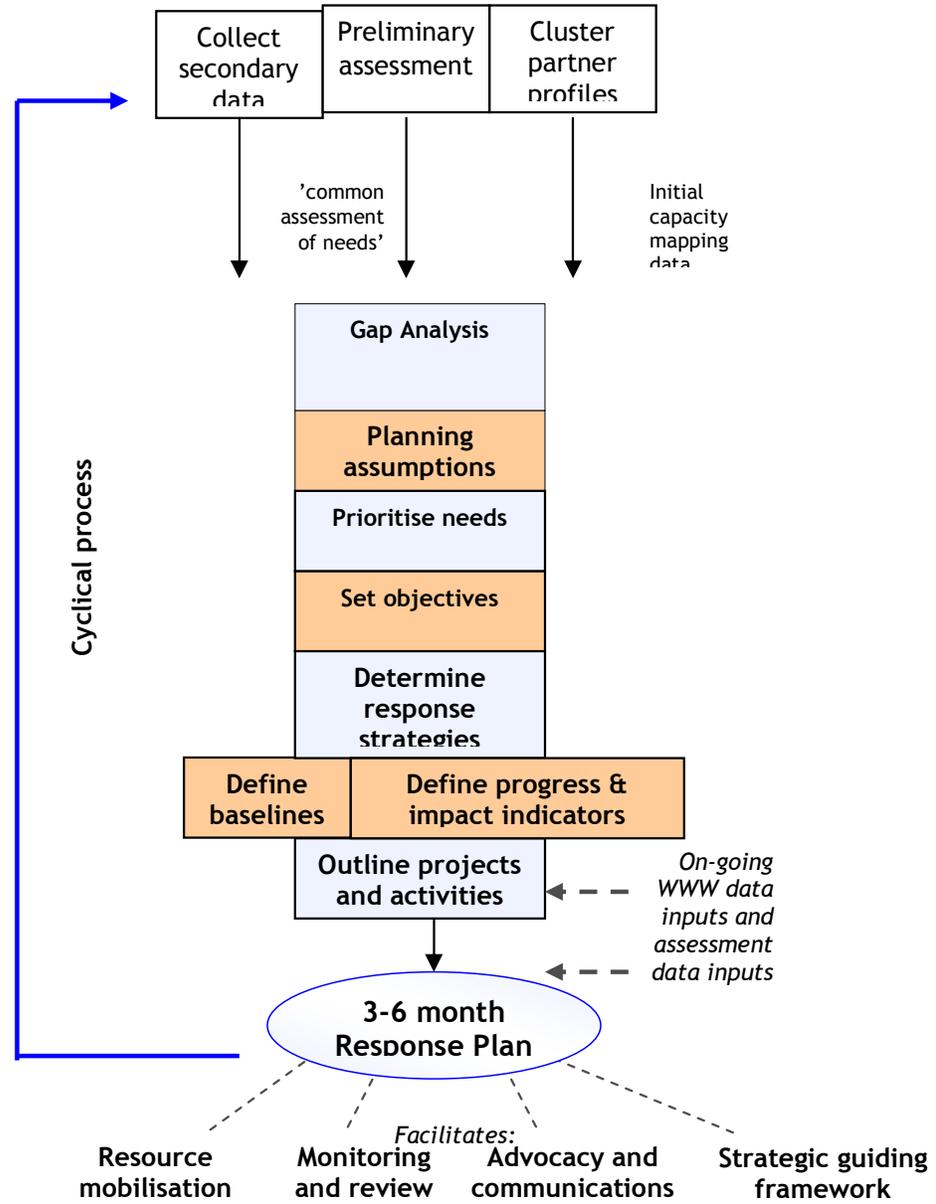| **5**	DEVELOPMENT OF CLUSTER PLANS

Chapter Five relates to the **following WCC responsibilities**:
- ✓ Avoiding gaps and duplication
- ✓ Developing a Cluster Strategy and Response Plan

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

5.1	Response planning process	▪ An overview of the response planning process ▪ Who should be involved in the response planning process? ▪ Challenges in response planning ▪ How can response plans be used? ▪ Guiding strategic framework ▪ Phasing out
5.2	Steps in response planning	▪ Identifying gaps and duplication in capacity and response ▪ Prioritising identified needs ▪ Outlining response strategies ▪ Defining indicators for monitoring the response ▪ Outlining WASH Cluster projects and activities ▪ Formulating a response plan
5.3	Early recovery, contingency planning, and emergency preparedness	▪ Early recovery ▪ Contingency planning ▪ Emergency preparedness

5.1 Response planning process

5.1.1 An overview of the response planning process

```
┌──────────┬──────────┬──────────┐
│ Collect  │Preliminary│ Cluster  │
│secondary │assessment │ partner  │
│  data    │           │ profiles │
└────┬─────┴────┬──────┴────┬─────┘
     │          │           │
          'common        Initial
          assessment     capacity
          of needs'      mapping
                         data
```

Cyclical process

| Gap Analysis |

| Planning assumptions |

| Prioritise needs |

| Set objectives |

| Determine response strategies |

| Define baselines | Define progress & impact indicators |

| Outline projects and activities | ← — — *On-going WWW data inputs and assessment data inputs* ← — — |

(**3-6 month Response Plan**)

Facilitates:

Resource mobilisation   **Monitoring and review**   **Advocacy and communications**   **Strategic guiding framework**

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The purpose of response planning is to enable a coordinated, evidence-based approach to WASH Cluster action.

a)   Following preliminary assessment (within first 2-3 days)

Based on an RC/HC and HCT 'common assessment of needs' (if available), a basic response plan and guidelines need to be drawn up by the WCC / steering group to guide rapid assessment planning and steer priorities in the first three to four weeks.

> It is important to have an outline response plan *before* getting embroiled in planning for assessments, because it provides a guiding framework for indicators, standards, etc.

At this stage, information will be limited and may be unsubstantiated but will help to ensure a focus on critical life-threatening issues. In one to two pages, set out:

- the overall aim of the WASH Cluster response,
- the main problems identified, assumptions being made, and overall objectives for addressing the problems,
- the main priority needs and broad strategies to be adopted,
- an outline indication of the main actors,
- details of any gaps, where known.

b)   Following the initial rapid assessment (after 1-2 weeks)

The basic response guidelines (above), created in the first week can be developed in detail to guide the forthcoming three to six month period.

Section 5.2 and the flow chart above set out the response planning process in separate stages. In practice, the process will involve combined stages, with constant review and revision.

Information from the rapid assessment is still unlikely to be comprehensive, with gaps and conflicting information in relation to specific needs. **Don't get bogged down in the need for specific details, but focus on the major issues**.

The latter stages of detailed response planning may run alongside a more comprehensive assessment process, drawing on preliminary qualitative findings as they emerge (see *section 4.1)*. The **Response Plan** will need continuous updating and modification in response to the changing situation, emerging needs, and the outcome of on-going activities.

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5.1.2 Who should be involved in the response planning process?

Ideally, the planning process will be led by the national government WASH partner, in conjunction with the WASH CLA (the WCC). It should be **facilitated by a smaller steering group,** such as the SAG (see *section 1.2*), to enable faster and more effective decision making, while ensuring that WASH Cluster actors are properly consulted and kept informed.

When initial response guidelines are developed, the level of stakeholder involvement will inevitably be very limited. However, in developing more detailed response plans, as outlined in *section 5.2*, there should be **equitable representation of those affected** by the WASH Cluster response plans, as there is by those implementing or resourcing the plans.

The risks and problems associated with specific crisis situations may be well known, but it is **important not to jump to conclusions**. Ensure that decisions are based on reasonable evidence and that the perspectives of all stakeholders, and particularly those of less powerful local interests, are adequately represented.

Choose a **balance of men and women of different ages**, ethnicities, and livelihoods to participate in the planning process.

Involving the community

There is a tendency to consider community involvement only in terms of implementation. This can cause misunderstanding and resentment, and limit the potential for effective early recovery, capacity building, or emergency preparedness.

- ✓ Consider community capacities for filling gaps.
- ✓ Facilitate and support community proposals for addressing agreed WASH priorities.
- ✓ Identify an active role that the community can play in establishing and monitoring realistic indicators (see *sections 5.2 and 7.2*).

5.1.3 Challenges in response planning

- ✗ Plans become **outdated** and are of limited use.
- ✗ Plans are not updated and response activities **become 'project' rather than 'objective' driven**.
- ✗ Plans are **unrealistic,** including too many activities which cannot be achieved within the timeframe or in the local context.

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- ✖ Plans are **inaccurate** due to inadequate or ineffective investigation, verification, and analysis of data.
- ✖ Plans are **not accepted or 'owned'** by Cluster actors, of affected communities, due to inadequate consultation and communication.
- ✖ Plans are **seen as biased** in favour of the CLA or more powerful WASH agencies because of inadequate stakeholder representation.
- ✖ Plans are **not understood** because they use inappropriate language or terminologies, or lack relevance to the context.

The majority of challenges can be addressed by regular consultation with stakeholders, and continuous review and modification to ensure that **plans are flexible, realistic, and appropriate**.

5.1.4 How can response plans be used?

i)   *Mobilising resources* (see *section 6*)

Successful funding appeals are dependent on providing a robust analysis of the emergency situation, including the principle and emerging problems, their causes, and appropriate strategies being used to address them. Donors will also expect to see plans aligned with government and broader humanitarian response strategies, as seen in DRC (see case study in *section 6.1)*.

The WASH Cluster Response Plan should also provide the detail needed for the WASH component of the Common Humanitarian Action Plan (CHAP). See *section 6.1* and guidelines under Resources below.

Inadequate analysis, or documentation of needs and subsequent priorities, can lead to wasted resources as new and existing WASH Cluster agencies commit time, funding, and materials to problems or locations which are not a priority, leaving other gaps unfilled.

ii)   *Monitoring and review of WASH programming* (see *section 4*)

The WASH Cluster objectives and indicators, defined during the response planning process, provide an effective framework for monitoring Cluster progress, outcomes, and impact.

As long as they are derived from evidence-based analysis of the emergency situation, they will be focused on the priority problems and causes.

iii)   *Communication and Advocacy* (see *section 7*)

Analysis and evidence documented within the WASH Cluster Response Plan will assist in quickly developing early advocacy and external communications without the need for separate assessment and research.

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5.1.5 Guiding strategic framework

In addition to response planning, there may be a need for a broader strategic framework to guide not only prioritisation and activity planning, but also programmatic and operational aspects of the WASH Cluster.

This will include agreed principles, policies, and standards (see *section 7.1*) and be aligned with national strategies, e.g. national disaster management plans or a Humanitarian Action Plan.

Three examples that have been used in practice are:

| Strategic Operating Framework (SOF)	Humanitarian Action Plan (HAP)	Earthquake Response Plan (ERP)
Used in Bangladesh and Georgia	Used in DRC	Used in Yogjakarta
Suited to rapid-onset emergencies	Suited to complex emergencies	Applicable to all emergencies with disaster management plans
Based on a tool developed in the ES Cluster. Developed within the Cluster based on internal analysis of needs, priorities, and gaps. Incorporates principles, policies, and standards for cluster operations and performance. Provides comprehensive guidance on all aspects of Cluster activity. **Example** included in the Resources section below.	Used the HAP as the guiding strategy and a participatory approach involving all Cluster stakeholders, including donors. WASH Cluster / sector strategy was effective in: **Monitoring the response** – as priorities, objectives, and indicators were linked to the HAP and were already being well monitored. **Mobilising resources** – as donors were actively involved in developing the strategy. **Strengthening sector partnerships** – due to stakeholder involvement in developing the strategy. No guidance on operational aspects of the Cluster was included.	The Cluster adopted the ERP to guide planning and decision making for the WASH sector. The ERP was essentially an appeal document compiled in the early response. There were inaccuracies and omissions in the detail and, when revised, the WASH Cluster targets and activities were not reviewed accordingly. No guidance on operational or performance aspects of the Cluster was included.

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Log Frame Analysis and Results Matrix tools

Incorporation of a Log Frame Analysis (LFA) or Results Matrix within the strategic framework will enable accurate assessment of on-going needs and progress in relation to the original problems and priorities identified. In addition, both tools will support the development of proposals for funding appeals and reporting on funds disbursed, because information may be requested in this form by donors such as ECHO, CIDA, and DFID.

An extract from the DFID guidelines on **Log Frame Analysis** and an example of the **WASH Cluster Results Matrix** from Iraq are incorporated in the Resources section.

5.1.6 Phasing out

Lifespan of clusters
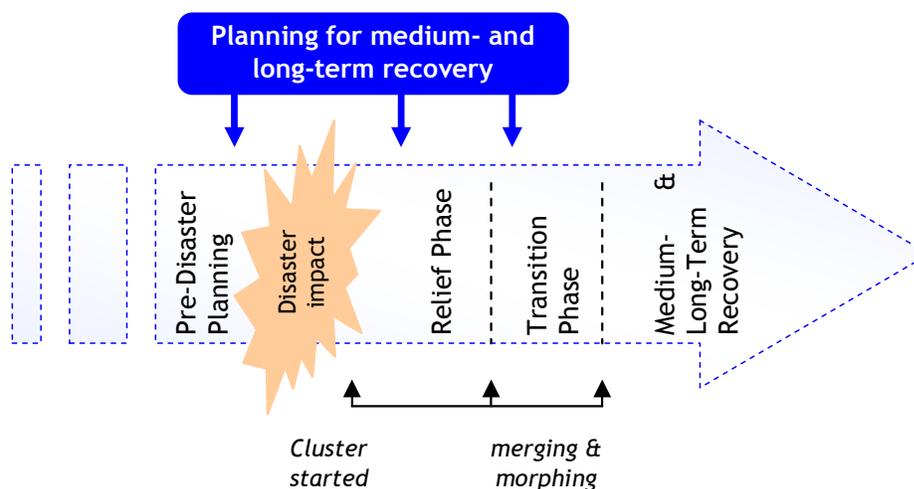
Adapted from Shepherd-Barron, J., (2008) Cluster Coordination, Source: Max Lock Centre

The requirements for WASH Cluster phase out or transition will depend on the nature, scale, and anticipated duration of the emergency. Plans for this process of merging or morphing should be undertaken with the full participation of the HC and government actors, and a broad indication of the anticipated process should be outlined within the WASH Cluster Response Plan or Strategy document.

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These documents also need to reflect the phase out and transition plans of key WASH Cluster actors to ensure that particular locations or sub-sectors of the WASH Cluster response are not suddenly left without coverage of on-going needs and recovery interventions. Gathering initial WASH Cluster agency data through the Agency Reporting Tool, and on-going Cluster monitoring process (see *section 3.2* for details of both), will facilitate collection and monitoring of project start and completion dates.

> Avoid use of the term 'exit strategy', as this can cause concern, particularly among government actors.

Phase out or transition will normally take place once early recovery activities are well established. Further guidelines on the promotion of early recovery can be found in *section 5.3*.

Linking relief and early- and long-term recovery in Myanmar

Prior to Cycle Nargis there was an existing coordination mechanism, made up of Myanmar WASH NGOs, called the 'WASH Thematic Group'. Their function was largely replaced by the WASH Cluster as they had limited experience in emergencies. However, response planning in the relief phase incorporated plans for transition of coordination to this group after the early recovery period.

This proposed arrangement draws from the strength of the WASH Thematic Group in managing medium and longer-term WASH interventions, and gives them the opportunity to gain experience in emergency planning and management as partners within the WASH Cluster, to ensure preparedness for potential future emergencies.

Example provided by Prasad Sevekari, WCC, Myanmar, 2008

Resources

  📖 WASH Cluster Bangladesh, Super Cyclone Sidr Response, **Strategic Operational Framewor**k, Feb 2008
Example of a strategic framework, highlighting many elements of the response planning process, plus guiding principles, policy, and coordination arrangements.

  📖 IFRC, **Developing a Strategic Operational Framework**, undated
Guidelines from the Emergency Shelter Cluster for developing a strategic framework.

  📖 The **Logical Framework**, DFID, extract from the IM Toolbox

  📖 Sample of **Results Matrix**, Water and Sanitation Cluster, Iraq

  📖 IASC Technical **Guidelines for Consolidated Appeals,** 2008
Provides guidelines on information required for the CHAP and CAP.

  📖 **Closure of the Watsan Cluster**, Pakistan, 2005-6
Example of the issues to be considered in taking the decision to phase out.

  ▫ http://www.humanitarianinfo.org/imtoolbox/

  ▫ http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=304
Details of strategic planning resources from the Emergency Shelter Cluster

5.2 Steps in response planning

Tips for response planning

✓ Avoid being over-ambitious; it is easier to scale up activities over time.
✓ Adopt a phased or incremental plan in the immediate response.
✓ Keep it simple: keep priorities and objectives to a minimum.
✓ Plan around available and confirmed capacities and resources.
✓ Take changes to context and the longer-term perspective into account.

5.2.1 Identifying gaps and duplication in capacity and response

Improving the coverage and predictability of humanitarian response, through identifying and filling gaps, is an essential part of the Cluster Approach. Furthermore, identification of gaps, along with evidence of how the gaps have been determined, is of critical importance to donors.

The WCC role is to:

✓ Advocate with WASH Cluster partners to fill the gaps;
✓ Raise awareness of gaps and capacity shortfalls through the media, etc.;
✓ Seek support from other Clusters, government agencies, the military (if applicable), or the private sector;
✓ In the case of life-threatening needs which cannot be met by WASH Cluster partners, it may be necessary to approach the WASH CLA as the Provider of Last Resort (see *section 1.2*).

Accurate gap analysis is unlikely in the initial response, due to limited scope and depth of assessment data and poor and confusing information about the presence and implementation plans of WASH Cluster actors. However, continued collection and analysis of data will improve understanding of both the situation and available capacities.

In order to identify gaps:

▪ Overlay assessment and capacity mapping information.
▪ Colour code geographic areas to highlight areas of greatest need.

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- Match relevant needs to the 'focus' of implementing agencies in each locality, e.g. agencies mandated to work with particular groups, or with particular expertise or capacities, such as water supply.
- Present the findings in visual form to help interpretation, e.g. maps.
- In locations that appear to be 'covered', ensure the implementing agencies have the necessary financial, human, and material resources to meet the scale of anticipated needs.

A number of tools to support **gap analysis** can be found under Resources below.

5.2.2 Prioritising identified needs

The purpose of prioritisation is to ensure that WASH Cluster action is focused on the most pressing needs for the greatest number of affected people, while targeting particular needs of the most vulnerable.

Based on the preliminary assessment findings:
- ✓ Focus on the immediate needs and hazards, and the most vulnerable;
- ✓ Focus on needs which can be addressed within the means available;
- ✓ The context will change - consider the underlying socio-economic situation (e.g. entrenched ethnic tension, low level civil or political unrest) and assess the impact of potential scenarios and the longer-term perspective;
- ✓ Consider the differing priorities of men, women, and children;
- ✓ Where feasible, prioritise needs which promote early recovery, emergency preparedness, and local capacity building;
- ✓ Consider opportunities for tackling cross-cutting concerns, e.g. minimising environmental impact, mitigating further suffering to PLWHAs, addressing protection concerns, etc.;
- ✓ Review and adjust existing national crisis management and contingency plans, as appropriate, for the identified priorities.

a)   How to prioritise

Prioritisation will be challenging, as most identified needs, particularly in the early response, will be a priority. However, some groups and locations are always more adversely affected, or more vulnerable, than others.

The steering group will need to determine a **transparent method for prioritisation** that is **acceptable to all Cluster stakeholders**. Otherwise, Cluster actors are unlikely to work to the objectives drawn from it.

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Whether prioritisation can be done for the overall response, or location by location, will depend on the context and type of emergency.

- Record the main problems and needs in a **framework** to assist in systematic prioritization. Example tools are included under Resources below.
- Establish how many people have been affected, where they have come from, and their current location.
- Identify whether it is a pre-existing problem or a result of the crisis, and when it began.
- Rank the needs in order of severity based on between three and five critical issues, e.g.:
    - What is the risk of increased mortality or morbidity if this problem is not addressed?
    - What proportion of the total affected population(s) and most vulnerable groups are affected by this problem?
    - What are the current coping strategies and forms of assistance, and how long can these be sustained?
    - What are the anticipated threats and risks over the coming months, and how will this affect the problem identified?
    - Are the resources and means (transport, etc.) available (or in the pipeline) to address this problem or need?
- Consider the costs and resources required for addressing each problem. A simple cost-benefit analysis can be used, taking the total estimated cost for addressing each problem and the total number of people that would be assisted.
- Compare the outcomes and select priorities accordingly.

b)   Highlighting assumptions

Planning assumptions are aspects of the current situation or its future development which are treated as fact, when, in reality, they are quite uncertain. Assumptions should be made explicit and documented within the plan.

Some planning assumptions may be based on information provided by others outside the WASH Cluster, e.g. size of the affected population(s), proportion of men, women, and children affected, traditional hygiene practices, etc. Additional assumptions may be made around WASH Cluster capacity and the suitability of technical solutions or methodologies, e.g. based on previous experience or similar contexts.

Errors commonly occur in making assumptions about:
- the cause(s) of observed problems,
- the interests of different stakeholders, particularly those who are not party to decision making, and
- available capacities (or lack of them) to respond.

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Keep assumptions as accurate as possible, because inaccuracies will limit the effectiveness and impact of WASH Cluster action. Assumptions should be reviewed as part of the on-going Cluster monitoring and review process (see *section 4.2)*.

c)   Defining objectives for the response

An objective can be defined as an 'expected outcome' or result. In the context of the WASH Cluster, the steering group will identify wider or 'overall objectives'. These represent the purpose that individual projects among WASH Cluster partners will be seeking to address.

Objectives must:

- ✓ Be **SMART** = **S**pecific + **M**easurable + **A**chievable + **R**ealistic + **T**ime-bound;
- ✓ Address the priority problems and needs identified, with specific attention to life-threatening issues;
- ✓ Be tailored to particular stages or aspects of the response within the planning period;
- ✓ Take account of context, security and access, resource availability, local capacity building and early recovery, and prioritised cross-cutting concerns;
- ✓ Relate to community needs and interests, rather than external operational goals.

5.2.4   Outlining response strategies

Response strategies are the methods or approaches taken to address the agreed WASH priority needs and achieve the WASH Cluster objectives.

Tips for appropriate response strategies

- ✓ Ensure that final response strategies can address the priority problems and needs within the required time frame.
- ✓ Check that strategies are feasible, e.g. the necessary financial, human, and material resources are available, all physical and security constraints can be overcome, and that they are politically and culturally acceptable.
- ✓ Adopt strategies that are appropriate to context, build on local structures, and enhance local capacities wherever possible.

---

a)   Explore the options

Explore a number of alternative response strategies in relation to each of the prioritised needs and problems. This will need to be done rapidly, so keep the response options to a minimum.

Example : Alternative response strategies to addressing the need for safe drinking water

Options for addressing inadequate access to safe drinking water may include establishing alternative supplies or sources, providing for treatment at point of use, or trucking in additional water.

In this example, consideration might be given to:

- the overall availability and proximity of water (for drinking, washing/household use, and livestock etc),
- the anticipated response period required and potential change in approach, e.g. timing of the rainy season,
- the capacity (within the Cluster and affected populations) to establish alternative sources, or provide guidance or monitoring of water treatment,
- the cost of alternative options (e.g. trucking is very expensive and sourcing vehicles, fuel, etc. may be a constraint).

---

b)   Focus on what is feasible and appropriate

Derive response strategies from considering the context and constraints to implementation, and from looking at alternative uses of resources and capacities.

Guiding questions to consider are given in the table below.

The problem	▪ What proportion of the affected populations can be supported through this strategy? ▪ To what extent will the most urgent needs be addressed, and within what time frame? ▪ Which groups or locations would not be assisted? ▪ To what extent are particular needs of the most vulnerable being addressed?
The context	▪ What experience and learning from previous crises in a similar context is being drawn on? ▪ How are cultural or social issues being taken into account (e.g. rights and protection of women and children, role and organisation of civil society, language)?

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	▪ How are political considerations and barriers being addressed (e.g. land and water access, political influence, international support for the crisis)? To what extent is the strategy aligned with or responding to national guiding policies and regulations (e.g. crisis management or contingency plans, national standards)?
Available capacity / resources (refer to section 6)	▪ Who is already responding or able to respond, where, and in relation to which priorities? ▪ What other local capacities will be drawn on, and with what additional technical, financial, or material support (e.g. national and local government or private sector for implementation; academic, civil society and research institutions for community mobilisation)? ▪ What additional expertise is required and where is it being sourced? ▪ What financial and material resources are actually available on the ground? ▪ What additional resources are required and how can they be mobilised rapidly and effectively, given the priorities and constraints?
Constraints	▪ What are the physical constraints that the strategy needs to overcome (e.g. damage to infrastructure, climate, etc.)? ▪ What are the security issues and how are these being addressed? ▪ What are the political constraints (e.g. multiple govt structures, legal precedents, such as access to water)? ▪ What are the financial constraints and how are funding limitations or delays being addressed?
Early recovery and emergency preparedness (refer to section 5.3)	▪ What are the risks of dependency and how are these being mitigated? ▪ What longer-term recovery requirements are being addressed within the strategy? ▪ What are the on-going threats to, and specific vulnerabilities of, the affected population, are how are these being tackled through the strategy?

Select the most appropriate strategies by analysing the strengths and weaknesses of the options identified.

Cautionary notes

The suitability of response strategies may be very short lived in the early WASH Cluster response.

> ✖ Lack of time or information may prevent deeper analysis of the causes of problems and needs resulting from a crisis.
>
> ✖ Subsequent short-term actions can lead to more serious long-term problems in on-going service provision, e.g. sustaining water supply, protecting land and water rights, etc.
>
> ✖ Similarly limited consultation or verification of information can lead to inequitable support and conflict at community level.
>
> ✖ The situation on the ground can change rapidly and dramatically, particularly in complex emergencies.

Such risks can be mitigated.

> ✓ Review and revise response strategies regularly as new information unfolds.
>
> ✓ Consult continuously about the effectiveness of WASH action and new developments in the crisis.
>
> ✓ Consider the longer-term perspective.

5.2.5 Defining indicators for monitoring the response

Determine appropriate indicators based on the agreed WASH strategies. These need to guide the focus and standard of WASH Cluster partners' action, and form the basis for measuring Cluster progress, outcomes, and impact (see *section 4.2*). They should demonstrate:

> ▪ *whether the objectives have been achieved, and,*
>
> ▪ *how they have been achieved.*

a)   Adopting meaningful indicators

Minimise the number of indicators, and ensure that they are realistic and can be measured or verified by representatives at community level. Try to get a mix of quantitative indicators (e.g. quantity of water consumed per person per day) and qualitative indicators (e.g. community satisfaction with facilities provided).

Some aspects of WASH programming may be difficult to measure. In this case 'proxy indicators' can be used, e.g. the number of men, women, and children using latrines may be a proxy indicator of improved sanitation practice. See further guidelines in **Indicators for monitoring Hygiene Promotion in Emergencies** under the Resources below.

Essential indicators for monitoring Hygiene Promotion in emergencies

The five essential indicators which should always be monitored as a priority include:

- X% of the population uses safe water for drinking
- environment free from all faecal matter
- X% of the population wash their hands with soap or ash at least after contact with faecal matter and before handling food
- Women are enabled to deal with menstrual hygiene issues in privacy and with dignity
- All sectors of the community, including vulnerable groups, are enabled to practise the target hygiene behaviours

(X% = depends on the situation)

Characteristics of meaningful indicators	Examples from WASH
Indicators should: ✓ **Clearly describe the situation** and provide clarity about the type of intervention required; ✓ **Draw on the Sphere Minimum Standards** as the basis for determining appropriate indicators; ✓ **Address the differing needs** of men, women, children, and vulnerable groups; ✓ **Take account of cross-cutting issues**, e.g. protection and priority issues identified by UN OCHA; ✓ Link in or **align with the indictors established within other Clusters**, where relevant, e.g. distribution of NFIs, water supply quantities, access to sanitation facilities, etc.	✓ The environment in xx locations is free from faecal matter and specific provisions are in place for the disposal of child faeces. ✓ Soap or ash for hand washing is available in all households. ✓ Appropriate sanitary materials and underwear are available for all women and girls. ✓ Adequate numbers of well lit, lockable latrines for each sex are available within camp settings. ✓ Xx per cent of persons affected in locations xxx have access to xx litres of safe drinking water per day from x existing boreholes.

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Field example : Myanmar response planning (water supply)

Problem:
Contaminated ponds and wells.

Prioritised need:
Access to safe drinking water and water for personal hygiene and domestic use for affected communities and IDPs

Planning assumptions:
- 1,200,000 persons are affected, plus 550,000 IDPs (figures provided by UN OCHA). Average household size = 5.
- People will accept and use water purification treatment correctly, and restrict use to the amounts indicated.

Objective:
Safe and equitable access to sufficient quantities of safe drinking water, and fresh water for personal hygiene and domestic use, for all affected households and IDPs.

Response strategies:
1. Supply of water containers, Water Guard, and chlorine tablets for purification of drinking water to 1200,000 affected persons over four months and 550,000 IDPs over one month.
2. Supply of fresh water for personal hygiene and domestic use to 550,000 IDPs over two months
3. Supply tarpaulins for rainwater collection in Southern areas where water sources are affected by salinization, and prioritise clearance of drinking water ponds in same areas after acute emergency is over.

Indicators (verifiable and realistic):
- 3l safe drinking water/ca./day for 1,200,000 persons over 120 days.
- 3l safe drinking water/ca./day for 550,000 IDPs over 30 days.
- 10l clear & fresh water/ca./day for 550,000 IDPs over 60 days.

WASH projects / activities (related to response strategy 1):
- Training affected households in the use of water purification treatment and good hygiene practice, e.g. production of public health information, training of community mobilisers, etc.
- Supply, storage and distribution of jerry cans, buckets, and water purification chemicals.
- Monitoring the effectiveness of the water purification strategy, and available daily quantities and use of safe drinking water.

Link to Sphere Minimum Standards in Disaster Response

The Sphere Standards represent the baseline in guiding WASH Cluster action (see *section 7.1*). However, the **Indicators** given within Sphere may need to be adjusted as appropriate to the local context and should always be read in conjunction with the **Guidance Notes**.

b)   Establishing baselines for the response

Pre-crisis baseline data (see *section 3.1*) gives WASH Cluster actors and the steering group a realistic measure of the WASH situation before the emergency, e.g. levels of mortality and morbidity. While in-crisis baseline data provides a starting point against which to measure progress, e.g. the availability of water or soap immediately after the start of the emergency, the lack of which is contributing to outbreaks of disease.

Pre-crisis baseline data may be drawn from international or government sources, or from a pre-crisis WASH Cluster mapping exercise (see *section 3.1* for details). In-crisis baseline data may be drawn from data sets provided by the IASC / HCT or UNOCHA.

5.2.6 Outlining WASH Cluster projects and activities

Projects and activities within the Response Plan will be drawn from planned and on-going activities of WASH Cluster partners, and the agreed WASH Cluster response strategies. Where possible, they should facilitate and support community-driven proposals.

WASH response projects and activities that facilitate active community involvement

✓   Provide small-scale funding to support CBOs and groups.
✓   Set up water resource management /sanitation committees.
✓   Support livelihood opportunities through construction activities and local workshops, suppliers and services.
✓   Employ community staff, facilitators, monitors, and mobilisers.
✓   Engage local youth groups, schools, and the elderly in drama, drawing, and story telling for community sensitisation.
✓   Set up security patrols, water distribution, and water and sanitation maintenance teams.

Ensure that all projects are clearly linked to the Cluster objectives, i.e. expected project results should contribute directly to achieving the desired state (change) outlined in the WASH Cluster objectives. Use of a **Log Frame** or **Results Matrix** can help in achieving this by testing the logic between:

GOAL: *Wider problem the Cluster will help to resolve*
PURPOSE (Cluster objectives): *The immediate impact on the affected population ie. the change or benefit to be achieved by the Cluster*
OUTPUTS (Individual project objectives): *These are the specifically* *deliverable results expected from the project to attain the purpose*
ACTIVITIES: *These are the tasks to be done to produce the outputs*

If response planning is done before or alongside preparation of funding appeals (e.g. Flash Appeals or the CERF), try to avoid duplication by capturing project information needed for appeal documents at the same time. Examples of the **WASH project outlines for the CAP** and the **CERF** are given under Resources below. For further details see *section 6.1*.

5.2.7 Formulating a response plan

✓ Draft a concise plan (max four pages) for the first 3-6 months outlining:

- the overall goal,
- priority problems/needs to be addressed, with specific objectives for each,
- the response strategies to be adopted,
- the projects and activities to be undertaken,
- the allocation of responsibilities and resources (i.e. stating specifically who is doing what, where, and with what material and financial resources)

✓ Within the plan, highlight uncovered needs, especially those of vulnerable groups, resource gaps, and opportunities for local capacity building and early recovery.

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✓ Disseminate the plan widely among Cluster stakeholders (donors, other Clusters, etc.) and affected communities, and ensure plans are clear and easy to translate or explain.

✓ Feed planning information into the Common Humanitarian Action Plan (CHAP – see *section 6.1*) and other coordinated funding appeals.

✓ Advocate with Cluster partners, other Clusters, and the CLA to mobilise additional resources and address any unmet needs (WCC).

Resources

- **Gap Analysis spreadsheet**, Emergency Shelter Cluster, Myanmar
- OCHA Inter-cluster **prioritisation matrix** by township, Myanmar, 2008
- **WASH Cluster Response Plan**, Myanmar, May 2008.
  Example of an initial WASH Cluster Response Plan

- Global WASH Hygiene Promotion project, **Indicators for monitoring Hygiene Promotion in Emergencies,** 2007.
- **CAP**, Somalia 2005, Projects
  Best practice example of project descriptions for a CAP – for WASH projects see pp 88-93.
- **CERF Application** template (Grant component), March 2007

- ▢ http://www.smartindicators.org

5.3 Early recovery, contingency planning and emergency preparedness

There are two necessary factors in facilitating early recovery, effective contingency planning, and emergency preparedness:

- ✓ the **active engagement of national and local actors** in WASH Cluster decision making and programming processes,
- ✓ consideration of the **longer-term perspective**.

5.3.1 Early recovery

Tips to promote early recovery

- ✓ Prioritise community self-help projects and approaches in response planning.
- ✓ Mobilise resources and inputs which can facilitate long-term development, e.g. improved hygiene and water management practices.
- ✓ Promote government and community responsibility for WASH programme design, coordination, implementation, and monitoring to maximise ownership and build local capacities.

Recovery programming works to restore services, livelihood opportunities, and governance capacity. It needs to be an integral part of the initial relief efforts.

Early recovery measures help to stabilise affected areas as national and local institutions resume provision of basic services and governance functions, such as security, local administration, and justice. Furthermore, they promote the psychological recovery of affected persons and restore community dignity and livelihoods.

WASH Cluster strategies to support early recovery

- ✓ Re-establish access to water and sanitation services, including water for livelihood activities, e.g. vegetable gardens, rearing livestock.
- ✓ Assess and protect environmental assets within the planning process.
- ✓ Adopt the use of construction materials and technologies that can be readily re-sited, re-used, and dismantled in the longer-term.
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✓ Support community opportunities for waged employment, particularly for women and vulnerable groups, e.g. water distribution, supply of materials such as pit latrine slabs.
✓ Mitigate conflict and reduce future disaster risks through active community participation, risk assessment, and contingency planning.
✓ Support community-driven projects through funding and promoting partnerships with local organisations.
✓ Engage national and local government and traditional authorities in planning and decision making at all levels.
✓ Promote community-based approaches in WASH Cluster programming.
✓ Strengthen community organisational capacity and rights-based awareness through training and recruitment of community mobilisers, etc.

Example: Creating livelihood opportunities in Myanmar

The WASH Cluster agreed to the excavation of ponds as a standard policy intervention for high-risk areas (water scarce or those without community water storage). This:
✓ relied solely on unskilled labour providing a source of income for vulnerable households,
✓ enhanced water storage and harvesting capacity for the forthcoming monsoons,
✓ mitigated the risk of future water shortages and increased vulnerability,
✓ enabled vulnerable households to buy and replace urgent supplies,
✓ reduced the burden and risks to vulnerable households in finding water from distant sources.

Example provided by Prasad Sevekari, WCC, UNICEF, Myanmar 2008

5.3.2   Contingency planning

Contingency plans provide an outline of the likely response requirements in the event of a subsequent disaster or emergency.

Many disasters lead to increased vulnerability of both people and the environment, contributing to increased chances of a subsequent emergency. Contingency planning saves time and resources in planning and preparing for a response.

> ### Tips for effective contingency planning
>
> - ✓ Build on existing crisis management and contingency plans, structures, and projects – avoid introduction of parallel contingency measures.
> - ✓ Adopt a participatory approach to ensure that contingency planning responsibility rests in national hands and that there is an accurate understanding of local risks and norms.
> - ✓ Establish a mechanism for review and updating of plans from the start.

a)   WASH Cluster action

Contingency planning may be combined with the response planning process, or it may be undertaken separately but preferably by the same steering / advisory group.

- ✓ Based on learning from previous emergencies, current vulnerability assessments, and existing preparedness measures, identify potential hazards and associated risks (steering group).
- ✓ Use scenario building to assess the potential impact and consequences of the hazards identified. In some situations, particularly in complex emergencies with uncertain movements of people, this may be difficult and establishing an estimated level of overall need may be preferable.
- ✓ For each scenario, outline the trigger factors, risks, assumptions, specific objectives, and suggested response strategies (see the **CAP Côte d'Ivoire example** under Resources below).
- ✓ Outline specific WASH Cluster preparedness measures that might be required, e.g. monitoring of trigger indicators, training or simulation exercises, regular security assessments, collaborative operational agreements.
- ✓ Disseminate contingency plans and preparedness procedures to Cluster partners and other stakeholders (WASH CC, IM).
- ✓ Incorporate associated financial resource requirements into funding appeals (WCC).
- ✓ Take action to put any necessary agreements in place, e.g. warehousing, emergency ports clearance, secondment of government staff and equipment, etc. (designated individuals or working groups, e.g. logistics).
- ✓ Establish a system for on-going monitoring and review of contingency plans (steering group)

The WCC may also be involved in an inter-Cluster Contingency Planning Working Group (CPWG) under the direction of the HC/RC. See the **Inter-Agency**

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Contingency Planning Guidelines for Humanitarian Assistance under Resources, for useful additional guidance.

b)   Hazard and risk analysis

Analysis of possible hazards (e.g. conflict, flooding, drought, poor harvest) and their potential risk, together with assessment of existing vulnerabilities and capacities within the population, provides an insight to the potential humanitarian impact of the different hazards.

Focus on the most critical hazards through risk analysis which looks at both the likelihood and potential impact of a particular hazard.

Triggers

Triggers are particular sets of circumstances or events which indicate a change in the situation. Historical data on previous emergencies can help identify possible triggers, e.g. increasing incidence of inter-community violence prior to civil war, or prolonged storms prior to flooding.
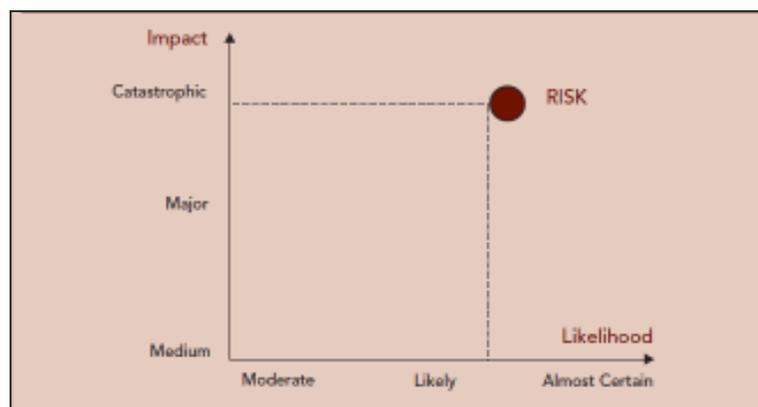
Extract from the Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance

5.3.3   Emergency preparedness

Emergency preparedness is very important because of the increasing incidence of disasters, the most recurrent being wind storms and floods.[13] Being aware of

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[13] Powerpoint presentation: Disaster response preparedness – an overview and OCHA's role

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hazards and better prepared for potential disasters can significantly reduce their adverse effects.

Provisions to facilitate emergency preparedness

✓ Focus on reducing vulnerability within WASH programming, e.g. through attention to livelihood needs, environmental impacts, etc.

✓ Promote the lead of national and local stakeholders in the design and implementation of emergency preparedness measures to promote sustainability, e.g. maintenance of flood barriers, rainwater harvesting.

✓ Facilitate regular review, testing, and update of contingency plans as an essential element of emergency preparedness.

At a global level, the WASH Cluster is supporting WASH sector preparedness through mapping sectoral capacity (skills and organisations), providing training, and developing IT and HP tools.

In the medium- to longer-term response, the WASH Cluster should aim to map and build in-country WASH capacity, and develop contextualised tools and resources, as appropriate. This will contribute to national preparedness for responding to future emergencies.

In the immediate response, effort should be focused on building emergency capacities at community level as an integral part of WASH programming.

WASH Cluster strategies to support emergency preparedness

✓ Raise awareness of disaster risks and preparedness measures among WASH Cluster agencies and local actors.

> Use contingency planning to improve the preparedness and operation of Cluster: identify roles and responsibilities, and agree common services and standards beforehand among WASH sector actors.

✓ Identify and monitor major risks through contingency planning and contribute to early warning, e.g. pressure on ground water sources, disease risk due to poor sanitation.

✓ Integrate disaster awareness and knowledge of preparedness measures in WASH activities, e.g. in hygiene promotion and public health programmes, water management, sanitation design.

✓ Reduce risks through environmental and water management measures, e.g. drainage and flood barriers.

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✓ Strengthen disaster preparedness, e.g. building organisational capacity at community level through HP projects.

Emergency preparedness measures following Cyclone Sidr, Bangladesh

Experience of involvement the WASH Cluster led the Department of Public Health Engineering to embed aspects of Cluster coordination into its preparedness plans for future emergencies. The WASH Cluster helped to facilitate this process through a three day workshop with WASH stakeholders.

Source: Implementation of the WASH Cluster Approach : Good practice and lessons learned, Oct 2008, ACF

Resources

  Cluster Working Group on Early Recovery (CWGER), **Guidance on Early Recovery**, April 2008.

  Early Recovery – Compilation of Tools and Resources, June 2008
Overview of resources and links to further information on ER

  Global WASH, **Checklist for inter-Cluster Contingency Planning**
Adapted from IASC Interagency Contingency Planning Guidelines for Humanitarian Assistance

  IASC Inter-Agency **Contingency Planning Guidelines** for Humanitarian Assistance, 2007.
Aimed primarily at inter-agency contingency planning, these guidelines also provide useful guidance on the contingency planning process.

  WHO **Communicable disease risk assessment** and interventions, Cyclone Nargis, Myanmar, 27 May 2008
An example of undertaking a risk assessment in practice.

  Extract from CAP, Côte d'Ivoire, 2005, Section 3.2 Scenarios
Best practice example of setting out alternative scenarios

  http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=80
Link to the Early Recovery Cluster

  http://ocha.unog.ch/drptoolkit/contacts.html
UNOCHA's Emergency Preparedness Section website – provides tools, resources, and links to advice on taking emergency-preparedness measures.