total amount worth of US\$ 8.3 million.

During the coordination meeting, the representative of UNICEF is very keen on presenting figures and level of engagement across the above mentioned sectors. They also call for more engagements from implementing partners.

### **World Food Programme:**

The World Food Programme (WFP) is supporting the Government of Banuatu by organising food distributions and logistics services. WFP manages a contingency stock of high-energy biscuits which are currently being distributed to communities where families have limited access to clean water to cook food. WFP is supplementing Government food packages with rice, noodles, and canned fish and meat. WFP has deployed a team of food security experts to assess the needs for further food assistance.

On the logistic side, WFP is helping the Government to manage the relief cargo arriving in Banuatu. It has set up mobile storage units at Tanutu airport to store relief items, with additional hubs being set up on Southern and Western Islands. Within the UN Flash Appeal, WFP requires \$12 million for food assistance activities and \$4 million for logistics and telecommunications services.

The lack of accurate census data is a major issue for the WFP representative and he/she is advocating for strengthening mapping of actors and availability of sectoral data in order for proper targeting and monitoring of the response.

### **Banuatu National Red Cross Society:**

Has been active on the response since 15 March, mobilising over 80 volunteers and a team of 20 international Red Cross staff, supporting some of the worst hit communities by cleaning up, providing urgently needed shelter materials, essential household items and clean drinking water. In two weeks, about 10,000 people have been reached across the three islands. Relief items included emergency shelter materials such as tarpaulins, personal hygiene items, kitchen sets, water containers and other household items.

*The International Federation of Red Cross and Red Crescent Societies launched an appeal to help 50,000 people in the most affected communities.* Relief is being flown in from Australia and New Zealand and from the IFRC's logistics hub in Malaysia. IFRC's Field Assessment and Coordination team (FACT) has collaborated with the Government's Department for Emergency Preparedness and Response (DEPR), in charge of coordinating relief efforts together with the Banuatu Humanitarian Team (BHT).

The Banuatu National Red Cross Society is very active in disaster preparedness and disaster risk reduction. It is particularly concerned that the humanitarian stakeholders assist the communities in building back better houses and is planning, in a second phase, to strengthen early warning systems and to deliver first aid training.

**Action for Children and Youth (ACY):** Is a large and well established national organisation which advocates for the rights of children and youth and support a network of community centres across the Island. Its areas of action include: support to rural schools, support to rural clinics, recreational activities for children and youth and vocational training. In the past, ACY has a lot of experience with disaster preparedness awareness-raising activities. Its centres are equipped with radios and ACY was able to obtain quick information about preliminary assessments done by the population in the most remote communities. ACY has been able to collect sensitive data on damage to schools, housing and crops.

ACY is looking for potential partners to help with rebuilding infrastructure in the remote communities and increase the capacities of community health centres. ACY also wants to alert the humanitarian actors on the food crisis that is about to happen if supplies and support are not rapidly given to the communities. The risk for acute malnutrition is particularly high for children.

It is the first coordination meeting ACY is participating in. Despite its extensive network, ACY is not on the list of the Banuatu Humanitarian Team (BHT). It heard of this meeting as it is registered as a national organisation within the Government's Department for Emergency Preparedness and Response (DEPR).

**Medic WorldWide (MWW):** MWW is an Australian-based NGO specialised in health and water, sanitation and hygiene, and has just arrived in the country to respond to the cyclone. It is working on an agreement with the Ministry of Health to assist the country weakened health capacities and has dispatched a team of six Australian medical doctors across the most affected areas. Other expatriates include a trainer, a logistician, a medical HR specialist to recruit emergency medical staff, a Director of Operations and an Emergency Manager. It is also expecting the arrival of two Water and Sanitation Engineers. It is currently recruiting national staff and is setting up two mobile medical units. Thanks to a good disaster preparedness plan, the organisation has been able to ship in a supply of medicines and 100,000 water purifying tablets and is looking for partners for their distribution. Hand washing equipment and water and sanitation material is being procured and will be used for health centres and schools as a priority. The organisation is planning to offer hygiene awareness sessions in these same health centres and schools.

Medic WorldWide has heard of the Banuatu Humanitarian Team (BHT) but did not wish to participate until now as it prefers *ad hoc* coordination with the Ministry of Health and other Health and WASH related actors.

### **A Better Tomorrow (ABT)**

ABT is an International non-governmental organisation involved in agricultural projects and community infrastructure development, including housing and emergency shelter. ABT has a roster of international emergency specialists that can be sent at short notice. Prior to the typhoon, ABT was already working in Banuatu, in sustainable agriculture projects and in disaster preparedness. It has a small office in the capital Tanutu which comprised seven staff before Maya struck, of which a Country Director (expat), a Program Manager (expat), an Office Coordinator (National), one Agriculture Engineer (National), one Program Officer (National) and one assistant (National). In the next few days after Maya struck, ABT's headquarters sent a team of three: an Emergency Coordinator, a Water and Sanitation Engineer and a Housing Specialist. ABT's national office is under considerable pressure from their headquarters to expand their programmes, as ABT's fundraising for the response has been quite successful. ABT is a member of the Banuatu Humanitarian Team.

ABT is represented mostly by expatriate management staff at the meeting. They are quite vocal in proposing solutions to other participants.

## **Commitment 7: Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.**

### **Learning Objectives:**

By the end of the session, the participants will be able to:

- Name and briefly describe several methods through which an organisation can conduct their monitoring and evaluation which ensure that the community's views are taken into account
- Describe at least one method for ensuring that learning from experience is systematically incorporated into programme planning and review.

### **Facilitation Notes:**

<b>Timing</b>	<b>Activity</b>	<b>Materials/equip needed</b>
05	Put participants into small groups (four or five in each). Give them a few minutes to read through the handout.	Handout with Scenarios
20	Each group should then choose one scenario, and develop a brief outline for a monitoring and evaluation plan for that project. The first question on the handout guides their work on this. It is very important that they also consider the second question – how to ensure that the learning from the monitoring and evaluation is systematically incorporated into programme planning and review.	
25	Groups present their monitoring and evaluation plans – in brief – in plenary. They should also present their ideas for the second question (this is where the big gap often exists in practice). Give other participants the opportunity to ask questions.	
05	Feedback to the group with brief explanations of the methods which the organisations actually selected in these scenarios. These are outlines in the 'Examples' handout. The examples have been selected to highlight particularly interesting and/or innovative methods of undertaking monitoring and evaluation. Distribute the 'Examples' handout and encourage participants to read it in detail in their own time.	Handout with Examples
05	Give participants the opportunity to raise any questions they have.	
<b>60</b>	<b>Total number of minutes scheduled for the session</b>	

## CHS Introductory Training: Commitment 7

### Monitoring, evaluation and learning: Scenarios

Your group will be assigned one of the scenarios below, based on real current or recent emergencies. Taking the role of the management of the organisation in question, create the outline of a monitoring and evaluation plan for the project. In particular, consider:

- What methods will you use to collect information?
- How will you ensure that learning from your monitoring and evaluation feeds into programme implementation and future planning?

Record your work on a flipchart which can be shared with the other groups in plenary. If you finish your assigned scenario, select another and develop an M&E plan for that one too.

- In 2014, Ebola Virus Disease (EVD) was spreading faster in this West Africa country than treatment centres could be built. Awareness-raising via one-directional messaging was not enough. Social mobilisation which engaged individuals and resulted in real behaviour change was critical to: reduce new infections; ensure there was demand for services; help improve services. Districts, wards, chiefdoms, and most importantly, communities, had to be engaged and empowered to lead the Ebola response. Five agencies formed a consortium to work with the Ministry of Health and Sanitation to achieve the National Social Mobilisation Strategy and contribute to achieving zero new cases of EVD. The project was for an initial period of six months to cover all districts of the country. The consortium's network consists radio stations, religious leaders and on-the-ground community mobilisers. The measurable results which the programme seeks to achieve are as follows:

**Impact:** Contribute to achieving zero new cases of Ebola Virus Disease (EVD) in Sierra Leone

**Outcomes:**

- Population practices safe, dignified medical burials
- Households with suspected EVD patient(s) practice safe home-based support while waiting for medical help
- Prompt medical help is sought for suspected EVD patients
- EVD Survivors are socially accepted

**Outputs:**

- National Social Mobilisation Pillar and District Social Mobilisation Committees have strengthened capacity and coordination mechanisms
- Population has access to and ability to engage with multiple sources of relevant EVD information
- Existing local community structures lead social mobilisation efforts and role-model EVD prevention behaviours within their communities.

b. You have conducted a needs assessment in a favela (shanty town) in a large city in a Latin American country. This has highlighted a lack of basic services, few economic opportunities, and high levels of drug addiction, violence, crime and gang activity. You will work with the Department of Health to construct and operate a primary health care centre.

c. You are working in the context of a long conflict between rebel groups and the central government in a country in the Horn of Africa. There are more than 2.5 million living in camps for internally displaced people (IDP) and hundreds of thousands have died in the fighting. You are providing food in the IDP camps and in conflict areas as an implementing partner of the World Food Programme. You have supplemental feeding programmes and run child-friendly spaces in primary schools in and around the IDP camps. The central government is suspicious of the aid agencies, and has recently required a number to leave the country. There are sensitivities around interaction with beneficiaries, the environment is heavily politicised and security is an issue.

d. In a middle-Eastern country, large-scale political demonstrations develop into armed conflict between government and rebel forces. People begin to flee the country, and within two years there are more than a million refugees in neighbouring countries. In this unstable region, the host countries struggle to accommodate the refugees. The scale of the refugee crisis, together with the complexity of the operation, the expense of emergency response in middle-income countries and a high level of insecurity, provide major challenges for the international organisations. You are the United Nations agency responsible for coordinating this unprecedented response.



## CHS Introductory Training: Commitment 7

### Monitoring, evaluation and learning: Examples

- a. Monitoring, evaluation, research and learning is integral to this project. Informed by the ongoing National Knowledge, Attitudes and Practices Surveys, the project is also supporting a research team to undertake deep ethnographic research, as well as conducting rapid data collection and action-learning. All these will enable the project team to build an ethnography of the EVD outbreak in Sierra Leone, and rapidly assess what is working and what is not, so that approaches can be adjusted accordingly.

**Deep Ethnographic Research** - Research to better understand rural attitudes to EVD risks in Sierra Leone is being undertaken in the form of a rapid study using Focus-Group Discussion (FGD) techniques. A group of experienced research assistants have been recruited. Research assistants are being led in the field by one Dutch university researcher, and two from one of the national universities.

**Rapid data-collection and action learning** – All project partners will be collecting data which can be used to shape the project activities, as well as inform the broader response. Paper-based systems are in place and a mobile application and mobile-responsive website prototype has been developed and is currently being tested. Eventually the application and website will be used by all project partners to rapidly report in real-time, activities being undertaken by field staff in the respective districts, chiefdoms, and communities. Once an activity is submitted through the mobile app or website, and verified, it will then be posted on an interactive map. Project partners and other approved parties can sign up to receive real-time notifications (via email or SMS) once a flagged activity is undertaken in a flagged district. The activities data will then be imported into a dashboard that shows a clear visualisation of key performance metrics for each partner agency.

- b. **Citizen report cards** - This organisation worked with marginalised urban young people in the favelas of Rio de Janeiro on a community-based performance monitoring project aimed at holding government decision makers accountable for the ways they provide services. They worked to build citizenship and awareness of public policies with the youth, raising their awareness about human rights. The youth identified access to water as a major issue facing their community. They found out that their municipality had funding to build two water reservoirs for the favelas, which would have significantly improved the water supply, but neither had yet been built. They organised meetings within the communities, where it was decided to collect signatures for a petition to the government. At the same time, the youth held a public awareness campaign for the community, promoting the benefits of clean water. Through this, the youth also built mentoring relationships with younger local children, who also became actively involved in the citizenship activities.

After two years of the project, improvements included an increased sense of self-worth and self-esteem amongst the youth, respect for the youth by the community adults for their role in bringing desired social change, an increased unity between the favelas, and strong friendships amongst the youth, and between the youth and the children whom they had mentored.

- c. One of the main channels the organisation used for getting feedback from the beneficiaries in this response in Darfur was through the use of **Community Help Desks**. These provided a mechanism for aid recipients and other community members to provide feedback and make suggestions face-to-face, and protected all involved from accusations of favouritism, unfairness or corruption. The Community Help Desk Committees were made up of focal points (selected by camp residents), food distribution leaders and the traditional leaders. The focal points were unpaid volunteers, identifiable by their bright-coloured vests with 'Community Help Desk' printed on them in the vernacular and in English. They collected and recorded feedback from people during the food distributions, and were trained and encouraged to resolve simple questions on the spot. They recorded people's complaints and suggestions in a log book. The logbooks were then transferred to the food assistance M&E team who processed and analysed the data. The organisation offered additional channels for feedback and complaints, including suggestions boxes and periodic community meetings and focus group discussions. Data was triangulated and verified through other data collection tools, including on-site monitoring, post-distribution monitoring and local market surveys. The feedback was received by the managers of the local sub-offices, and referred to senior management when higher-level decisions were needed.

The organisation identified a number of changes which were made to the programme as a direct result of the feedback mechanisms. These included improvement to the shade and comfort of the food distribution waiting areas, a change to a more locally-acceptable type of oil in the food rations, and water tanks and hand washing stations provided in schools at the request of the students. Through these mechanisms, they also became aware of disabled children unable to access the child-friendly spaces, and were able to source a number of wheelchairs which resolved the issue. Furthermore, children made confidential reports about child labour practices in the camps, and the organisation followed up with workshops for parents about children's rights and child labour issues. It was noted that the Community Help Desks helped to make the implantation of the programme more responsive, quickly highlighting when processes were not working well.

- d. **Real-time evaluations** are carried out in the early stages of a humanitarian operation – usually the first six weeks to six months. The first feedback on findings is given before the evaluation team leaves the field sites, so that it can be acted upon immediately. In this, real-time evaluations differ from other types of evaluation, in that mid-term evaluations look at the first phase of the response in order to improve the second phase, and final evaluations examine and learn from a response which is already over. Real-time evaluations can contribute to the quality of the response and accountability to affected communities.

The goal of a real-time evaluation is to identify and suggest solutions to operational problems as they occur and to influence programming decisions by feeding back aid recipients' and providers' views. Qualitative methods are used, including interviews, travel to field sites, peer review, observation and documentary research. Real-time evaluations may also look at the work of a number of agencies within a particular response, looking at the overall direction, coordination and implementation efforts.

An inter-agency real-time evaluation of the response to the 2010 floods in Pakistan held national and provincial-level workshops with key stakeholders. The findings, conclusions and recommendations of the evaluation were shared during these workshops. The stakeholders then

worked together to prioritise the recommendations and proposed lead organisations to implement them, along with specified timescales. The workshops promoted ownership of the evaluation recommendations and ensured real-time learning and accountability amongst the stakeholders. Following the workshops, the Resident Coordinator committed the Humanitarian Country Team to drawing up an implementation plan for the recommendations. (Riccardo Polastro, DARA, 2011: <http://www.odihpn.org/humanitarian-exchange-magazine/issue-52/real-time-evaluations-contributing-to-system-wide-learning-and-accountability>).

UNHCR conducted a real-time evaluation of their response to the Syrian refugee emergency (*From slow boil to breaking point*, UNHCR, 2013, <http://www.unhcr.org/52b83e539.html>), looking at both region-wide and country-specific issues. The evaluation identified urgent needs for more outreach to out-of-camp refugees, support to the host states and communities and strengthening of coordination of the international response.

## **Commitment 8 – Competent and well-managed staff and volunteers**

**Quality Criterion: Staff are supported to do their job effectively, and treated fairly and equitably**

### **Learning Objectives:**

By the end of the session, the participants will be able to:

- Understand the focus of commitment 8 on investment in personnel (competent, well-managed staff and volunteers) within an organisation to deliver the organisation's goals and mandate.
- Explain the key steps in the Performance Management Cycle.
- Develop a SMART Objective for themselves or a staff member on an area of focus around the CHS and explain what competences and capacity support could be provided to deliver on the objective developed.

### **Facilitation Notes:**

<b>Timing</b>	<b>Activity</b>	<b>Materials/equip needed</b>
5	<p>Introductory presentation and discussion on Commitment 8:</p> <p>Short discussion on why commitment 8 is important within the CHS.</p> <p>Focus on investment in personnel (competent, well-managed staff and volunteers) within an organisation to deliver the organisation's goals and mandate.</p>	CHS Guide – Commitment 8
15	<p>Short exercise on the Performance Management (PM) cycle</p> <p>Prepare the cut-up sections of the PM cycle, and ask participants, in pairs, to arrange the activities in the logical order.</p> <p>Discuss the PM cycle using the power point slide in the slide flow, and ask for participants comments on their own responses.</p> <p>(or)</p> <p>Using the pre-cut Performance Management Cycle Cards gather the group together in a large circle and lay the cards randomly in the middle. Ask the participants to come to a consensus on how the Performance</p>	Cards (below) and Powerpoint

	<p>Management Cycle should be organised (which are the correct steps). Conduct this until the correct logic is in place and people have debated how and why these steps go in this order.</p> <p>Short explanation: The performance management cycle consists of different elements, or activities. We treat these elements or activities separately, but all link to support performance of personnel: job descriptions, recruitment, goal/objective setting, monitoring performance, staff development and reward.</p> <p>Monitoring performance contains, clarity of organisation mandate/values, role/expectations, identifying capacity needs, performance reviews (one-one discussions on objectives/support) and performance appraisal/evaluation (usually at the end of the objective setting period).</p> <p>If it does not come out of discussion, explain that often the perception prevails that Performance Management is only about the end year evaluation or appraisal or a 'painful exercise' and met with dread – why? Examples? Line managers/staff: Time: do not prioritise support for staff, managers not trained, in the sector value may be placed on technical/delivery and not people AND people management, exploration of talent and competences differences etc.</p> <p>Implications if not prioritised, from examples from participants?</p> <p>So why is it important? Revisit Commitment 8 – Staff understand mandate, job/expectations, capacity required, <b>motivated</b>, trained and can deliver on expectations.</p> <p><b>Emphasis:</b> Other areas of CHS, difficult to deliver if demotivated staff, high turnover, staff do not feel organisational commitment to enhancing their capacity or talent not identified, do not understand organisation values and expectations etc) – link back to participant's examples of implications.</p> <p>Treated fairly and equitably (Emphasis on quality criterion in Commitment 8)</p> <p>Equity is not the same as equality, but it means applying the same values to different situations, perhaps by having a standard framework that is adapted to different contexts.</p>	
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	Emphasis 8.1 – understand mandate and values (code of conduct) of organisation, what required of them, expect, security, well- being (Duty of Care) etc.	
5	<b>Show slide on Adair’s Action Centered Leadership (However challenge in the sector - necessary role of a leader/line manager)</b>  Evidence - that if people managed well, staff valued and motivated - policies but also practice. (programme performs, motivated staff, reduced turnover etc.)	Powerpoint
5	A process in managing performance is setting objectives.  The initial JD should already indicate macro level and transversal objectives. The performance-planning phase follows up on this with more precise objectives  Introduce SMART Objectives	PP SMART Objective.
30	Individual Exercise:  <b><i>Write a smart objective, linked to the implementation of an area of the Core Humanitarian Standard (an area discussed at the workshop), for either yourself or a staff member you manage.</i></b> <ul style="list-style-type: none"> <li>• Identify personal, technical and/or management competences required to fulfil this objective</li> <li>• What support may you or the staff member need?</li> </ul> Depending on numbers, once completed, ask participants to share/reflect in pairs or groups of four.  Wrap-up: Discuss key points of reflection: Time to think through objectives, sharing and agreeing objectives, give/receive feedback and expectations, understand the person (values/motivations/expectations) competences required, capacity needs etc.	Powerpoint - Exercise
60	<b>Total number of minutes scheduled for the session</b>	

## Performance management cycle steps to use as cards for sequence exercise

<b>Sharing direction</b>
<b>Role clarification</b>
<b>Objective setting</b>
<b>Monitoring and support</b>
<b>Performance assessment</b>
<b>Reward and recognition</b>



**Commitment 9: Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically.**

**Learning Objectives:**

By the end of the session, the participants will be able to:

- Identify some of the challenges in managing resources in humanitarian action, including:
  - Making decisions with limited information available;
  - Balancing economy and impact;
  - Dealing with the unexpected;
  - Operating in difficult environments;
  - The potential for corruption and fraud.
- Recognise that the essence of value for money in the humanitarian sector is *achieving the organisation's identified objectives* in the most cost-effective way.

**Facilitation Notes:**

Timing	Activity	Materials/equip needed
02	Divide the participants into between two and four groups, depending on the total number.	
03	Give out the handout. Read it out loud for the participants, and answer any questions about it.	Handout
50	<p>Begin the simulation. Use the list on the next page as a guide for your facilitation. Give out the first decision card to each team, and give them a couple of minutes to discuss and choose one option. Each group then announces their decision in turn, and you tell each the number of quality points they get. They then record the decision on their tracking sheet.</p> <p>Give out the next decision card and follow the same procedure.</p> <p>When it comes time to take a Risk or Bonus card, hold them up in a fan with the backs facing outwards, and each team in turn picks one. They then take it in turns to read what they got, and to record on their sheet any addition or subtraction to their funds and/or quality points.</p> <p>If a team runs out of money during the course of the simulation, they must announce it and participate in no</p>	Decision stage, risk and bonus cards

	<p>further stages of it.</p> <p>Once all stages have been undertaken, each team takes it in turn to state how much money they have left and their total number of quality points.</p>	
05	<p>Wrap up with the following discussion question:</p> <p>What did this exercise highlight for you regarding the responsible management of resources?</p>	
60	<b>Total number of minutes scheduled for the session</b>	

Decision stages	Cost	Quality points
<b>1. Strategy for appointment of programme manager</b>		
Expatriate	10	1
National	05	1
<b>2. Manager appointment</b>		
Experienced older person	10	2
Younger, energetic person	05	1
<b>3. Open office</b>		
In the capital city	10	1
In the state capital (in a room in the town's primary school, rent-free)	00	1
<b>4. Recruit staff team</b>		
National staff	05	1
International volunteers	05	1
Mixture of expatriate and national staff	10	2
<b>5. Needs assessment</b>		
Consult local authorities, tribal chiefs, religious leaders, teachers.	05	1
Access remote pockets of population by boat, to discuss directly with young people in the rural areas	10	2
<b>6. Decide main activity</b>		
Classes by radio	05	1
Classes 'under trees'	10	1
<b>7. Procurement</b>		
Classes by radio using wind-up radios		
Buy in the capital city (from the one store which can procure these and provide the necessary paperwork – invoice, receipt, etc)	10	1
Import from a neighbouring country	05	1
Accept free 'in kind' donation of wind-up radios from a North American organisation – but delay because will have to ship to Mombasa	00	0
Users to purchase themselves. Others already possess radios.	00	0
Textbooks for schools under trees		
Buy in the capital, where the government-approved textbooks are available from a single monopoly supplier	05	1
Buy tablets with all the neighbouring country's primary curricula textbooks loaded, Years 1-8	10	1
Now take a Risk card		
<b>8. Materials development/additional procurement</b>		
Classes by radio		
Broadcast your material over an existing radio station run by the UN Peacekeeping Mission. There is no charge if you use this option.	00	1
Set up your own radio station	05	1
Schools under trees		
Procure large tents which will offer rapid and relatively weather-proof classroom facilities	10	1
Ask communities to build local structures for which you provide nails and tools which are not locally available.	05	1
Now take a Bonus card		

<b>9. Equity and quality</b>		
Classes by radio		
Your use of the medium of radio means you are able to deliver classes to children in villages which are accessible only by helicopter during the rainy seasons.	00	1
You decide to extend the reach of your programme by employing field education officers who can travel by motorbike to many of the more remote locations to promote the programme and provide support and encouragement to radio class learners in the villages.	10	2
Schools under trees		
Scarcity of qualified teachers in the more remote areas of the state means that some of those you employ have not completed primary school themselves.	05	1
You require that your teachers have a minimum qualification of a primary school leaving certificate. This limits your ability to offer schools in the more remote areas.	05	1
You pay a 'remote posting' supplement to qualified teachers willing to relocate to the remote villages where you have been unable to recruit locally.	10	2
Now take a Risk card		
<b>10. Qualifications</b>		
Classes by radio		
You decide to use your resources focus on reaching the most possible children to teach the basics and therefore you will not offer the option of formal exams.	00	0
You make an arrangement with the town's primary school for radio pupils to sit as external candidates.	05	1
Classes under trees		
You make an arrangement with the town's primary school for pupils at the schools under trees to sit as external candidates.	05	1
With approval from the government, you set up examination centres in three additional small towns to reach more remotely located school children	10	2
Now take a Bonus card		
<b>11. Monitoring</b>		
Classes by radio		
You hold a monthly call-in programme to get input from listeners/pupils	00	1
You send out teams to meet and hold discussions with pupils in the areas which can be accessed by vehicle or boat.	10	1
You ask pupils to keep diaries of their learning experience and to send them to the main town when someone from their village is going there.	00	1
Classes under trees		
Teachers use cameras with automatic date stamps to photograph their class each day.	05	1
You ask pupils to keep diaries of their learning experience and these are collected when you visit.	00	1
Visits are made to each school at least once per year, and a monitoring checklist is completed.	10	1
At the end of each year, pupils are given standardised tests which have been developed by your education advisor in conjunction with the local education authority.	10	2
Now take a Risk card		

<b>12. Protection</b>		
Classes by radio		
Because of the expense of developing radio program material, you decide not to broadcast any specific protection content. It has been shown that education has in itself a protection function.	00	0
You develop and broadcast programmes on child rights and the disadvantages of early marriage.	05	1
Classes under trees		
You train teachers in positive discipline to support their transition from physical punishment of the children, which has recently been made illegal.	05	2
You give monthly incentives (oil & sugar) to families to send their girls to school.	05	2
You develop – and have teachers deliver – classes on child rights and the disadvantages of early marriage.	05	1
Now take a Bonus card		
<b>13. Accountability</b>		
You commit to implementing the Core Humanitarian Standard and the Inter-Agency Network on Education in Emergencies' (INEE) Minimum Standards.	05	1
You develop internal policies and procedures which use the Core Humanitarian Standard and the INEE Minimum Standards as guides.	05	1
You develop policies and procedures with the ultimate goal of gaining certification against the Core Humanitarian Standard.	10	2

## CHS Introductory Training: Commitment 9

### The responsible management of resources

Responsible management of resources requires constantly balancing efficiency, effectiveness, economy and equity in decision making about programme implementation. It can be particularly challenging in humanitarian work because of the urgency and scale of the needs, a challenging operating context, the fact that the context may not be well known to the organisation concerned, and the frequency with which the unexpected occurs in environments prone to disaster and/or conflict. In the following simulation, you will try your hand at balancing responsible management of resources with impact in the delivery of a specific programme.

#### Simulation exercise scenario:

The context is a country in the Horn of Africa which was at war for many years, but where a tentative peace has now been established. This is the first time your organisation has worked in the country, so you are first going to have to set up an office and recruit a staff team. You have funding for a two-year programme, for which the objective is to deliver a quality basic (primary) education to the maximum number of pupils possible in Elephant State in the east of the country. The population of Elephant State is widely scattered. The terrain is swampy, and there are many places which can only be reached by boat (or helicopter, in the rainy season). There are no tarmac roads at all in the State. Fortunately, security has not been an issue, and international organisations are being welcomed by the communities for the assistance they bring. You are taking over from an organisation which decided to exit the country after the peace agreement was signed. Their funding was more limited than yours, and the main achievement of their engagement was the refurbishment of the primary school in the State capital, which is functioning well and has an enrolment of 500 pupils.

Your team has a budget of 100 pounds. Your goal is to gain the most quality points you can before you exhaust your budget. There are 13 **decision stages** altogether. For each decision you make, there is a set cost and a set number of quality points. Each decision made can incur a cost of between 0 to 10 pounds. If you go for the most expensive option at every stage, you will exhaust your budget before you complete the project. The decision cards indicate the cost of the action, but the number of quality points to be awarded will only be revealed by the facilitator after you have made your decision.

As in real life, there are unforeseen challenges and hard-earned successes. These are represented by the '**Risk Cards**' which add extra costs (or deduct quality points) depending on the previous decisions you have made, and '**Bonus Cards**' which give additional money and/or quality points. Altogether, each team will take three Risk Cards and three Bonus Cards. The maximum deducted by any Risk Card is 10 pounds, and the maximum added by any Bonus Card is 10 pounds.

Record your decisions, the cost and the number of quality points in the table overleaf.

If you spend all your funding before the simulation is finished, you must inform the facilitator at once. You may not then participate in any further decision stages (or risk or bonus cards).

### Team record sheet:

	Decision	Cost	Budget balance (from 100)	Quality points	Total quality points
1					
2					
3					
4					
5					
6					
7					
	Risk				
8					
	Bonus				
9					
	Risk				
10					
	Bonus				
11					
	Risk				
12					
	Bonus				
13					



**DECISION STAGE CARDS** (print four sets, each on a different colour paper, cut out, and laminate)

**Decision stage 1 - Appointment of the programme manager:**

- Expatriate (10 pounds)?
- National (5 pounds)?

**Decision stage 2 - Profile of manager to be appointed:**

- Experienced older person (10 pounds)?
- Younger energetic person (5 pounds)?

**Decision stage 3 - Where will you open your office?**

- In the capital city (10 pounds)?
- In the state capital, in a room in the town's primary school, rent-free (0 pounds)?

**Decision stage 4 - Recruitment of your staff team:**

- National staff (5 pounds)?
- International volunteers (5 pounds)?
- A mixture of expatriate and national staff (10 pounds)?

**Decision stage 5 - Conducting your needs assessment:**

- Consult local authorities, tribal chiefs, religious leaders and teachers (5 pounds)?
- Access remote pockets of population by boat, to discuss directly with young people in the rural areas (10 pounds)?

**Decision stage 6 - Decide the main activity of your programme:**

- Classes broadcast over radio, on a wavelength that will reach all of the remotest areas (5 pounds)?
- Classes 'under trees' – small numbers of children in mixed-age classes taught under trees or in locally constructed shelters (10 pounds)?

### **Decision stage 7 –Initial procurement:**

#### *Classes by radio – procurement of wind-up radios:*

- Buy in the capital city, from the one store which can procure these and provide the necessary paperwork – invoice, receipt, etc (10 pounds)
- Import from a neighbouring country where they are more easily available and cheaper (5 pounds)?
- Accept a free ‘in-kind’ donation of wind-up radios from a North American organisation, although this will lead to a delay in implementation of the project because they will have to be shipped to a neighbouring country, cleared through customs, and then transported more than a thousand miles by road (0 pounds)?
- Users to purchase the radios themselves, if they do not already possess one (0 pounds)?

#### *Classes under trees – Textbooks:*

- Buy in the capital, where the government-approved textbooks are available from a single supplier (5 pounds)?
- Buy solar-rechargeable tablets with all the neighbouring country’s primary curricula textbooks, Years 1 through 8, pre-loaded on them (10 pounds)?

### **Decision stage 8 –Additional procurement**

#### *Classes by radio:*

- Broadcast your material over an existing radio station run by the UN Peacekeeping Mission, free (0 pounds)?
- Set up your own radio station (5 pounds)?

#### *Classes under trees:*

- Procure large tents which will offer rapid and relatively weather-proof classroom facilities (10 pounds)?
- Ask communities to build structures from local materials, for which you will provide nails and tools which are not locally available (5 pounds)?

### **Decision stage 9 –Equity and quality**

#### *Classes by radio:*

- Your use of the medium of radio means you are able to deliver classes to children in villages so remote that they are accessible only by helicopter during the rainy season (0 pounds).
- You decide to extend the reach of your programme by employing field education officers who can travel by motorbike to many of the more remote locations to promote the programme and provide support and encouragement to radio class learners in the villages (10 pounds).

#### *Classes under trees:*

- The scarcity of qualified teachers in the more remote areas of the state means that some of those you employ have not yet completed primary school themselves (5 pounds).
- You require that you teachers have a minimum qualification of a primary school leaving certificate. This limits your ability to offer schools in the more remote areas (5 pounds).
- You decide to pay a 'remote posting' supplement to qualified teachers willing to relocate to the remote villages where you have been unable to recruit locally (10 pounds).

### **Decision stage 10 – Qualifications**

#### *Classes by radio:*

- You decide to use your resources to focus on reaching the largest number of children possible to teach them the basics. You will therefore not offer the option of formal qualifications (0 pounds).
- You make an arrangement with the town's primary school for radio pupils to sit the school leaving examination there, as external candidates (5 pounds).

#### *Classes under trees:*

- You make an arrangement with the town's primary school for pupils at the schools under trees to sit the school-leaving examination as external candidates (5 pounds).
- In coordination with the Ministry for Education, you set up examination centres in three additional small towns in the state so that the more remotely-located school children can sit their leaving examination (10 pounds).

### **Decision stage 11 – Monitoring**

#### ***Classes by radio:***

- You hold a monthly call-in programme to get input from listeners/pupils (0 pounds).
- You send out teams to meet and hold discussions with pupils in the areas which can be accessed by vehicle or boat (10 pounds).
- You ask pupils to keep diaries of their learning experience and to send them to the state capital when someone from their village is going there (0 pounds).

#### ***Classes under trees:***

- Teachers use cameras with automatic date stamps to photograph their class each day, enabling you to monitor the regularity of classes and the attendance (5 pounds).
- You ask pupils to keep diaries of their learning experience, and these are collected when you go for field visits (0 pounds)
- Visits are made to each school at least once per year, and a monitoring checklist is completed (10 pounds).
- At the end of each year, pupils are given standardised tests which have been developed by your education advisor in conjunction with the State Ministry of Education (10 pounds).

### **Decision stage 12 – Protection**

#### ***Classes by radio:***

- Because of the expense of developing radio program material, you decide not to broadcast any specific protection content. It has been shown that education gives, in itself, a protection function (0 pounds).
- You develop and broadcast programmes on child rights and the pitfalls of early marriage (5 pounds).

#### ***Classes under trees:***

- You train teachers in positive discipline to support their transition from physical punishment of the children, which has recently been made illegal (5 pounds)
- You give monthly incentives (oil & sugar) to families to send their girls to school (10 pounds)
- You develop – and have teachers deliver – classes on child rights and the disadvantages of early marriage (5 pounds).

### **Decision stage 13 – Accountability**

- You commit to implementing the Core Humanitarian Standard and the Inter-Agency Network for Education in Emergencies (INEE) Minimum Standards (5 pounds).
- You develop internal policies and procedures which use the Core Humanitarian Standard and the INEE Minimum Standards as guides (5 pounds).
- You develop policies and procedures with the longer-term goal of achieving certification against the Core Humanitarian Standard (10 pounds).

**RISK CARDS (print one set on coloured paper, cut out, and laminate)**

There is a backlash against UN involvement in the country. The UN Peacekeeping Mission radio station is temporarily closed as all UN non-essential personnel are evacuated.	-1 quality point	This only applies if your programme activity is classes by radio.
There is a long delay in the arrival of the tents for schools due to a supplier shortage.	-1 quality point	This only applies if your programme activity is schools under trees, and you decided to provide tents in Decision Stage 8.
There is a long delay in the arrival of the radios due to a supplier shortage	-1 quality point	This only applies if your programme activity is classes by radio.
Teachers go on strike for more pay. You have to increase salaries.	-10 pounds	This only applies if your programme activity is schools under trees
The government brings in new legislation that all posts under the level of programme manager must be filled by nationals. You have to recruit new staff.	-5 pounds	This only applies if you have expatriate volunteers.



Following receipt of a complaint and subsequent investigation, three cases of sexual exploitation and abuse of pupils are uncovered, perpetrated by teachers on your payroll.	-2 quality points	
Your education specialist is medically evacuated with suspected malaria and typhoid.	-1 quality point	
The office is struck by lightning. Your entire computer network is destroyed. You have to replace the equipment and re-enter all your data.	-10 pounds <i>and</i> -1 quality point	This only applies if you sited your office in the state capital.
The town power supply fails. You have to go back to using generators for power for your office and your staff guesthouse, which is much more expensive.	-10 pounds	
Conflict between two ethnic groups escalates and your expatriate staff have to be evacuated because of the insecurity.	-1 quality point	This only applies if you have an expatriate staff

<p>A fuel crisis in the country means that movement of your vehicles and boats is severely restricted for two full months.</p>	<p>-1 quality point</p>	<p>This only applies if your programme activity is schools under trees</p>
<p>An exceptionally heavy rainy season means that the area outside the state capital is unreachable for four full months.</p>	<p>-1 quality point</p>	<p>This only applies if your programme activity is schools under trees</p>
<p>You receive a complaint about fraud perpetrated by your Finance Manager, which is substantiated upon investigation. She is fired and replaced.</p>	<p>-5 pounds</p>	

**BONUS CARDS (print one set on coloured paper, cut out, and laminate)**

One of your pupils gets a state-wide top ten result in the primary school leaving examinations.	+1 quality point	All classes by trees, but classes by radio <i>only if</i> you chose to offer the exam option under 9 Qualifications.
Twenty of your pupils obtain first division results in their school leaving examinations and are admitted to government secondary/vocational schools.	+2 quality points	All classes by trees, but classes by radio <i>only if</i> you chose to offer the exam option under 9 Qualifications.
You receive a small supplementary grant from a fund which is recognising your innovatory work in education.	+10 pounds	Radio classes only
The government singles out your programme for praise in a major conference for donors and other NGOs.	+1 quality point	
Despite the challenging working conditions, you have a staff retention rate of 100% over the past year, which they attribute to supportive organisational policies and inspirational leadership.	+2 quality points	

Other NGOs replicate your 'Schools under Trees' model in two other states in the country.	+2 quality points	Classes under trees programme only
An NGO obtains funding to develop materials for teacher training by radio, which they will broadcast as part of your 'Classes by radio' programme.	+2 quality points	Classes by radio only
A major international summit on education requests your organisation to be a panellist to share learning from your education programme.	+2 quality points	
Your mid-term evaluation shows clear progress on the majority of your impact indicators.	+2 quality points	
You set up a system of community advisory councils and programme participant score cards, and both communicate an exceptionally high level of user satisfaction.	+2 quality points	

<p>Your donor expresses their satisfaction with your work so far and confirms their willingness to extend your project funding by a further two years, to give you sufficient time to set up mechanisms by which local organisations will be able to take forward the work at the end of your engagement.</p>	<p>+2 quality points</p>	
<p>You introduce a programme-wide complaints mechanism, and the community expresses its appreciation that you have given them this channel to communicate with you about problems in the programme.</p>	<p>+1 quality point</p>	

## Applying the Core Humanitarian Standard

### Learning Objectives:

By the end of the session, the participants will be able to:

- Explain the key elements and aspects of the CHS Verification Scheme
- Understand the scoring system used in audits
- Understand the specifics of what the auditor looks for, through familiarity with the Guiding Questions.

### Facilitation Notes:

Timing	Activity	Materials/equipment needed																				
10	Share the handout on the CHS verification scheme, and explain the main points. Give the participants a chance to ask questions.	Handout																				
25	<p>Participants work individually on the exercise below, where they put themselves in the shoes of the independent auditor and score organisations on different aspects of their work on the Core Humanitarian Standard.</p> <p>After completing the score card on their own, participants compare with their neighbour's scores, and discuss scenarios which they have scored differently.</p> <p>Have each participant read out their scores for each scenario, and write them onto a matrix on the flip chart. Take time to discuss, giving particular attention to the scenarios where there was a large variation in the scores given.</p> <p>Discuss the challenges involved in giving a score, and consider how scoring consistency is ensured.</p> <p>Share the solution (scores given for these scenarios by an experienced CHS auditor) and discuss any surprises or differences from the scores of the group.</p> <p><b>Solution:</b></p> <table><tr><th>Req</th><td>1.3</td><td>1.4</td><td>2.6</td><td>4.1</td><td>4.7</td><td>5.7</td><td>6.3</td><td>7.2</td><td>8.7</td></tr><tr><th>Score</th><td>1</td><td>1</td><td>2</td><td>2</td><td>2</td><td>4</td><td>3</td><td>3</td><td>1</td></tr></table> <p>In the plenary session, the facilitator should point out that auditors try to check policies and practices from more than one site, to see if the incident was isolated or if there was a systematic pattern. Also likely to</p>	Req	1.3	1.4	2.6	4.1	4.7	5.7	6.3	7.2	8.7	Score	1	1	2	2	2	4	3	3	1	Handout 'In the shoes of the auditor'
Req	1.3	1.4	2.6	4.1	4.7	5.7	6.3	7.2	8.7													
Score	1	1	2	2	2	4	3	3	1													

	come up in the discussion is the fact that the inter-connectivity of requirements of the CHS is important, and findings can be relevant to more than one requirement.	
20	<p>Look at the guiding questions used by auditors to assess organisations' work against each commitment, through the following exercise.</p> <p>Divide the participants into nine groups, and give each group one Commitment from the CHS, printed off and laminated in A4 size.</p> <p>Spread out cards with all the guiding questions from the Verification Framework on a table. Groups should identify the guiding questions related to their commitment. Only one person from a group is allowed at the table at any one time.</p> <p>When all the guiding questions have been matched with the commitments, participants are given the relevant page from the Verification Framework (<a href="http://www.chsalliance.org/files/files/CHS_Verification_Framework.pdf">http://www.chsalliance.org/files/files/CHS_Verification_Framework.pdf</a>) to check if they have identified their Guiding Questions correctly.</p> <p>They then circulate to look at the work of the other groups.</p>	Laminated cards – for each Commitment of the Standard, for all the Guiding Questions, and for the page(s) for each Commitment in the Verification Framework
05	Opportunity for participants to ask questions and discuss issues which have arisen.	
60	<b>Total number of minutes scheduled for the session</b>	

## CHS Introductory Training: Applying the Core Humanitarian Standard

### The Verification Scheme of the Core Humanitarian Standard

#### What is verification?

The Core Humanitarian Standard is a voluntary and measurable standard, which means its application can be objectively assessed. The CHS Verification Scheme allows organisations to measure the extent to which they have successfully applied the CHS requirements, and, if they so wish, to demonstrate that they have done so.

#### Benefits of verification:

- Gives a focus to an organisation's work on quality, accountability and people management
- Helps identify strengths and areas of improvement against the Core Humanitarian Standard
- Promotes the introduction of new quality and accountability mechanisms, and improvement of existing ones
- Reinforces internal quality assurance processes, and ensures that quality and accountability mechanism are embedded at all levels in the organisation
- Gives a globally-recognised, objective demonstration that the organisation consistently reflects and applies the Core Humanitarian Standard requirements in its policies, systems and practices.

#### Community feedback in verification:

The importance of the views and perspectives of communities is emphasised in the assessment of an organisation's application of the Core Humanitarian Standard. During a third-party verification or certification audit, auditors:

- conduct consultations with communities and other local stakeholders;
- observe the relationship between organisations and the people they aim to assist;
- collect the feedback of people who are directly receiving assistance from the organisation as well as those who are not
- review organisational records of interaction with communities, including records of community meetings, feedback and complaints received, and results of surveys.

#### Humanitarian Quality Assurance Initiative:

This organisation was set up in June 2015 to provide verification and certification services to NGOs, with a vision of organisations consistently progressing in the delivery of quality, accountable, humanitarian action. The Humanitarian Quality Assurance Initiative will carry out the independent audits for organisations going for third-party verification or certification against the Core Humanitarian Standard.



### Costs of third-party verification and certification:

The average cost of a third-party verification or certification audit will be CHF 28,000 in 2015. It is important to note that the cost varies significantly depending on the size and complexity of an organisation. Any organisation interested in third-party verification or certification should contact the Humanitarian Quality Assurance Initiative directly for a tailored estimate. For smaller organisations which want to access these services, but may not have the resources to afford their full costs, a fund is being set up to provide subsidies. This fund will be administered by the CHS Alliance.

### The three levels of verification:

Level	Self-assessment	Third-party verification	Certification
Internal or external?	Internal	External	External
Carried out by?	Organisation staff or consultant	The Humanitarian Quality Assurance Initiative, based on the same audit for both options.	
Purpose	For an organisation to identify their own strengths and gaps in applying the requirements of the CHS.	Objective assessment of an organisation's continuous improvement in their application of the CHS, according to an agreed action plan.	An objective assessment of an organisation's compliance with the CHS.
Pass/fail?	No	No	Yes
Certificate issued?	No	No. An attestation is issued that the organisation is following a continuous improvement path in the application of the CHS.	Yes, if the organisation reaches the required level of compliance.
Public claim possible?	No	Yes, of continuous improvement in the application of the CHS.	Yes, of compliance with the CHS.
Required of CHS Alliance members?	Yes, within two years of joining.	No	No
Tools	<ul style="list-style-type: none"> <li>Self-assessment manual, protocol &amp; report template.</li> <li>E-learning module</li> </ul>	<ul style="list-style-type: none"> <li>Verification protocol</li> <li>Reporting template</li> <li>Work plan</li> <li>E-learning module</li> </ul>	<ul style="list-style-type: none"> <li>Verification protocol</li> <li>E-learning module</li> </ul>

### For more detailed information:

- **The Verification Framework of the CHS:** [http://www.chsalliance.org/files/files/CHS\\_Verification\\_Framework.pdf](http://www.chsalliance.org/files/files/CHS_Verification_Framework.pdf)
- **CHS Self-Assessment Tool:** [http://www.chsalliance.org/files/files/CHS\\_Alliance\\_-\\_Self-Assessment\\_Tool\\_v1\\_1.zip](http://www.chsalliance.org/files/files/CHS_Alliance_-_Self-Assessment_Tool_v1_1.zip)
- **CHS Self-Assessment Protocol:** <http://chsalliance.org/what-we-do/verification/self-assessment>
- **The Steps of Independent Verification & Certification:** <http://www.chsalliance.org/what-we-do/verification/independent-verification>, <http://www.chsalliance.org/what-we-do/verification/certification>

## CHS Introductory Training: Audit exercise

### Walking in the shoes of the auditor

In this exercise, you will put yourself in the shoes of an auditor conducting a third-party audit to assess and organisation's degree of compliance with the Core Humanitarian Standard.

Below, you are given specific CHS requirements to assess, along with the verification indicator and a brief scenario drawn from a real-life example. Your task is to assess and score the organisation for that requirement, using the CHS Verification Scheme scoring system, which is as follows:

Score	Description
0	The organisation work in ways which directly contradict the intent behind the CHS commitments and requirements.
1	The organisation has implicit or informal approaches that are consistent with the relevant CHS requirement but not necessarily systematised or formalised.
2	Policies and procedures respond to the intent behind the CHS requirement. There are some instances where they are not correctly applied at operational level, but not to the extent that the integrity of the requirement is compromised.
3	Policies and procedures respond to the intent of the CHS requirement, relevant staff are familiar with them and they are applied in the design of programmes and in the activities.
4	Policies and procedures go beyond the intent of the CHS requirement.
5	Organisation shows absolutely exceptional performance against this requirement

In addition, for each scenario, you will consider what additional information might increase your confidence in the robustness of your scoring.

Complete the exercise first individually, and then compare your answer with your neighbour. The session will end with a plenary discussion of all of your results, and drawing out the learning from the exercise.

**CHS requirement: 1.3 - Adapt programmes to changing needs, capacities and context.**

**Verification indicator:** Programmes are adapted to changing needs, capacities and context.

**Scenario:** The organisation provides a standardised package of non-food items, usually delivered to disaster-affected areas from Europe by military transport planes, and distributed to community members from the compound of the offices of the local authorities by staff who have come from the organisation's headquarters in a European country. Their response times to emergencies are notably rapid compared with other organisations.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS requirement: 1.4 - Policies commit to providing impartial assistance based on the needs and capacities of communities and people affected by crisis.**

**Verification indicator:** Policies commit to impartial assistance.

**Scenario:** The organisation has a global policy of assisting all those in need, regardless of their ethnicity, religious beliefs or sexuality. During your field visit, the project director explains to you that some of their beneficiaries are selected through recommendation by religious leaders of a specific Christian denomination in impoverished parishes in that county.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS Requirement: 2.6 – Programme commitments are in line with organisational capacities.**

**Verification indicator:** Programme commitments are in line with organisational capacities.

**Scenario:** There is a high staff turnover, and frequent gaps of several months before replacements are recruited. Records of exit interviews show a pattern of staff leaving due to overload and burnout. Current staff report high levels of commitment to work, but also frustration at reporting requirements, and results indicators which do not acknowledge the challenges of working in difficult circumstances.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS Requirement: 4.1 – Provide information to communities and people affected by crisis about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it is implementing and what they intend to deliver.**

**Verification indicator:** Information is provided to communities and people affected by crisis about the organisation, the principles it adheres to, the expected behaviours of staff, its programmes and deliverables.

**Scenario:** Meeting with programme beneficiaries in a remote location, community members express a high level of satisfaction with the work of the organisation in question. The organisation has communicated with them about the programme they are implementing, about channels for complaints and feedback and about what behaviour that the community can expect from the representatives of the organisation. However, they do express a specific frustration, which is that the staff of the organisation often arrive later than scheduled for meetings that they have themselves requested. This keeps the community members from their work, sometimes for extended periods. In one case, they waited the whole day for VIP visitors of the organisation – they never arrived, and the community never found out what had happened. They had no means of contacting the organisation themselves to follow up, as there is no mobile phone coverage in this area, and it takes a full day of walking to reach the office.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS requirement: 4.7- External communications, including those used for fundraising purposes, are accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings.**

**Indicator:** External communications, including those used for fundraising are accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings.

**Scenario:** The Communications Officer at the field site shares with you his consternation at an incident which had occurred recently. He had taken, and sent to his head office, a photograph of a large family from a conflict-affected area standing outside their humble grass-thatched home. The family had successfully used inputs provided by the organisation to cultivate an extensive kitchen garden. On a home visit, he was surprised to see his photograph appearing in fundraising posters for the organisation. The photograph had been cropped tightly around the smallest child of the family, a toddler, scantily dressed, and the caption read 'All alone with nothing to eat. Will you help?'

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS Requirement: 5.7 – Complaints that do not fall within the scope of the organisation are referred to a relevant party in a manner consistent with good practice.**

**Verification indicator:** Complaints that do not fall within the scope of the organisation are referred to a relevant party in a manner consistent with good practice.

**Scenario:** The organisation has taken the lead in initiating and coordinating an inter-agency complaints mechanism in a vast underdeveloped arid region, sparsely populated by pastoralist groups. The mechanism involves nearly fifty different organisations including local government. All organisations involved sign an agreement undertaking to refer on complaints received about other organisations promptly and to maintain strict confidentiality. A recent SMS survey of community members indicates that they are very satisfied with this 'joined-up' route for channelling their feedback and complaints. The unprecedented success of this innovative mechanism has drawn considerable attention within the humanitarian sector, and a number of agencies are looking at how they might replicate it in other places.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS requirement: 6.3 – Participate in relevant coordination bodies and collaborate with others in order to minimise demands on communities and maximise the coverage and service provision of the wider humanitarian effort.**

**Verification indicator:** The organisation collaborates with others in order to minimise demands on communities and maximise the coverage and service provision of the wider humanitarian effort.

**Scenario:** The organisation is committed to attending the relevant national-level cluster coordination meetings, for WASH and Protection. The Programme Officer assigned this duty explains to you that there are times when she does have to miss meetings because of her heavy workload. She also admits that she sometimes feels nervous speaking on behalf of her organisation in the meetings, because she is not part of the senior management team, and she is not sure if she has the authority to make commitments on their behalf.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS requirement: 7.2 – Learn, innovate and implement changes on the basis of monitoring and evaluation, and feedback and complaints.**

**Verification indicator:** The organisation uses learning from M&E, feedback and complaints to implement change.

**Scenario:** Participatory action research with a group of street children revealed to this organisation that their provision of overnight accommodation was undermining the children’s coping strategies, making them reliant on the organisation. Prior to the intervention, most children had been able to make sufficient money from casual labour or petty trading to pay for simple private-sector overnight accommodation for themselves. The organisation adjusted their programming accordingly, opening instead a daytime drop-in centre that offered washing facilities, sports and games, family reunification, and literacy classes.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**CHS requirement: 8.7 - A code of conduct is in place that establishes, at a minimum, the obligation of staff not to exploit, abuse or otherwise discriminate against people.**

**Verification indicator:** A code of conduct is in place and establishes, at a minimum, the obligation not to exploit or abuse or otherwise discriminate against people.

**Scenario:** The organisation provides you with a copy of their code of conduct. It is an embedded part of the employment contracts of all staff of the organisation. Staff members are given an induction and annual refresher training to ensure that they clearly understand its contents. It includes prohibition of sexual exploitation and abuse by its staff and representatives. It specifies that sex with children is an offence for which the perpetrator will be dismissed. The code defines a child as anyone under the age of 16, which is the age at which marriage is permitted in the country in question.

**Your score:**

**Any additional information needed, to cross-check your finding?**

**Verification Framework Guiding Question cards – to be cut out and laminated for the exercise:**

- Is a comprehensive needs assessment conducted and used to inform response planning?
- Is a stakeholder mapping conducted and used to inform response planning?
- Are multiple sources of information, including affected people and communities, local institutions and other stakeholders consulted when assessing needs, risks, capacities, vulnerabilities and context?
- Are plans or processes for regular context analysis in place, known to the staff and used in monitoring processes?

- Are assessment data and other monitoring data disaggregated at a minimum by sex, age and ability?
- Are vulnerable groups consistently identified?
- Does the response include different types of assistance and/or protection for different demographic groups?
- Are programme budgets and resources allocated in proportion to identified needs?

- What actions are taken to adapt the response strategy based on changing needs, capacities, risks and the context?
- Are clear orientations used to evaluate social and contextual factors that contribute to vulnerability, such as discrimination and marginalisation?
- Are affected people and communities satisfied that programmes are relevant and appropriate to addressing their needs?

- Does the organisation have a clear policy commitment to impartial and independent action? Is it known to staff?
- Do relevant stakeholders perceive the organisation as impartial, independent and non-discriminatory?
- Does the organisation have a clear policy commitment to needs-based action? Is it known to staff?
- Do working processes include mechanisms to consistently assess the needs and capacities of communities?

- Does the organisation have a clear policy to take into account the diversity of communities, including sex, age, and ability when relevant? Is it known the staff?
- Do working processes include mechanisms to consistently collect sex, age and ability disaggregated data?
- When relevant, do working processes include mechanisms to consistently collect cultural and other relevant types of diversity?

- Do working processes include guidance on indicators of change in the context, on frequency of context monitoring, and on context monitoring processes?
- Do working processes include guidance on the collection and use of disaggregated data to guide programme design, implementation and monitoring?

- Are procedures to regularly assess and address potential risks and harm to affected people and staff such as security plans in place and functioning?
- Are constraints and risks regularly identified and analysed?
- Does the analysis address humanitarian access, security, protection, logistics and funding?
- Are plans adapted accordingly?
- Are affected people consulted about safety and access conditions?

- Does implementation planning take into account and optimally deal with factors that may cause delays such as weather/season, conflict, etc.?
- Does planning consider optimal times for activities?
- Does programme design include indicators related to timeliness and delays?
- Are delays to implementation monitored and addressed?
- Are there mechanisms to reduce the time needed to adjust the allocation of resources to changes identified in the operational context?
- Are early warning systems and contingency plans used?

- Are unmet needs identified, documented and addressed?
- Are relevant expert organisations mapped?
- Are there formal processes to refer unmet needs to relevant expert organisations or governments?
- Are relevant sector technical standards and good practice identified regularly? Are they known to the staff?
- Are globally recognised technical standards used by staff?
- Are rationales for implementation in line with international standards?

- Are programmes activities, outputs and outcomes regularly monitored?
- Are programme monitoring results used to adapt programmes?
- Are context monitoring results used to adapt programmes?
- Are poor performances of the humanitarian responses systematically identified?
- Are poor performances of the humanitarian responses systematically addressed?
- Are poor performances of the humanitarian responses taken into consideration as lessons learned, documented and shared with staff?



- Are there clear processes to assess if the organisation has sufficient financing and the right staff available to be deployed before making programming commitments?
- Are there clear processes to regularly assess the organisational capacities?
- Are there clear processes to assess partners' capacities before making programming commitments? In case commitments are made before securing all necessary resources, is this based on sound information and a careful analysis of the risks?
- Are there mechanisms or contingency plans to minimise the risks and palliate those that materialise?

- Are there clear policies, processes and resources in place to support monitoring and evaluation and use the results for management and decision-making?
- Are there clear policies, processes and resources in place to ensure the monitoring and evaluation are objective?
- Are these policies used throughout the whole organisation? Are they known to the staff?
- Do the policies and their implementation address all the requirements of the CHS?
- Are there clear processes to define responsibilities and timelines for decision-making on resource allocations?
- Are there formal processes to report any delay in the implementation of the programmes against established indicators?

- Are there formal processes to map and assess local capacities and resilience?
- Does planning take into account local capacities (structures, organisations, leadership and support networks)?
- Does planning include activities to strengthen local resilience?
- Do monitoring and/or evaluation reports demonstrate how activities are contributing to strengthening local community resilience?
- Are strategies and actions to reduce risk and build resilience designed in consultation with affected people and communities?

- Do formal processes exist to identify and analyse at an early stage existing community hazard and risk assessments?
- Is existing information on risks, hazards, vulnerabilities and related plans used in programming activities?

- Are local leaders (formal and informal) and/or authorities identified and consulted to ensure strategies are in line with local and/or national priorities? In what way?
- Are programmes coordinated with local leadership and community authorities?
- Are disadvantaged and marginalised groups identified?
- Are there equitable opportunities for participation of all groups in the affected population, especially marginalised and vulnerable people?
- Do programmes use qualified local and national staff instead of expatriate staff? If not, is it clear why?
- Are programmes coordinated with and work through local community authorities, when appropriate?
- Do mechanisms exist for systematic transfer of competencies and skills to local partners?

- Is a clear transition and/or exit strategy developed in consultation with affected people and other relevant stakeholders?
- Is the transition and/or exit strategy known to relevant staff and stakeholders?
- Does it assess the risk of implementing it or not?

- Does programming consider early recovery?
- Do responses facilitate early recovery?
- Are opportunities and threats to ensure longer-term positive effects and reduce the risk of dependency outlined at different phases of the programme?
- Are potential positive and negative effects of the programme on the local economy assessed early and regularly in the implementation?
- Do procurement guidelines encourage local purchase if possible?

- Do mechanisms exist for prompt detection, assessment and mitigation of unintended negative effects, in these areas?
- Is there a systematic monitoring of un-intended effects in these areas?
- Do formal mechanisms exist to identify whether programme's activities could exacerbate existing divisions within the community or between neighbouring communities or could empower or strengthen the position of armed groups or other actors?
- Do formal mechanisms exist to understand the means by which people try to protect themselves, their families and communities?
- Are measures taken in an early stage of the programme in response to hazards and risks identified by the community and to progressively reduce these?
- Do formal processes exist to address unintended negative effects when detected?
- Do formal processes state time delays for addressing unintended effects?

- Is there a policy requiring risk assessment and risk reduction for vulnerable communities and people in the organisation's programme areas? Is it known to staff?
- Do policies and procedures exist for assessing and mitigating the negative effects of the response? Are they known to staff?
- Do policies reflect commitment for the protection of vulnerable and affected people, including prevention of sexual exploitation, abuse of power and discrimination against people?
- Are policies supported with clear guidelines on how the organisation understands capacity-building and resilience?
- Are there specific policies and procedures in place to deal with situations of sexual exploitation, abuse or discrimination? Are they known to staff?
- Are there sanctions for not applying these policies and procedures? Are they known to staff?
- Are contingency plans in place for responding to new or evolving crises? Are they known to staff?
- Do staff understand what is expected of them on issues of protection, security and risks?

- Are clear policies and procedures in place to orient the staff on how to collect, record and use sensitive information and the circumstances under which information may be referred? Are they known to staff?
- Do clear processes exist to train staff and relevant stakeholders on sensitive information management?
- Do clear processes exist to train staff and relevant stakeholders on privacy and confidentiality requirements?

- Is the information on expected behaviours of staff communicated to the community? How?
- Is the information about the organisation and the response accessible and communicated in accessible and appropriate ways to affected communities and people?
- Is information sharing planned as part of the programmes activities?

- Have people, especially vulnerable and marginalised groups, easy access to the information provided? Do they understand it?
- Are the preferences of vulnerable and marginalised groups in terms of languages, communication format and media known to relevant staff and stakeholders?
- Are affected people satisfied with opportunities to participate and their capacity to influence project design, management and activities?

- Are crisis-affected people's views, including those of the most vulnerable and marginalised, sought and used to guide programme design and implementation?
- Do all groups within affected communities and people feel they have equitable and safe opportunities to participate in decisions about the response that affect them?

- Are staff encouraged to seek feedbacks from people affected by crisis, including on their level of satisfaction?
- Are all groups within the community aware of how to give feedback on the response, and feel safe using those channels?
- Are barriers to giving feedback identified and addressed?
- Are feedback mechanisms planned and budgeted as part of the programme activities?
- When possible, is data provided through feedback mechanisms disaggregated by age, gender and other relevant categories?
- Do formal processes exist to ensure access for vulnerable and marginalised people?

- Do policies and programme plans include provisions and clear guidelines for information-sharing, including criteria on what information should and should not be shared? Are they known to staff?
- Do policies commit to open communication and publicly state the principles on information sharing that it follows?

- Do policies reflect the commitment to work in participatory manners and engage affected people in programming decisions that affect them?
- Do policies clearly define how affected people and communities will be engaged in decision-making?
- Is there a policy commitment and operational guidelines on how the priorities and risks identified by people affected by crisis should be recognised and taken into account?

- Is there a policy commitment and guidelines about the way in which affected people are represented in external communications or fundraising materials. Do staff know them?
- Are there formal processes to achieve informed consent for the use of images?
- Do affected people know how their image is used by the organisation?

- Are communities and people affected by the crisis consulted about the design of complaints mechanisms?
- Are communities and people affected by the crisis consulted about the implementation and monitoring of complaints mechanisms?
- Do specific mechanisms ensure the participation of the communities and other relevant stakeholders in the implementation and monitoring of the complaint handling processes?
- Are the preferences of all demographic groups affected by the crisis taken into account, particularly those related to safety and confidentiality, in the design of complaints processes?

- Do specific mechanisms ensure the adequate functioning of the complaint handling mechanism?
- Do relevant stakeholders express satisfaction with the way complaints are received and accepted?
- Are these mechanisms to ensure the relevant information on the complaint handling mechanism accessible, particularly to vulnerable groups?
- Is information provided to all relevant groups about how complaints mechanisms work and what kind of complaints can be made?
- Do stakeholders understand the scope of issues covered by the complaints handling mechanism?
- Is the communication of the complaint mechanism ongoing?

- Are there agreed timeframe to investigate and resolve complaints?
- Are they respected?
- Is the time between a complaint is filed and its resolution recorded?
- Do complainants feel their complaints have been handled in a fair and appropriate way?
- Are there formal and efficient mechanisms in place to protect complainants?
- Has the organisation formulated and communicated a clear non-retaliation policy?
- Do complainants and potential users of the mechanisms feel their complaints have been, or would be handled safely?

- Are there specific policies, budgets and procedures in place for handling complaints?
- Does the organisation's complaints-handling policy include provisions for sexual exploitation and abuse? Conditions for lodging a complaint? The process (including timeliness) by which complaints are handled to expedite serious complaints? Mechanisms to protect complainants and witnesses? Mechanisms to facilitate access by disadvantaged people and groups? Mechanisms to record, refer and monitor past and current complaints and their resolution?
- Is the organisation's policy commitment and procedures for preventing sexual exploitation and abuse shared with affected communities and people?
- Are all staff provided with an induction and refresher training on the organisation's policy and processes for handling complaints?
- Do policies reflect commitment to seek feedback, concerns and complaints from affected people?
- When relevant and safe for complainants how is management and leadership involved in the complaints handling process?

- Does the code of conduct or a similarly binding document formally state the commitment to the prevention of sexual exploitation and other abuses?
- Are there processes to communicate systematically on the complaints mechanisms and the code of conduct at field level?
- Are there mechanisms to assess the awareness of the affected communities of the complaint mechanism and the perception on its efficiency?
- Are measures taken to ensure the accessibility of the relevant information on the elements of the complaint handling mechanism to particularly vulnerable groups at programme and field levels?

- Are there formal processes to identify relevant jurisdictions and organisations for referral processes?
- Do they consider risk issues related to referral?
- Are complaints that cannot be addressed by the organisation referred in a timely manner to other relevant organisations?
- Are clear rules establishing the persons responsible for the referring process and relevant follow up?

- Do the organisation and the staff consider local actors, humanitarian organisations, local authorities, private companies and other relevant groups in its definition of stakeholders?
- Is information about the competences, resources, areas and sectors of work of other organisations, including local and national authorities, accessed?
- Are relevant staff and other stakeholders aware of the plans and activities of other actors working in the same sectors, geographic areas or vulnerable groups?

- Is there a systematic analysis on the independence of the actions when authorities are party to a conflict, keeping the interests of communities and people affected by crisis at the centre of their decision making?
- Is response coordinated with other actors (NGOs, government agencies, etc.) present in the same area?
- Are the programmes of other organisations and authorities taken into account when designing, planning and implementing programmes?
- Are gaps in coverage identified and addressed?

- Have existing coordination structures been identified?
- Does the organisation participate consistently in relevant coordination meetings with national and international stakeholders?
- Are processes which directly involve affected populations sought to be harmonised with those of other humanitarian actors who work with the same populations?

- Is information about the organisation's competences, resources, areas and sectors of work shared with others responding to the crisis?
- Do programme plans include measures to regularly share information and coordinate activities with other national and international stakeholders?

- Is there a clear commitment in policies and/or strategies to work in collaboration with other actors?
- Are formal mechanisms to undertake a stakeholder mapping that identify other pertinent actors in place? Is this mapping used as a tool to feed the design of the programme at early stages?
- Is guidance given to staff as to:
  - Who is charge of displaying information within existing coordination bodies?
  - What type of information should and can be shared?
  - How information should be shared (ie coordination meetings, face to face meetings, e-mails, regular updates...)?
  - What are the relevant coordination bodies/instances?
- Does the commitment to coordination and collaboration appear in key strategy and communication documents? Does the commitment clearly state the underlying principles of coordination?

- Are criteria or conditions for partner selection, collaboration and coordination established?
- Are formal partnership arrangements in place?
- Do partnership arrangements include clear agreements on the roles, responsibilities and commitments of each partner, including how each partner will contribute to jointly meeting the humanitarian principles?

- Are evaluations and reviews of responses of similar crises consulted and incorporated as relevant in programme design?
- Do initial assessments take systematically benchmark of other actors actions, lessons learned from past experiences and relevant standards?
- Do final evaluation of programmes, or other forms of objective learning review, systematically identify the lessons learned and good practices?
- Are lessons learned from past experiences shared with staff and/ or other relevant stakeholders?

- Are monitoring, evaluation, feedback and complaints-handling processes leading to changes and/or innovations in programme design and implementation?
- Are there clear procedures to refer desirable changes and corrective actions to the management and leadership of the organisation?

- Is learning systematically documented?
- Are specific systems used to share learning with relevant stakeholders, particularly affected people and partners?

- Do policies and resources exist for evaluation and learning?
- Are staff trained to use them and evaluated against their success in using them?

- Does clear guidance exist on recording and dissemination of learning, including specific guidance applicable to humanitarian crises?
- Are staff regularly trained to identify lessons learned?
- Is learning identified at programme level, documented and shared within the organisation?
- Are there formal systems for internal knowledge-sharing and regular training of the staff?

- Is the organisation an active member of learning and innovation fora?
- Are there processes to feed public communication with lessons learned and identified good practices?
- Are there examples of innovation shared with peers by the organisation?

- Are the organisation's mandate and values communicated to new staff? How?
- Are staff trained to work accordingly to the mandate and values of the organisation? How?
- Are staff trained on key behaviour policies such as child protection, fraud, whistleblowing? How?
- Do staff understand what is expected of their own activities and behaviour in relation to the mandate and values of the organisation?
- Is staff performance managed? Is under-performance addressed? How?
- Do staff know and understand the relevant technical and quality standards, and good practices that apply to their area of work?
- Do staff know what standard of performance they are expected to apply in their work? How?
- Do staff know what technical and quality standards and good practice apply to their area of work? How?
-



- Are staff made aware of the policies that affect them and their work? How?
- Do staff sign a code of conduct or similarly binding document? If so, do they receive orientation on this and other relevant policies? Do they understand it?
- Are staff made aware of the specifics and prohibitions included in these policies?
- Do staff understand the relevant policies and organisational values consistently throughout the organisation and at different levels?
- Are there sanctions for not adhering to the policies?
- Do staff understand the purpose and benefit of the policies and the impact of not applying them? Are complaints received about staff? How are they handled?

- Are staff regularly trained on relevant standards to their work?
- Do specific, measurable and relevant development plans exist for staff?
- Are staff aware of and use support for developing the competences required by their role?

- Are procedures in place for assessing human resource needs in relation to programme size and scope?
- Are programme needs regularly assessed so that the right level of human resource is maintained?
- Does the organisation have HR processes in place to respond quickly to increased staffing needs?
- Are procedures in place for regularly assessing whether programme staff have the requisite skills, competencies, experience to carry out their assigned responsibilities?

- Do staff policies and procedures, including recruitment and selection, comply with local employment law and follow recognised good practice in managing humanitarian staff?
- Are staff consulted on the policies and procedures that affect them? How?
- Do staff know and understand these policies and procedures?
- Are staff satisfied that they are fair and non-discriminatory?

- Do all staff have updated job descriptions and objectives, including specific responsibilities and objectives?
- Are performance management and staff development policies and procedures clear?
- Are all staff provided with an induction and updates on performance management and staff development policies and procedures?

- Does a code of conduct or similarly binding document exist that prohibits sexual exploitation and abuse?
- Are all staff and contractors provided with an appropriate induction on the code of conduct for prevention of sexual exploitation and abuse?
- Are all staff, contractors and other relevant stakeholders trained on the content of the code of conduct and required to sign it?

- Are policies on staff inductions, trainings, line management practices and annual appraisals in place?
- Are all staff receiving inductions and trainings?
- Do training policies include information on training opportunities and processes to have access to these?

- Does the organisation have a security policy and guidelines? Are they based on a risk analysis?
- Do they include provisions for context-specific guidelines in all locations of operation? Are they known to staff?
- Are health and safety policies in line with national legislation or/and international standards?
- Do staff have access to wellbeing support?

- Are resources understood in their broader sense, encompassing what the organisation needs to deliver its mission, including but not limited to: funds, staff, goods, equipment, time, land area, soil, water, air, natural products and the environment in general?
- Are staff following organisational processes for decisions regarding the efficient use of resources at each phase of the response?

- Is value for money monitored regularly?
- Is the use of resources monitored regularly and reports produced and communicated to programme management?
- Do programme plans indicate how resources will be used and for what purpose? Are they shared, as appropriate, with affected people and relevant stakeholders?
- Are services and goods procured using a competitive bidding process?
- Are cost-efficiency, cost-effectiveness and social impact monitored?
- Is there a waste management system in place, including processes to minimise waste production?

- Are the programme finances and resources monitored using recognised financial management good practices?
- Are processes in place to track the use of resources for the purposes intended, including both cash and in-kind contributions?

- Is there some kind of environmental impact assessment made in the design of programmes and activities?
- Are impacts on the local and natural resources monitored, and actions taken to mitigate the negative ones?
- Are the environmental constraints and potential negative effects of the programme analysed in regard to water, soil, air and biodiversity?
- Are there formal anti-fraud and anti-bribery policies? Are they part of staff contracts and/or the Code of Conduct?
- Is there a safe whistle-blowing procedure in place that is known to staff, communities, people and other stakeholders?
- Are there formal processes in place to authorise and monitor the use of funds and resources?
- Are there processes in place to take action to address any corruption or misuse of resources?
- Are there specific procedures to record allegation of corruption and the way these have been addressed?
- Are there examples of such actions?

- Do policies and procedures exist for ethical procurement, use and management of resources?
- Do these include provisions for:
  - Acceptance and allocation of funds
  - Acceptance and allocation of gifts-in-kind
  - Mitigation and prevention of environmental impacts
  - Fraud prevention, handling of suspected and proven corruption, and misuse of resources
  - Conflicts of interest
  - Auditing, verification and reporting
  - Asset risk assessment and management

## Action Planning

### Learning Objectives:

By the end of the session, the participants will be able to:

- Describe three tools provided in the session to help guide action planning, and explain the context in which each is useful. These tools are:
  - Gap analysis for the Core Humanitarian Standard
  - Action planning template on the Core Humanitarian Standard
  - Guiding questions for a personal reflection on action to be taken.

### Facilitation Notes:

Timing	Activity	Materials/equip needed
05	Introduce the three tools for action planning: <ul style="list-style-type: none"> <li>• Guiding questions (on slide)</li> <li>• Gap analysis and action planning template (handouts)</li> </ul>	Handouts for gap analysis and action planning
15	<p>The exercise for this session depends on the nature of the group being trained.</p> <p>The guiding questions for personal action are appropriate for an open workshop with a disparate group from many different organisations.</p> <p>The gap analysis and action planning template is appropriate if you are delivering the training to one or a small number of agencies who are expecting to engage strategically with the Core Humanitarian Standard.</p> <p>Select one, and have the participants work individually or in groups (by organisation).</p>	
10	Call on participants to <i>voluntarily</i> share key elements or ideas from their action plans. Give time for a small amount of discussion and for questions.	
30	<b>Total number of minutes scheduled for the session</b>	

## CHS Training Handout: Action Planning

### Gap Analysis Tool

No	Requirement	Not in place	Partially	Fully in place
<b>1.</b>	<b>Communities and people affected by crisis receive assistance appropriate to their needs.</b>			
1.1	Conduct a systematic, objective and ongoing analysis of the context and stakeholders.			
1.2	Design and implement appropriate programmes based on an impartial assessment of needs and risks, and an understanding of the vulnerabilities and capacities of different groups.			
1.3	Adapt programmes to changing needs, capacities and context.			
1.4	Policies commit to providing impartial assistance based on the needs and capacities of communities and people affected by crisis.			
1.5	Policies set out commitments which take into account the diversity of communities, including disadvantaged or marginalised people, and to collect disaggregated data.			
1.6	Processes are in place to ensure an appropriate ongoing analysis of the context.			
<b>2.</b>	<b>Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.</b>			
2.1	Design programmes that address constraints so that the proposed action is realistic and safe for communities.			
2.2	Deliver humanitarian response in a timely manner, making decisions and acting without unnecessary delay.			
2.3	Refer any unmet needs to those organisations with the			

	relevant technical expertise and mandate, or advocate for those needs to be addressed.			
2.4	Use relevant technical standards and good practice employed across the humanitarian sector to plan and assess programmes.			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
2.5	Monitor the activities, outputs and outcomes of humanitarian responses in order to adapt programmes and address poor performance.			
2.6	Programme commitments are in line with organisational capacities.			
2.7	Policy commitments ensure:			
	a. Systematic, objective and ongoing monitoring and evaluation of activities and their effects;			
	b. Evidence from monitoring and evaluations is used to adapt and improve programmes; and			
	c. Timely decision-making with resources allocated accordingly.			
<b>3.</b>	<b>Communities and people affected by crisis are not negatively affected and are more prepared, resilient and less at-risk as a result of humanitarian action.</b>			
3.1	Ensure programmes build on local capacities and work towards improving the resilience of communities and people affected by crisis.			
3.2	Use the results of any existing community hazard and risk assessments and preparedness plans to guide activities.			
3.3	Enable the development of local leadership and organisations in their capacity as first-responders in the event of future crises, taking steps to ensure that marginalised and disadvantaged groups are appropriately represented.			
3.4	Plan a transition or exit strategy in the early stages of the			

	humanitarian programme that ensures longer-term positive effects and reduces the risk of dependency.			
3.5	Design and implement programmes that promote early disaster recovery and benefit the local economy.			
3.6	Identify and act upon potential or actual unintended negative effects in a timely and systematic manner, including in the areas of:			
	a. People's safety, security, dignity and rights;			
	b. Sexual exploitation and abuse by staff;			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
	c. Culture, gender, and social and political relationships;			
	d. Livelihoods;			
	e. The local economy; and			
	f. The environment.			
3.7	Policies, strategies and guidance are designed to:			
	a. Prevent programmes having any negative effects, such as, for example, exploitation, abuse or discrimination by staff against communities and people affected by crisis; and			
	b. Strengthen local capacities.			
3.8	Systems are in place to safeguard any personal information collected from communities and people affected by crisis that could put them at risk.			
<b>4.</b>	<b>Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.</b>			
4.1	Provide information to communities and people affected by crisis about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it			

	is implementing and what they intend to deliver.			
4.2	Communicate in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community, especially vulnerable and marginalised groups.			
4.3	Ensure representation is inclusive, involving the participation and engagement of communities and people affected by crisis at all stages of the work.			
4.4	Encourage and facilitate communities and people affected by crisis to provide feedback on their level of satisfaction with the quality and effectiveness of the assistance received, paying particular attention to the gender, age and diversity of those giving feedback.			
4.5	Policies for information-sharing are in place, and promote a culture of open communication.			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
4.6	Policies are in place for engaging communities and people affected by crisis, reflecting the priorities and risks they identify in all stages of the work.			
4.7	External communications, including those used for fundraising purposes, are accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings.			
<b>5.</b>	<b>Communities and people affected by crisis have access to safe and responsive mechanisms to handle complaints.</b>			
5.1	Consult with communities and people affected by crisis on the design, implementation and monitoring of complaints-handling processes.			
5.2	Welcome and accept complaints, and communicate how the mechanism can be accessed and the scope of issues it can address.			
5.3	Manage complaints in a timely, fair and appropriate manner that prioritises the safety of the complainant and			



	those affected at all stages.			
5.4	The complaints-handling process for communities and people affected by crisis is documented and in place. The process should cover programming, sexual exploitation and abuse, and other abuses of power.			
5.5	An organisational culture in which complaints are taken seriously and acted upon according to defined policies and processes has been established.			
5.6	Communities and people affected by crisis are fully aware of the expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse.			
5.7	Complaints that do not fall within the scope of the organisation are referred to a relevant party in a manner consistent with good practice.			
<b>6.</b>	<b>Communities and people affected by crisis receive coordinated, complementary assistance.</b>			
6.1	Identify the roles, responsibilities, capacities and interests of different stakeholders.			
6.2	Ensure humanitarian response complements that of national and local authorities and other humanitarian organisations.			
6.3	Participate in relevant coordination bodies and collaborate with others in order to minimise demands on communities and maximise the coverage and service provision of the wider humanitarian effort.			
6.4	Share necessary information with partners, coordination groups and other relevant actors through appropriate communication channels.			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
6.5	Policies and strategies include a clear commitment to coordination and collaboration with others, including national and local authorities, without compromising			

	humanitarian principles.			
6.6	Work with partners is governed by clear and consistent agreements that respect each partner's mandate, obligations and independence, and recognises their respective constraints and commitments.			
<b>7.</b>	<b>Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.</b>			
7.1	Draw on lessons learnt and prior experience when designing programmes.			
7.2	Learn, innovate and implement changes on the basis of monitoring and evaluation, and feedback and complaints.			
7.3	Share learning and innovation internally, with communities and people affected by crisis, and with other stakeholders.			
7.4	Evaluation and learning policies are in place, and means are available to learn from experiences and improve practices.			
7.5	Mechanisms exist to record knowledge and experience, and make it accessible throughout the organisation.			
7.6	The organisation contributes to learning and innovation in humanitarian response amongst peers and within the sector.			
<b>8.</b>	<b>Communities and people affected by crisis receive the assistance they require from competent and well-managed staff and volunteers.</b>			
8.1	Staff work according to the mandate and values of the organisation and to agreed objectives and performance standards.			
8.2	Staff adhere to the policies that are relevant to them and understand the consequences of not adhering to them.			
8.3	Staff develop and use the necessary personal, technical and management competencies to fulfil their role and understand how the organisation can support them to			

	do this.			
8.4	The organisation has the management and staff capacity and capability to deliver its programmes.			
8.5	Staff policies and procedures are fair, transparent, non-discriminatory and compliant with local employment law.			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
8.6	Job descriptions, work objectives and feedback processes are in place so that staff have a clear understanding of what is required of them.			
8.7	A code of conduct is in place that establishes, at a minimum, the obligation of staff not to exploit, abuse or otherwise discriminate against people.			
8.8	Policies are in place to support staff to improve their skills and competencies.			
8.9	Policies are in place for the security and wellbeing of staff.			
<b>9.</b>	<b>Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically.</b>			
9.1	Design programmes and implement processes to ensure the efficient use of resources, balancing quality, cost and timeliness at each phase of the response.			
9.2	Manage and use resources to achieve their intended purpose, minimising waste.			
9.3	Monitor and report expenditure against budget.			
9.4	When using local and natural resources, consider their impact on the environment.			
9.5	Manage the risk of corruption and take appropriate action if it is identified.			
9.6	Policies and processes governing the use and management of resources are in place, including how the organisation:			

	a. Accepts and allocates funds and gifts-in-kind ethically and legally;			
	b. Uses its resources in an environmentally responsible way;			
	c. Prevents and addresses corruption, fraud, conflicts of interest and misuse of resources;			
	d. Conducts audits, verifies compliance and reports transparently;			
<b>No</b>	<b>Requirement</b>	<b>Not in place</b>	<b>Partially</b>	<b>Fully in place</b>
	e. Assesses, manages and mitigates risk on an ongoing basis; and			
	f. Ensures that the acceptance of resources does not compromise its independence.			

## CORE HUMANITARIAN STANDARD: ACTION PLANNING TEMPLATE

Commitment	Baseline	Action(s)	By when?
1. Appropriateness, relevance			
2. Effectiveness, timeliness			
3. Strengthening local capacities			
4. Participation, information sharing			
5. Complaints mechanisms			
6. Coordination, complementarity			
7. Learning & improvement			
8. People management			
9. Resource management			

## Conclusion of the Workshop

### Facilitation Notes:

Timing	Activity	Materials/equip needed
03	Facilitator explains that the workshop is now concluded and offers thanks as appropriate – to participants, co-facilitators, host agency (identifying specific individuals who have made particular efforts to provide support), staff of venue, and any other individuals who have contributed to the success of the training.	
02	Facilitator explains what follow up support is available, encourages them to make use of this.	
02	Facilitator distributes USB key with course materials and useful references on it.	USB key
05	Certificates of attendance are presented.	Certificates
02	Participants are asked to complete the evaluation form and drop it at the door as they leave.	Evaluation forms
01	Farewells are said, and facilitator stays until all have departed, in order to answer any last-minute questions and ensure that there are no outstanding issues.	
<b>15</b>	<b>Total number of minutes scheduled for the session</b>	

<b>Annex 1: Registration Form</b>
<b>REGISTRATION FORM</b>
<p><b>Introduction to the Core Humanitarian Standard</b></p> <p>Date-Location</p>
<p>Thank you for taking the time to complete this form. It will help us prepare for the workshop by finding out about your work environment, training experience and awareness in quality and accountability issues in the humanitarian sector.</p>
Name:
Job title:
Organisation:
Email contact:
Mobile number:
Supervisor's name:
Supervisor's email contact:
What is your current role in your organisation? Please briefly describe your duties and responsibilities.
Have you undertaken any previous training on quality and accountability? If yes, please give details.
What are your goals for attending this workshop? Are there specific skills you would like to gain or improve on?
How did you hear about this course?
Any additional comments?

## Annex 2: Useful References

### Introduction to Quality & Accountability

*The Core Humanitarian Standard* (Groupe URD, HAP International, People in Aid, the Sphere Project, 2014)

*Improving Impact: Do Accountability Mechanisms Deliver Results* (Featherstone, 2013)

*The Good Enough Guide: Impact Measurement and Accountability in Emergencies* (Emergency Capacity Building Project/Oxfam, 2007)

### Humanitarian Principles

*Humanitarian Principles in Conflict: Ensuring humanitarian principles are respected in armed conflicts and other situations of violence: ACF's experience and position* (ACF International, 2013)

*Supporting Principled Humanitarian Action* (Macdonald and Valenea, 2012)

### Commitment 1

*Humanitarian Needs Assessment: The Good Enough Guide* (Norwegian Refugee Council, 2014)

*Multi-Cluster/Sector Initial Rapid Assessment (MIRA)* (Inter-Agency Standing Committee, 2012)

*Minimum standard commitments to gender and diversity in emergency programming* (IFRC, 2015)

*Minimum standards for age and disability inclusion in humanitarian action* (Age & Disability Consortium, 2015)

### Commitment 2

*Minimum Standards for Child Protection in Humanitarian Action* (Child Protection Working Group, 2012)

*Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief* (IFRC, 1994)

*Minimum Standards for Education: Preparedness, Response, Recovery* (INEE, 2012)

*Child Safeguarding Standards and how to implement them* (Keeping Children Safe, 2014)

*Livestock Emergency Guidelines and Standards* (Livestock Emergency Guidelines and Standards Project, 2014)

*Minimum Economic Recovery Standards* (The SEEP Network, 2010)



*Quality Compass Companion Book (Groupe URD, 2009)*

*Principles and Checklist for Assessing the Quality of Evidence (BOND, 2013)*

*Operational Guidance for Coordinated Assessments in Humanitarian Crises (IASC, 2012)*

*Imagining More Effective Humanitarian Aid: A Donor Perspective (Scott, 2014)*

*The Core Humanitarian Standard and the Sphere Core Standards: Analysis and Comparison (The Sphere Project, 2015)*

### **Commitment 3**

*Do No Harm: How Aid Can Support Peace (Anderson, 1999)*

*Guidelines for Investigations: A guide for humanitarian organisations on receiving and investigating allegations of abuse, exploitation, fraud or corruption by their own staff (CHS Alliance, 2015)*

*Challenges and options in improving recruitment processes in the context of Protection from Sexual Exploitation and Abuse (PSEA) by our own staff (UNDP, 2013)*

*Programme Participant Protection Policy and Concern Code of Conduct (Concern Worldwide, 2010)*

*PSEA Basics Training Guide (InterAction, 2013)*

*InterAction Step by Step Guide to Addressing Sexual Exploitation and Abuse (InterAction, 2010)*

*Minimum Operating Standards: Protection from Sexual Exploitation and Abuse by own Personnel (IASC)*

*NGO Checklist for Developing or Revising Codes of Conduct (CHS Alliance)*

*Secretary-General's Bulletin – Special Measures for Protection from Sexual Exploitation and Sexual Abuse (United Nations Secretariat, 2003)*

*Implementation Guidelines for the Field on the Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse (United Nations Secretariat, 2003)*

### **Commitment 4**

*Engagement of crisis-affected people in humanitarian action (Mitchell, ALNAP, 2014)*

*Information sharing with communities (CAFOD, 2010)*

*Participation Handbook (Groupe URD, 2009)*

### **Commitment 5**

*Handling community feedback/complaints (CAFOD, 2010)*

*Community Complaints Fact Sheet (World Vision Sri Lanka)*

*Complaints Handling Policy and Procedures for International Programmes* (CAFOD, 2010)

*Complaints Handling Mechanisms: A guide for CAFOD staff to accompany partner organisations to set up CHM within international programme activities* (CAFOD, 2010)

*Complaints Mechanism Handbook* (Danish Refugee Council, 2008)

*Complaints Report* (Dan Church Aid, 2011)

*Protection from Sexual Exploitation and Abuse: Compendium of Practices on Community-Based Complaints Mechanisms* (IASC, 2012)

### **Commitment 6**

*Principles of Partnership* (Global Humanitarian Platform, 2007)

### **Commitment 7**

*'We are committed to listen to you' World Vision's experience with humanitarian feedback mechanisms in Darfur* (ALNAP/CDA, 2013)

*Community monitoring of humanitarian aid and service delivery* (Transparency International, 2013)

*Evaluation of Humanitarian Action* (ALNAP/Overseas Development Institute, 2013)

*Gen Y and rights in Rio: Young people, empowerment and public policy* (World Vision, 2009)

*Project/Programme Monitoring and Evaluation Guide* (IFRC, 2011)

*Context and Sustainability: Monitoring and Evaluating Humanitarian Aid* (INTRAC newsletter, November 2014)

*Introduction to Impact Evaluation* (Rogers, 2012)

*Monitoring, Evaluation, Accountability & Learning in Emergencies* (Catholic Relief Services, 2012)

*PMER (Planning, Monitoring, Evaluation, Reporting) Pocket Guide* (IFRC, 2012)

*From slow boil to breaking point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency* (UNHCR, 2013)

### **Commitment 8**

*Building Resilient Managers in Humanitarian Organisations* (McKay, 2011)

*Performance management is killing your business* (Crawford, 2015)

*The State of HR 2014: A Question of Impact* (People in Aid, 2015)

### **Commitment 9**

*DFID's Approach to Value for Money (VFM)* (Department for International Development, 2011)

*Value for Money and international development: Deconstructing myths to promote a more constructive discussion* (OECD, 2012)

*Preventing Corruption in Humanitarian Operations: Handbook of good practices* (Transparency International, 2014)

*How to Define and Measure Value for Money in the Humanitarian Sector* (SIDA, 2013)

### **Working with partners and remote management**

*Missed Opportunities: The case for strengthening national and local partnership-based humanitarian responses* (ActionAid, CAFOD, Christian Aid, Oxfam, Tearfund, 2010)

*Partnership Policy* (Oxfam GB, 2008)

*Monitoring and accountability practices for remotely managed projects implemented in volatile operating environments* (Teafund, 2012)

### **Quality and accountability in new emergencies**

*Accountability in Emergencies Resource Book* (ActionAid International, 2014)

*Accountability Matters in Emergencies – Listening to children and responding to their feedback during Save the Children's humanitarian response in Myanmar* (Save the Children, 2010)

### **Verification and certification**

*Core Humanitarian Standard Self-Assessment Protocol* (CHS Alliance, 2015)

*Core Humanitarian Standard Manual for the Self-Assessment Protocol* (CHS Alliance, 2015)

*Verification Framework for the Core Humanitarian Standard on Quality and Accountability* (CHS Alliance, 2015)

*Core Humanitarian Standard – The Steps of Third-Party Verification and Certification* (CHS Alliance, 2015)

*The CHS Verification Scheme – Frequently Asked Questions – and some answers* (CHS Alliance, 2015)

*The CHS Verification Scheme Overview* (CHS Alliance, 2015)

## Annex 3: Learning Log

### Learning Log/Personal Reflection

You may find it helpful to reflect on your learning and experience as you go through this workshop. This learning log gives a guided opportunity for reflection on a daily basis.

#### Day 1:

What objectives and/or goals do I have for this workshop?

What are my particular challenges around the workshop themes?

What has made an impression or had an impact on me today?

What was the most useful insight from today?

What practical ideas can I apply in my own role?

What are my next steps?

#### Day 2:

What has made an impression or had an impact on me today?

What was the most useful insight from today?

What practical ideas can I apply in my own role?

What are my next steps?