3 MANAGING CLUSTER INFORMATION

Chapter Three relates to the **following WCC responsibilities**:

- ✓ Managing information content and flow
- ✓ Avoiding gaps and duplication

The chapter is split into the following **three sections**:

3.1 Managing information in emergencies: an overview

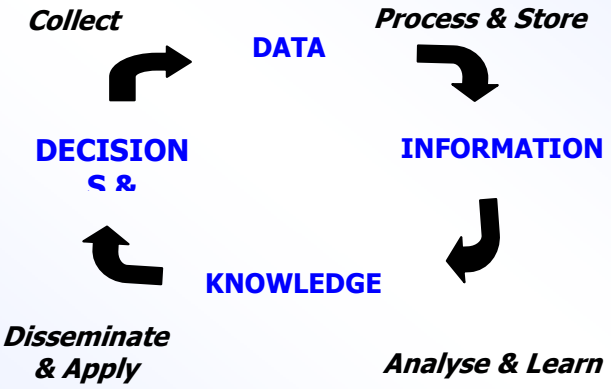
Tips for managing information

- ✓ Keep information demands to a minimum.
- ✓ Data rapidly becomes outdated; only collect data you need, when you need it, and in a form that is useful, i.e. disaggregated, in standard formats.
- ✓ Make information useful for others, e.g. share it visually.
- ✓ Provide the date and source of all information to mitigate the risk of using outdated information.

3.1.1 What is Information Management?

Information Management in the context of humanitarian emergencies involves the collection, processing, analysis and dissemination of information.

Cycle of Information Management



Adapted from: Information Management for Non-Information

Within the cycle of managing information:

i. Raw **data is collected** then **processed to give meaningful information,** e.g. collection of WASH Cluster actor activity data is translated into useful information through the WASH Cluster Agency Reporting Tool or UNOCHA Who What Where (3W) matrix.

ii. However, for data to be useful, rigour and consistency is required in data collection. Once processed, information should be stored in a manner that facilitates sharing and easy access for all.

iii. **Analysis of, and learning** from, information **leads to improved knowledge,** e.g. analysis of Who What Where information highlights duplication and gaps in WASH interventions by location.

iv. **Application of knowledge enables decision making and action,** e.g. Cluster partners mobilise to cover the gaps.

v. **Monitoring** of these activities or decisions can be undertaken **through further collection of data**.

Why is Information Management important in humanitarian response?

IM provides an evidence-based, transparent basis for decision making. This contributes significantly to improved effectiveness and accountability in the response.

While the importance of Information Management is widely acknowledged, the degree and complexity of Information Management used in practice can vary widely, e.g. from over flights and visual observation, to the collection and processing of reams of data. The decision as to what is required will be influenced by the people involved and the availability of IM skills, the time available, and the specific context.

3.1.2 Data preparedness for emergencies

Data preparedness enables you to begin managing and using information immediately following a disaster or crisis.

Countries with on-going emergencies (including roll-out countries under the Cluster Approach) are more likely to have some level of data preparedness, but it is of key importance in countries prone to natural disasters or with a high risk of future crisis.

IM systems and tools developed during an emergency can also contribute to improved data preparedness for any future disaster.

Effective data preparedness requires:

- *A reasonable amount of reliable pre-crisis data*
- *Agreed pre-crisis baseline data / indicators*
- *Common standards and tools to work with.*

The degree of data preparedness will also have an impact on the type of rapid assessment process used, as joint or coordinated assessments rely on shared agreement about pre-crisis and in-crisis baseline data and common assessment tools and standards (*see section 4.1*).

a) Reliable pre-crisis data

Pre-crisis data enables comparison between the emergency situation and pre-emergency conditions, e.g. standards of health in the population before the emergency. In addition, it allows comparison between the (pre-crisis) country context and other countries where similar emergencies have taken place.

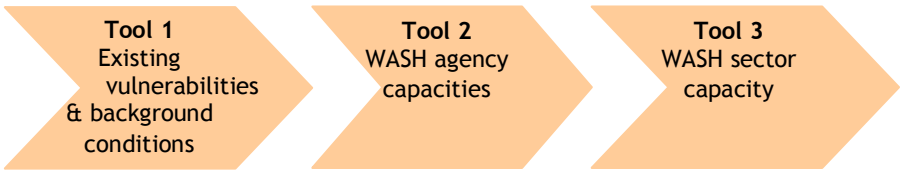
There are two 'types' of pre-crisis data relevant to the WASH Cluster. The first is generic data which is relevant to all Clusters and normally provided by the RC/HC or UNOCHA. Examples include P-codes, demographic data, etc.

The second is WASH-specific data which will need to be sourced within the WASH sector by the WCC, e.g. the extent to which household water is treated and the method of treatment, typical means of water management, type of latrines used, and the proportion of people with access to improved latrines.

Key sources for pre-crisis data include www.devInfo.info and country-specific national reports, such as:

- WHO annual World Health Reports (http://www.who.int/whr/2007/en/index.html)
- World Bank / donor reports
- Poverty Reduction Strategy Papers
- National contingency plans

Within the WASH sector, pre-crisis data may already have been compiled using the Global WASH Cluster **National Capacity Mapping Tool** (*see section 3.2 for details)*. This is a three-part national capacity mapping toolkit which aims to assess:



The tool is intended for use during normal Cluster operations, particularly in on-going emergency settings or countries at high risk of natural disasters where there may be a sudden-onset emergency. It provides:

- *A level of baseline data*
- *A basis for making comparison across different parts of the country, and pre- and post-emergency*
- *An indication of existing national WASH response capacity, in terms of data, people, and resources.*

b) Agreed pre-crisis baseline data.

There are two types of baseline data needed for assessment and monitoring of the emergency situation: pre-crisis and in-crisis baseline data. Pre-crisis baseline data needs to be established before an emergency and provides a measure of the minimum conditions or standards that the humanitarian response should be trying to restore. Pre-crisis baseline data facilitates:

- Immediate assessment of the nature and scale of the emergency;
- Identification of appropriate objectives and indicators;
- Comparison with similar country contexts or similar emergencies.

In-crisis baseline data needs to be determined at the onset of an emergency and facilitates monitoring of the emergency situation itself and the on-going response (see *section 4.1* for further details).

A useful **checklist for pre-crisis secondary data** is included within the IRA Tool and includes:

- Total population by gender and age;
- Average household size;
- Scale and distribution of displaced populations;
- Detail of pre-existing vulnerabilities;
- Socioeconomic data, including gender roles, livelihood practices, etc;
- Geographic data indicating political and administrative boundaries, hydrology, and settlements;
- Health data, e.g. mortality and morbidity data, prevalence of disease;
  - Traditional hygiene and sanitation practices;
  - Access to sanitation facilities and safe and improved drinking water;
  - Essential Infrastructure, e.g. transport, health infrastructure etc

c) Common standards and tools to work with

This helps to ensure that assessments, monitoring and reporting across government, UN OCHA, and the different Clusters is aligned as far as possible, and that within individual Clusters data can be readily collated, analysed, and disseminated as useful information for all actors.

Common IM standards are generally defined by UNOCHA and will assist in the development and adaptation of different tools (see section 3.3 for further details about UNOCHA's role). However, in rapid-onset situations UNOCHA may not be fully mobilised for the initial response, demanding consideration and agreement of common standards between the Clusters themselves.

3.1.3 Information Management in emergencies

As outlined in the cycle of IM, it is not until data is analysed that it becomes useful information for guiding decision making and action in emergencies. Yet there can be a tendency to focus on the collection of data – and excessive amounts of it – at the expense of timely and manageable analysis.

This process of analysis involves **fitting together different types of data** to provide meaningful information which is **critical to effective coordination of an emergency response.**

a) Data collection (gathering data together)

1. Consider what information you need and where you can get it, e.g. needs, capacities, and who is doing what, where, when.
2. Be sure about what you are measuring, and what is being done by others, e.g. UNOCHA, other Clusters, the government, donors.
3. BE PROACTIVE in collecting data, e.g. through continuous contact, telephone, building relations, keeping up to date.
4. Consider the capacities of Cluster partners in supplying data, e.g. operating systems and software capacity, internet access or restrictions, etc. (see *section 2.2* for further consideration of the different options).

b) Data processing and storage (organising data)

1. Consider how the data will be sorted and stored, e.g. database requirements, web-based data storage or hard files, etc.
2. Determine the requirements for common links between data for processing, e.g. location and P-codes, gender and age, vulnerable groups, data sources.
3. Consider where data will be processed and how often, e.g. field or country level, continuous or weekly, etc.
4. Consider the time and funding required for data entry and analysis requirements; these are often logistically demanding and time consuming.

Challenges in getting common location data

Using the names of affected settlements, villages, districts, etc. can lead to confusion and error, as there may be several places with the same or similar names, spellings vary, and in many cases the boundaries are unclear.

P-codes or GPS coordinates should overcome these problems, but in practice there are also problems with lack of capacity in using them, inaccurate identification of references, or fabricated details.

Encourage Cluster partners to collect and process data which relates to both location names and codes, and with reference to different levels, e.g. province, district, and village.

c) Data analysis (translating data into information and linking it together)

As mentioned, data analysis is probably the most valuable process in guiding coordination and decision making. It demands specialist skills and understanding of the data available (and needed), and its potential for generating meaningful information.

Different types of analysis[9] will be needed at different stages in an emergency response, but they are all inter-related and will collectively contribute to a better understanding of the situation at any time.

Type of analysis	Summary of analysis process	Information required by the Cluster
NEEDS Analysis	Often the first type of analysis required. Study of the damage and problems caused by the emergency, alongside the solutions needed to address them, within defined standards of response	What are the principal WASH problems / needs? Where are they? Which groups are most seriously affected? What type / scale of intervention is required?
CAPACITY Analysis	Study of the humanitarian assets (financial, technical, human resource, and material) available to	What capacities and resources are immediately available and where are they? What are the additional

[9] Extracted from IM project notes by Neil Bauman i) Summary of Global IM Project Tools, 20 Oct 2008, ii) Overview of Analytical Process

	respond to the emergency, along with their location and scale of planned response	planned (pipeline) resources / capacities and when are they expected? What are the major capacity / resource gaps?
WWWW Analysis	This is an integral part of capacity analysis. Mapping of who is doing what, where, and when enables continuous monitoring of coverage.	Who is working in the WASH sector, what are they doing, and where? What are planned activity start and completion dates?
OUTPUT Analysis	Contributes to gap and impact analysis. Study of what has been done, where, by whom, and when.	What has been done, where, by whom, and when? How does this relate to planned allocation of resources / capacities? What are the predominant trends?
GAP Analysis	Used to assess the i) current or ii) projected gap between needs and capacities. i) Current needs – current output = current gap ii) Current needs – expected capacity = projected gap	Where is there duplication or gaps in coverage? What additional resources are required and how can they be mobilized, e.g. advocacy, shift in priorities, redistribution?
IMPACT Analysis	Study of evidence that the situation is improving, both in relation to pre- and post-crisis conditions, e.g. improved hygiene behaviour and reduced incidence of diarrhoeal disease	What is the difference between the current conditions / problems and those at the start or before the disaster onset?

Geographic Information Systems (GIS)

Support a wide range of analytical activities, e.g. damage assessments, gap analysis, response strategies, contingency planning. Using:

- Global Positioning Systems (GPS) which can be used for surveying, topographical mapping, etc.
- Satellite imagery for damage assessment, mapping infrastructure

When spatial information is combined with data from assessments or monitoring, it is possible to produce practical and **comprehensive maps**, charts and images,

quickly highlighting duplication, gaps, risks, and priorities for action. However, this technology **relies on comprehensive use of GPS coordinates and / or P-codes as part of Cluster IM**.

Use of geospatial data in Bangladesh

Coordination of humanitarian response -
In 2007, coordination and prioritisation of the WASH Cluster response was guided by comprehensive maps. These were produced by the Bangladesh Centre for Environment and Geographic Information Services (CEGIS) and UNICEF from overlaying data for WASH actor locations, severely affected and water-scarce locations, and areas of inundation.

…and emergency preparedness
Satellite imagery has been used for monitoring flooding patterns in Bangladesh, providing vital mapping for flood disaster management, risk assessment and contingency planning. It has also supported the coordination of relief activities through mapping crop and settlement damage.

If GIS capacity is not available within the Cluster, support can be provided through UN OCHA, the HIC, or other sources. A sample contract for WASH Cluster GIS monitoring services and links to GIS service providers is incorporated under Resources below.

As with data collection, GIS activities should be closely coordinated with UN OCHA/HIC and other clusters to minimize duplication and adhere to agreed global and national data standards.

d) Information Dissemination (communicating outcomes of the analysis with others)

An important aspect of Information Management is determining the most appropriate form for sharing different types of information and analysis. All critical information should be included in daily or weekly Sit Reps.

In addition to mapping, diagrams and graphs can be useful, e.g. scatter graphs, trend analysis, charts, and matrices.

- Consider who needs the information, e.g. Cluster partners, government, the HC, media.
- What is the best way to disseminate for each group? e.g. email, local media, posters or hard copies.
- Make allowance for translation requirements, printing arrangements, presentation of information.

3.1.4 Tackling information challenges

At all stages in the IM cycle there are likely to be challenges, particularly when the communications infrastructure is weak.

A key strategy is to keep IM tools and systems as simple as possible, and keep information demands to a minimum.

Common challenges	Strategies for managing information
× Not knowing what information is needed in order to make a decision.	✓ Adopt a **structured approach** to planning and decision making so that information requirements are broken down.
	✓ **Regular communication** will help build networks and relationships, and gather up-to-date information.
× Constantly changing context (needs, gaps, etc.).	✓ **Limit requirements for information quantity:** only work with information that you can and will use at that point in time.
× Delays in data collection and release.	✓ **Providing information** to Cluster partners when they need it will help encourage the completion of updates.
× Government reluctance to share information due to concerns over quality, accuracy, and not getting assistance.	✓ Provide **guidelines on information quality**.
	✓ Make it clear that late or poor information is likely to decrease **opportunities for funding** and support.
× Manipulation of information, e.g. political, financial, cultural.	✓ Establish agreed standards for the **accuracy and reliability of** information, e.g. need for triangulation, highlighting bias, etc.
× Demands for information from a diverse range of actors.	✓ **Adopt simple tools** for gathering information: get Cluster input to requirements and practicalities.
× IM clashes with other priority activities.	✓ **Source administrative and information management support.**
× Limited or lack of IM skills.	✓ **Devolve the processing and analysis of information** through working and technical groups, e.g. mapping capacities and resources.
× Cluster partners fail to report or provide information when	✓ **Name and shame.** ✓ Facilitate **updating of previous**

required.	**information** rather than submitting new reports every time. ✓ Source admin support in **follow up**. ✓ Allow **verbal reporting,** particularly at sub-national level.

Field practice : Information Management in Jogjakarta

Establishment of information sharing and management systems were an early priority in the WASH Cluster. With the support of a Cluster Assistant and Database Manager, a (Yahoo) group web-site was set up to centralise the storage and dissemination of key documents.

This approach enabled the Cluster to keep the government and other WASH Cluster actors fully informed, guide the priorities of WASH actors that arrived after the immediate response, and save time and wasted effort in sourcing information and preparing regular updates and reports.

Resources

- UNOCHA **What are P-codes?**
- WASH **ToR for a GIS monitoring** contract, 2007
- Bangladesh WASH Cluster – **Sample GIS map**: Cyclone Sidr – District map of WASH partner locations, severely affected and water scarce unions, and inundations.
- **Checklist for pre-crisis secondary data** (extract from Initial Rapid Assessment (IRA) Tool: Field Assessment Form, IASC Health, Nutrition and WASH Clusters, 4 Nov 2008)
- WASH **Capacity Mapping Tool**, Outline of WASH Cluster actions, 2008

- http://www.reliefweb.int/rw/rwb.nsf/doc114?OpenForm
  Relief Map Centre for humanitarian profile and location maps
- http://geonetwork.unocha.org/geonetwork/srv/en/main.home
  GeoNet - access to integrated spatial data for any location (interactive maps, GIS data sets, satellite imagery)
- http://www.irinnews.org/
  Humanitarian news and analysis
- http://www.mapaction.org/
  Provides rapid mapping services and training in GIS.
- http://www.who.int/whr/2007/en/index.html
  Source of annual country specific health data
- http://www.devinfo.info/emergencyinfo/
  Helps to bridge information gaps and provide support for rapid data collection, situation assessment, standard monitoring reports and disaster preparedness.

3.2 WASH Cluster IM systems and tools

Tips for use of IM systems and tools

- ✓ Share IM responsibilities and advocate for **specialist IM support**;
- ✓ Strive to ensure that **systems address cluster stakeholder information needs** as well as Cluster needs;
- ✓ **Disaggregate data,** e.g. by age, gender, etc.;
- ✓ Adopt **IM systems** that are familiar and accessible to all stakeholders;
- ✓ Be creative in accessing and using available data.

What does the WASH Cluster need IM for?

To enable the WCC and WASH Cluster to make use of a diverse range of data of multiple sources, and facilitate the collection, storage, and analysis of primary data.

This enables the WCC and WASH Cluster actors to:

- ✓ Undertake strategic planning and decision making based on comprehensive and meaningful information;
- ✓ establish a better understanding of disaster impact and needs;
- ✓ improve coverage of WASH needs by highlighting duplication and gaps;
- ✓ coordinate response activities and the allocation of resources;
- ✓ track progress and results, and adjust response planning accordingly.

3.2.1 Global WASH Cluster IM tools

A number of generic IM tools have been developed through the Global WASH Cluster Information Management project to assist with addressing data collection and analysis requirements at national and sub-national levels.

Although designed to be as flexible as possible, these tools are likely to need adaptation in some emergency contexts. Assessment of the value of the tools, and subsequent adaptation, can only realistically be undertaken by resource people with Information Management expertise.

The contents and purpose of the tools are set out in the table below.

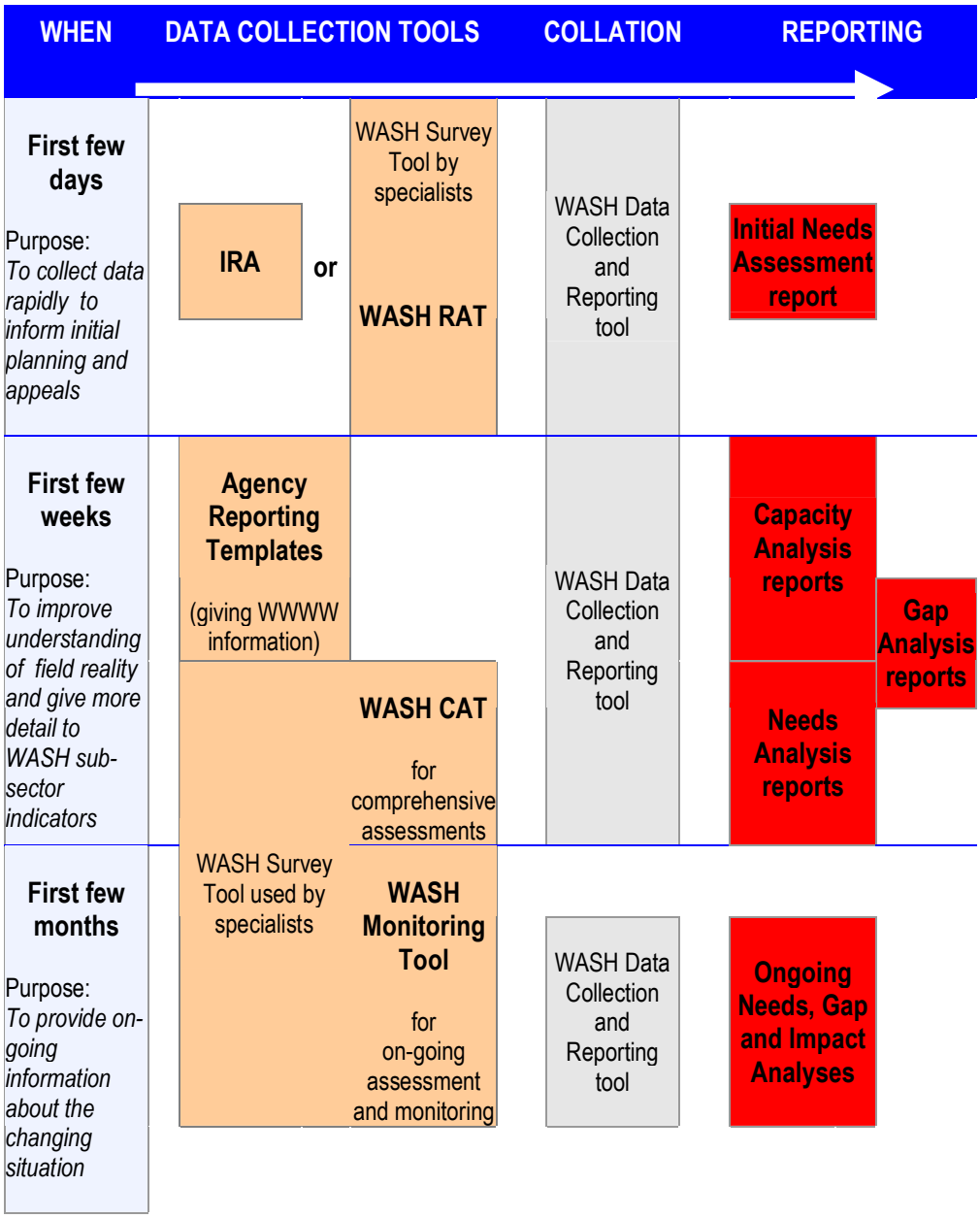
WASH Cluster tools	Content and purpose of the tool
Initial Rapid Assessment (IRA) Tool	A multi-sectoral tool for assessing locations and use by generalists in the first few days of an emergency.
WASH Cluster Survey Tool including: 1. Rapid Assessment Tool (RAT) 2. Comprehensive Assessment Tool (CAT) 3. Monitoring Tools	A tool for creating WASH sector-specific data collection forms (for assessments or monitoring) using a database of indicators. Indicators can be selected as appropriate to the context and individual location conditions. This tool will support data collection through: 1. Assessing locations by WASH specialists in the initial stage of a response using the RAT, which is a simple form. 2. A more comprehensive assessment across all WASH sub-sectors, for use by specialists, facilitated by the CAT. 3. Continuous location monitoring on a regular or periodic basis with ease of comparison with baseline or earlier assessment outcomes, enabled by these assessment tools.
Agency Reporting Template	This is a tool for gathering information about the scale, capacity, location, and funding of Cluster partners' activities.
Data Collection and Reporting Tool	This is an access database that facilitates the entry of data from any of the above tools – manually and automatically – to generate a number of generic reports.

The interaction between the tools at different stages of the response is illustrated in the diagram overleaf[10].

The remainder of this section provides more detailed information and links to these tools, alongside alternatives that have been used in practice to support the data collection and analysis requirements for the WASH Cluster.

[10] Adapted from Summary of Global IM Project Tools, 20 Oct 2008, by Neil Bauman

Interaction between Global WASH Cluster Tools



3.2.2 Rapid Assessments (also see *section 4.1*)

Initial Rapid Assessment tool (IRA)

Section of IRA Form		Recommended data collection methods:					
		Local secondary data	Key informant interviews	Group discussions	Household-level interviews	Household-level observation	Observation: transect walks, markets, water points
Population							
2	Population description	•	•	•			
Shelter and non-food items							
3.2	Access to shelter and shelter quality		•	•	•	•	
3.5	Access to essential non-food items		•	•	•	•	
Water supply, sanitation and hygiene							
4.2	Existing capacities and activities	•	•				
4.3.1-4.3.8	Water supply	•	•		•		•
4.3.9-4.3.10	Water consumption and collection time				•		•
4.5.1	Defecation practices		•	•			•
4.5.2	Number of toilets		•	•			
4.5.3-4.5.5	Environmental sanitation						•
4.7	Access to hygiene items			•	•	•	
4.9	Population priorities for WASH			•			
Food security and nutrition							
5.3	Food aid	•	•			•	
5.4	Food consumption			•	•	•	•
5.5	Household food stocks		•		•	•	
5.6	Food access	•	•	•		•	
5.7	Nutritional status: data and reports	•	•				•
5.8 – 5.9	Population priorities in nutrition and food security			•			
Health							
6.2	Access to health services	•	•	•			
6.3	Health profile	•	•	•			
7	Health facility resources	•	•				

The Initial Rapid Assessment (IRA) Tool has been developed by the Global WASH, Health and Nutrition Clusters to facilitate joint assessments conducted by generalists, in the first few days following onset of an acute emergency. The tool consists of a **Field Assessment Form**, comprehensive **Guidance Notes** and a pre-crisis **Secondary Data checklist**.

The Field Assessment Form comprises of seven sections. Sections 1 and 2 cover site identification and demographic data respectively. Sections 3-7 cover sector specific data. A range of data collection methods are suggested to facilitate broad stakeholder participation (as set out in the extract above).

WASH Cluster Rapid Assessment Tool (RAT)

The **RAT** is a one page form used to facilitate rapid assessment of a particular location in all relevant sub-sectors of WASH, drawn from the following:

- *Aggravating factors*
- *Hygiene practice*
- *Hygiene NFIs*
- *Water supply*
- *Excreta disposal*
- *Disease vectors*
- *Solid waste*
- *Drainage*
- *Representation*

It is assumed that WASH specialists would be available to use the tool.

For each sub-sector, there are a range of indicators and the severity of the conditions / situation is rated on a 'traffic light' system, indicating:

Red	severe problem
Yellow / Orange	moderate to severe problem
Green	limited problem or not affected

Results can be recorded on the Summary form which can then be used to generate Initial Needs Assessment reports through the WASH Cluster Data Collection and Reporting Tool.

WASH CAT: Rapid assessment checklist

Use this checklist to assess conditions for each WASH sub-sector and aggravating factors and record results on WASH CAT Summary form.

WASH sub-sector	Checklist	R	O	G
Aggravating factors	Level of malnutrition and/or food insecurity in the population Access to health services Outbreak or increasing incidence of faecal oral disease Overcrowding at the site and/or in shelters			
Hygiene practice	Quality of water consumed Defecation practice Handwashing at critical times If malarial area, use of insecticide-treated mosquito nets for vulnerable people			
WASH NFIs	Availability of soap in households Availability of water containers in households If household / point-of-use treatment required and feasible, availability of appropriate treatment supplies and equipment If malarial area, availability of insecticide-treated mosquito nets for vulnerable people			
Water supply	Quantity of water available Probability of a critical fall in quantity of water available Quality of water at source, treatment and risk of contamination Distance to water sources			
Excreta disposal	Availability of functioning and hygienic toilets Access to toilets Presence of human faeces near water sources and living areas			
Disease vectors	Malaria transmission (malarial area, transmission season, lack of control measures) Other vector-borne disease transmission			
Solid Waste	Presence of solid waste Management of solid waste			
Drainage	Presence of stagnant water Probability of water-induced damage			

Alternative rapid assessment tools

In some emergency contexts it may not be easy to use either the IRA tool (e.g. due to failure to reach agreement across Clusters) or the RAT (e.g. in the absence of WASH specialists). In such cases, the WASH Cluster will need to adapt existing tools to develop a process appropriate to the situation.

Whatever tools are adopted, it is important to ensure that the data generated can be easily processed electronically and interpreted. The WASH survey and reporting tools provide readily available facilities to do this.

A range of rapid assessment templates have been developed in the field, and these may be useful to refer to when developing a customized tool. Examples are incorporated under the Resources section below, including **Laos Rapid Assessment tool and Georgia Village Tract Assessment tool.**

3.2.3 Comprehensive Assessments (also see *section 4.1*)

WASH Cluster Comprehensive assessment tool (CAT)

Reaching common agreement for the content of WASH sector-specific needs assessments will need to be carefully negotiated.

The **Comprehensive Assessment Tool (CAT)** incorporates 40 indicators across the seven WASH sub-sectors, as summarized in the box below. These can be selected by the WASH Cluster, as appropriate to the emergency situation, local context, or specific location. Alongside the indicators is a range of options for appropriate interventions to address the problems identified.

WASH Comprehensive Assessment Tool - Summary of Indicators

Section 1
1-1 Extent of global acute malnutrition and food insecurity
1-2 Access to health services
1-3 Presence of faecal-oral diseases
1-4 Density of settlement in m2 of total site area per person
1-5 Number of people on the site
1-6 Shelter conditions
1-7 Adult HIV prevalence rate

Section 2
2-1Proportion of households where only safe water is used for drinking and cooking
2-2 Proportion of men, women, and children who last defecated in a toilet (or whose faeces was last disposed of in a toilet)
2-3 Proportion of men and women washing hands with water and soap or substitute after contact with faeces and before contact with food and water
2-4 Proportion of pregnant women, children under five, and other vulnerable people sleeping under effective insecticide-treated mosquito nets
2-5 Proportion of households where food is safely stored, prepared, and consumed

Section 3
3-1 Proportion of households possessing soap
3-2 Proportion of households possessing one or more effective insecticide-treated mosquito nets
3-3 Accessibility of appropriate underwear, and sanitary protection materials for menstruation, for women and girls
3-4 Proportion of households possessing at least one clean narrow-necked or covered water container for drinking water
3-5 Average total capacity of water collection and storage containers at household level (l)
3-6 Proportion of households with appropriate water-treatment supplies and equipment

Section 4
4-1 Quantity of water used per person per day for drinking, cooking, hygiene and laundry (litres per person per day)
4-2 Likelihood of a critical fall in quantity of water available per day within the next month
4-4 Average time required (minutes) for one water-collection journey, including travel in each direction and queuing
4-4 Proportion of households with access to a source of safe drinking water
4-5 Access to appropriate bathing facilities
4-6 Access to appropriate laundry facilities

Section 5
5-1 Presence of human faeces on the ground, and on and around the site
5-2 Average number of users per functioning toilet
5-3 Proportion of households with access to a functioning toilet
5-5 Proportion of toilets with functioning and convenient hand-washing facilities
5-6 Proportion of toilets that are clean

Section 6
6-1 Degree of malaria risk
6-2 Degree of other biological vector-borne disease risk
6-3 Risk of fly-borne disease

Section 7
7-1 Presence of solid waste on and around the site
7-2 Presence and effectiveness of a solid-waste management system

Section 8
8-1 Presence of stagnant water on and around the site
8-2 Risk of water-induced damage at the site

Section 9
9- 1 The WASH response includes effective mechanisms for representative and participatory input from all users at all phases
9-2 All groups within the affected population have equitable access to WASH facilities and services
9-3 The affected population takes responsibility for the management and maintenance of facilities as appropriate, and all groups contribute equally

The CAT is designed for use by WASH specialists, and the 'traffic light' system of rating the level of crisis is used. By combining data from the CAT and data from Agency Reporting Templates (*see below*), it is possible to generate Needs, Capacity, and Gap Analysis reports through the WASH Cluster Data Collection and Reporting Tool.

Alternative comprehensive assessment tools and approaches

A range of participatory approaches can be used to support comprehensive assessments. For further details refer to the Summary of Data Collection tools in Resources below.

Tips in developing Assessment Data Recording templates

- ✓ Engage cluster partners in development of the assessment data recording templates because they know what information is required.
- ✓ Word questions carefully to mitigate the risk of misinterpretation and refer to past examples.
- ✓ Incorporate common location data requirements, e.g. P codes and location names, to enable use of GIS for analysis.

3.2.4 Ongoing monitoring and assessments (see *section 4.2*)

WASH Cluster Monitoring tool

A standard **WASH Monitoring Tool** has been developed to enable consistent collection of on-going assessment or monitoring data within the same location over a period of time. This may be done on a regular weekly / monthly basis, or as a periodic exercise. Either way, use of a standardized template by all agencies working in a particular locality will facilitate more accurate comparison, analysis, and reporting.

In situations or locations which are insecure, unpredictable, or highly vulnerable, reactive situational assessment processes may need to be put in place.

In developing monitoring tools it is important to appreciate that most WASH Cluster partners will be reporting to multiple stakeholders. Keeping information demands to a minimum will help to get basic information from most partners, rather than requesting detailed information, and only getting it from one or two.

Integrated Monitoring Matrix

An integrated monitoring matrix allows for integration of key information across agencies and locations within the WASH Cluster, or across all Clusters by UNOCHA.

This tool links on-going assessment data and key Cluster indicators (see *section 4.1*) with a geographic framework of reference for affected locations in the Cluster, or across all Clusters. An additional column to record problems specific to particular locations or camps was found to be useful in Chad. This enables:

Highlighting of gaps in information;
Clear division of geographical areas and responsibilities;
Consistency and complementarity in the indicators being used at sub-national level (and across Clusters);
Consistency in the use of baseline data, e.g. affected population figures;
Highlighting of, and attention to, common problems / constraints.

Further **guidelines on the Integrated Monitoring Matrix** can be found under Resources below, along with a sample of the **Inter-cluster IMM** from Myanmar.

Pipeline analysis

Pipeline analysis can be undertaken through gathering more detailed supply information for Cluster partners (a **Gap Analysis** example from the ESC Cluster is provided in the Resources) in order to coordinate the actual and expected availability of resources. However, it is important to **request additional information only when it is actually needed**, otherwise it simply adds to the WASH Cluster partner's reporting burden.

3.2.5 Who What Where and When

WASH Cluster Agency Reporting template

A standard WASH Cluster **Agency Reporting Template** can be used to gather data on who is doing what, where, and when (4Ws).

A Summary Agency Report spreadsheet can then be generated using the WASH Cluster Data Collection and Reporting Tool. It will save considerable data-entry time if WASH agencies can input the data directly into the WASH Cluster Data Collection and Reporting Tool via the Cluster website. Alternatively, data may need to be entered manually.

UNOCHA Who does What Where (3W) and Contact Database

Similar information can be generated through the OCHA 3W database. This enables WASH Cluster partners to input data via the OCHA 3W website (http://3w.unocha.org/WhoWhatWhere/) and can generate 3W matrices, contact lists, projects by cluster, gap analyses, and geo-referenced data for map production.

Further information about the 3W database and other IM systems and tools provided by UNOCHA can be found at www.humanitarianinfo.org/imtoolbox and in the **Operational Guidance on Responsibilities of Cluster Sector Leads and OCHA in Information Management** under Resources below.

Alternative ways for collecting WWW information

Depending on the communications infrastructure and Cluster partner capacities, it may be necessary to gather Who What Where information using a basic **Excel spreadsheet** or **Word template**. In some cases data may be gathered verbally. Whatever the collection method, the data can still be processed using the WASH Cluster Data Collection and Reporting Tool.

3.2.6 WASH Cluster Capacity Assessment

Having a reasonable idea of WASH sector and agency capacity is core to effective coordination. Capacity needs to be considered in terms of preparedness, funding, staffing levels and experience, and available resources and those 'in the pipeline'.

WASH Cluster National Capacity Mapping Tools

A set of national **Capacity Mapping Tools** have been developed by the Global WASH Cluster and are incorporated under Resources below. These tools are designed for use **prior** to a disaster onset but include comprehensive information about in-country WASH agency and WASH sector capacity. Where available this represents a significant resource for the WCC in coordinating the WASH Cluster response.

A capacity mapping exercise of this scale would be facilitated with the support of an external consultant, and **guidance notes**, along with a **sample ToR** document, are included with the Resources.

If pre-crisis information is not available, mapping of WASH stakeholders, including community groups, national and local authorities, state institutions, civil society organizations, etc., and their involvement and interest in the response, will be an important part of the initial assessment process in order to provide a more comprehensive understanding of capacities, vulnerabilities, and power relations. Use of an Agency profile template when first setting up the Cluster (refer to *section 1.4)* will assist in gathering this background data.

Resources

- 🕮 IASC Operational Guidance on **Responsibilities of Cluster/Sector Leads and OCHA in Information Management** v2.1, Oct 2007
- 🕮 Bauman, N., Summary of **Global WASH IM Project tools**, Oct 08

Rapid Assessment

- 🕮 **Initial Rapid Assessment (IRA) Tool**: Field Assessment Form, IASC Health, Nutrition and WASH Clusters, 4 Nov 2008

- Initial Rapid Assessment **(IRA) Tool Guidance Notes**, IASC Health, Nutrition and WASH Clusters, 28 Oct 2008
- Govt of Lao PDR, **Rapid Assessment – village checklis**t, 2008

Comprehensive Assessment

- WASH **Comprehensive Assessment Survey Tool (CAT**), 2008
- **Guidelines for Comprehensive Assessment Tool (CAT)**, 2008
- WASH **CAT Data Entry** spreadsheet, 2008
- WASH **CAT Indicator Summary**, 2008
- WASH **CAT Recording form**, 2008
- **Checklist for WASH assessments**, ACF/OXFAM, 2008
- WASH Cluster Coordination Handbook, Compilation of **Data Collection Tools**

On-going monitoring and assessment

- WASH **Monitoring Tool**
- WASH **Monitoring Tool summary sheet**
- **Daily Morbidity / Mortality Surveillance Form**, Health Cluster, Myanmar
- UNOCHA **Integrated Monitoring Matrix**, Myanmar
- ES Cluster paper, **Notes on the Integrated Monitoring Matrix**, Pakistan Earthquake, 2005.

Who What Where and When

- WASH **Agency Reporting Template,** 2008
- **Agency Reporting form** (in Word format), UNOCHA, Lebanon
- **Agency Reporting form** (in Excel format), Bangladesh, 2007
- **Distribution Gap Analysis,** Emergency Shelter Cluster, Myanmar, 2008
- **WWW map for WASH cluster by sub-sector**, Trincomali District, Sri Lanka, UN OCHA, April 2008
- **WWW map for WASH Cluster by agency**, E. Chad, UN OCHA, August 2008
- **WWW WASH Cluster spreadsheet,** Bangladesh, 2008
- http://3w.unocha.org/WhoWhatWhere/ *UNOCHA 3W website*

Capacity assessment

- WASH Capacity Mapping Tool, Outline of WASH Cluster actions, 2008
- WASH Capacity Mapping Tool, **Tool 1 WASH background - guidance notes**
- WASH Capacity Mapping Tool, **Tool 2 Agency capacity – guidance notes**
- WASH Capacity Mapping Tool, **Tool 3 WASH emergency capacity – notes**
- WASH Capacity Mapping Tool, **WASH background tool**
- WASH Capacity Mapping Tool, **Agency capacity tool**
- WASH Capacity Mapping Tool, **WASH emergency capacity tool**
- **ToR for Mapping of WASH Capacity** at country level

3.3 WASH Cluster and UNOCHA IM responsibilities

3.3.1 WASH Cluster responsibilities for IM

An IASC Guidance Note sets out the responsibilities of Cluster Lead Agencies and UN OCHA for managing information within the Cluster Approach (see Resources below). The main responsibilities for the CLA are summarized here:

i) Establish necessary IM systems and tools

- main responsibility of the CLA and IM focal point (*refer to section 3.2)*.

ii) Generate and share Cluster specific information

- responsibility of the WCC, Information Manager, and all WASH Cluster partners.

Cluster specific information will include:

- details of Cluster partners and stakeholders,
- situation reports and progress updates,
- communications, e.g. emails, letters, press releases, etc.,
- meeting outcomes,
- standard formats and templates,
- policy guidelines and technical guidance, e.g. standards,
- data sets, outcomes of needs assessments, and gap analysis,
- plans, reviews, and evaluations.

Generate and share information that:

- ✓ Is timely, useful, and reliable;
- ✓ complies with agreed Cluster indicators and standards;
- ✓ is readily interpreted and understood, e.g. succinct, visual presentation, translation, etc.;
- ✓ is easily disseminated and accessed, e.g. through public notices, meetings, and the media for affected communities, or web-based updates for international agencies.

iii) Contribute to inter-Cluster IM coordination

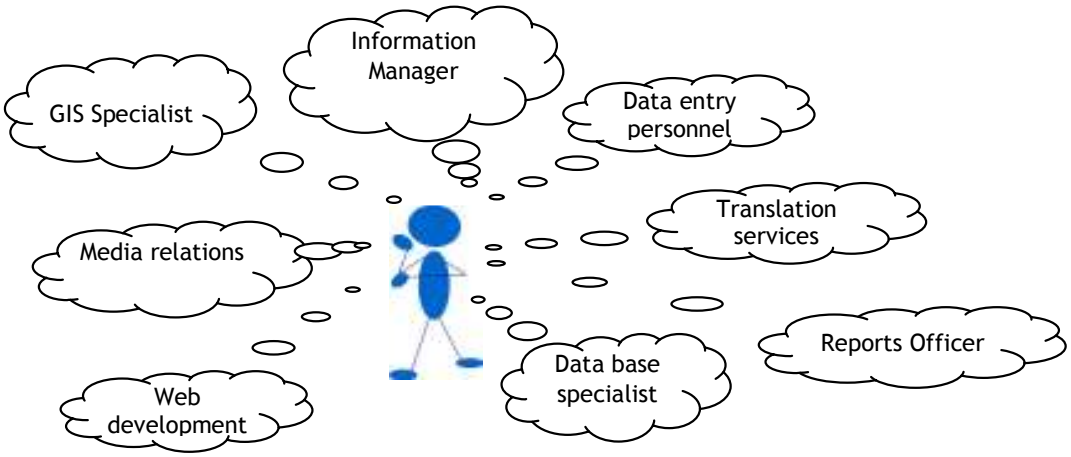
- responsibility of the WCC, IM focal point and WASH Cluster steering group.

Coordination activities will include:

- mobilising IM resources and capacities,
- participation in the IMWG (see below),
- contribution to inter-Cluster coordination and information exchange led by UN OCHA,
- adherence to Global Cluster and national IM standards, e.g. disaggregated data requirements,
- identification of WASH-specific information needs within the WASH Cluster, and for other Clusters and stakeholders.
- generating and sharing up-to-date WASH-specific information within the WASH Cluster and with UN OCHA,
- ensuring adherence to data protection and confidentiality requirements in the use and storage of information.

3.3.2 Getting IM expertise

Who is involved in Information Management for the Cluster?



Experience has shown that effective IM is critical to the WASH response and cannot be managed by the WCC alone.

An **IM focal point** is needed to take lead responsibility for the Cluster's IM needs and represent the WASH Cluster within the inter-agency IM Working Group (see details below).

Make a case for a dedicated **WASH Cluster Information Manager** to take the role of IM focal point (see the **Terms of Reference** here). This approach is being supported by Global WASH for large-scale emergencies in particular, following learning from a series of WASH Cluster reviews.[11]

An Information Manager plays a critical role in the early response, in identifying and prioritising needs, highlighting duplication and gaps, and directing new agencies to the greatest areas of need. This role enables the WASH Cluster to:

- ✓ Order and process large amounts of data being collected,
- ✓ ensure sufficient detail without getting bogged down,
- ✓ maintain an objective overview and check and verify details,
- ✓ produce maps and visual data sets,
- ✓ prepare data for analysis, resource mobilisation, advocacy, and reporting.

If an Information Manager cannot be recruited, the IM focal point will need to be found from within the Cluster. Additional IM support may also be sourced through other clusters, Global WASH, or external sources, e.g. government, academic or research institutions, private sector. Ultimately the WCC will be required to undertake the Information Management function if there is no-one else available.

An intern or student may also assist the IM function with data entry and managing data storage, etc.

3.3.3 IM capacity of WASH Cluster partners

IM may be a weakness for partners, leading to errors, false data, etc. Developing a strategy to improve Cluster partner's IM capacity, and to support their IM needs, is as important as developing the IM tools. However good the tools, it is the data that makes them useful.

[11] Global WASH Learning Project, 'Implementation of the WASH Cluster Approach – Good Practice and Lessons Learned', Oct 2008 – refers to dedicated Information Managers in Bangladesh, Myanmar, Uganda

Example: Filling information gaps in Lebanon

In Lebanon there were continuous difficulties in getting information from Cluster partners because they were always in the field. As a result, coordination maps were produced highlighting the information gaps. These were shown to donors, and displayed in coordination meetings. When agencies saw the value of these maps, and noted that their names were missing, they were more responsive in providing the correct, or missing information.

Getting the right data is difficult, so it's important to make it as easy as possible for people to provide it.

a) Sharing information

Sharing and exchange of information between partners will assist in identifying both strong and weak IM capacities. A culture of sharing can only be developed if requests for information by the WASH Cluster take partner capacities into account and are matched by timely dissemination of relevant information to all Cluster partners in an accessible and user-friendly format.

Degrees of sharing – *what to aim for*

Questions				
Making assessment?	Each does own - does not share	Each does own - and shares	Each uses agreed tools - and shares	Joint assessments using agreed tools and share
Collecting information?	Stored in agency files	Informs individual decision making	Jointly shared and used for joint planning	Used to agree common plans and joint budgets
Monitoring?	Each does own - does not share	Each does own - and shares	Each uses joint tools - and shares	Joint monitoring using agreed tools and share

b) Actions to build capacity

The WCC / IM focal point will need to:

- ✓ Identify and address IM capacity-building needs of Cluster partners, e.g. through training, mentoring with more experienced or better-resourced organisations, sharing systems.
- ✓ Assist Cluster partners to meet Cluster information needs through minimising requirements, adopting simple tools, and providing timely, relevant information to meet their own coordination needs.
- ✓ Develop dissemination systems and national and field level Cluster communication structures that facilitate verbal feedback and accommodate field constraints in attending meetings, accessing the internet and email, writing lengthy reports or updates, etc.

3.3.4 IM responsibilities of UN OCHA

Information Management is one of the four main competencies in which UN OCHA supports inter-Cluster coordination (see *section 1.5* for further details of OCHA's role).

i) Support coordinated information between Clusters

- ✓ Facilitate cross Cluster needs and gap analyses.
- ✓ Collect, disseminate, and coordinate inter-Cluster information.
- ✓ Establish a country-specific Inter Agency website platform to act as a portal for Cluster-specific operational coordination. Anticipated functions of an OCHA managed inter-agency website are documented in the **Functional Requirements for Inter Agency Website Platform** document in Resources below.

OCHA websites

Information relevant to the WASH Cluster may currently be found in a range of places including:

- www.humanitarianreform.org
- www.humanitarianinfo.org
- Country level inter-agency websites, e.g. Inter-agency web platforms, Humanitarian Information Centre (HIC).
- Cluster-specific, country-level websites.

In future, these services will be amalgamated in a single Inter-Agency website platform, as set out above in the document highlighted above.

- ✓ Suggest databases, datasets, e.g. P-Codes, map projections.
- ✓ Develop standardised information products, e.g. Contact directories, meeting schedules, 3W schedules, sit reps.
- ✓ Provide data on humanitarian funding requirements and contributions through the UN Financial Tracking Service (FTS).

ii) Support operational analysis

- ✓ Provide and maintain an inventory of common datasets for assessments, proposals, e.g. affected population denominator / datasets.
- ✓ Provide mapping products and services.
- ✓ Supply geospatial data and analysis.
- ✓ Provide technical IM advice.

iii) Establish an Information Management Working Group (IMWG)

involving the IM focal points from all clusters.

Resources

- 🕮 IASC Operational Guidance on **Responsibilities of Cluster/Sector Leads and OCHA in Information Management** v2.1, Oct 2007
- 🕮 WASH **Cluster Information Manager ToR**
- 🕮 Global WASH **Cluster Yahoo Group Service Guidance** Note, Nov 2007.
- 🕮 Gordon, P., Functional Requirements Document – **Inter Agency Website** Platform, UNOCHA, 2008

- ▫ http://www.humanitarianinfo.org/
  UN OCHA Humanitarian Information Centre (HIC) - systematically collect, process, and disseminate information.
- ▫ https://gist.itos.uga.edu/index.asp
  Geographic Information Support Teams - deployed by UN OCHA to develop information products and tools in a disaster.
- ▫ http://ocha.unog.ch/fts2/pageloader.aspx?page=home
  FTS - Global humanitarian aid database shows all donor contributions to all countries in current and previous years.
- ▫ http://www.humanitarianinfo.org/IMToolBox/
  Extensive information about the IM services and tools available from UN OCHA.