

IFRC Surge Optimisation process

Towards a revised approach for Leading Emergency Assessment & Planning (LEAP) – V. Sept. 2018

VISION: For Emergency Plans of Action (EPoA) to be based on assessed needs and capacities, providing accurate, reliable and timely information.

- ✓ To provide timely and evidence based understanding of unmet needs, contextual knowledge and underlying factors and current and forecasted priority needs.
- ✓ To enhance emergency and recovery response programming, to meet the priority needs of vulnerable people.
- ✓ To support evidence based response analysis and planning in emergencies.
- ✓ To contribute to the overall harmonization of humanitarian assessment efforts, without hampering RCRC response.
- ✓ To build on and further enhance NS capacities and network on needs assessment planning and analysis.
- ✓ To provide with relevant and timely evidence based recommendations for operation, real time evaluation, advocacy, communication, fundraising and diplomacy

Note: This DRAFT (V4.5) has been built on the feedbacks received from consultation process around the version V 3.0. If you have any questions regarding this process and objectives, please don't hesitate to contact us.

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Thanks in advance for your interest, the [RG3 core team](#)

Introduction

The Global Tools Review of the IFRC's Surge response tools (2013-2016) identified assessment and planning in emergencies as one of the 7 core areas for improvement¹. A dedicated reference group has been created to propose a revised IFRC's approach for Leading Emergency Assessment and planning (LEAP), aiming to improve evidence based decision-making and plans of actions.

It enhances NS' and IFRC unique position to provide timely identification of inter-sectors emergency priority needs after a disaster or crisis, to inform the DREF, Emergency Appeal, Plan of Action – and their revision. The IFRC supported more than 108 DREF and EA in 2017.

This approach capitalises on existing strengths, increases the use and analysis of primary and secondary data while aligning with the humanitarian landscape. It also recognizes the need to increase our collective competencies in assessment and planning in emergencies, looking at multi- and inter- sectoral dimensions, with a recovery lens to better respond to the needs of affected communities in their early recovery process.

There is strong consensus that IFRC and National Societies' key strength in Emergency Needs Assessments (ENA) is their proximity and access to affected populations and locations. National Societies are well positioned to provide reliable primary data to the humanitarian community. However, there are still gaps regarding our ability to systematically collect, manage and analyse secondary and primary data and document the evidence that informs our collective decision-making process and key planning outputs.

What is new?

This approach aims to complement the key resources that IFRC has developed over the last 10 years, such as the guidelines for assessment in emergencies (IFRC/ICRC, 2008), the Operational guidance for initial rapid multi-sectoral assessment (IFRC 2014) and related trainings. This document aims to provide more systematic approach, through:

- a suggested timeline and framework to guide the assessment and planning process.
- strengthening the analytical process while align our current practice with the existing assessment trends.
- provide a competency framework to support assessment competency development, recruitment, learning and appraisal of assessment team members.
- provide access to a toolbox to be used by practitioners.
- Strengthening, in a more systematic way, the volunteers role as key informants for initial and rapid assessments.

Where the proposed revised approach will apply and what is the audience of this document?

For greater collective impact, this approach would apply to [large scale emergencies with red and orange severity](#), for sudden onset disasters and crises, but with principles applying also for slow onset and protracted crises. Building on existing NSs capacities and practices, this approach could also be adaptable to smaller scale disasters and is proposing a possible model for supporting National Society assessment and planning in emergencies readiness. This would contribute to the enhancement of NS Preparedness for Effective Response (PER). LEAP is an important component of the National Disaster preparedness for response Mechanisms (NDPRM).

Therefore this document's primary audience is IFRC & NSs Surge personnel , DM practitioners and network,; and secondary audience is NSs and IFRC personnel involved in capacity development and preparedness.

Who would be in charge for planning assessments in emergencies?

For orange and red scale emergencies, the assessments design and planning should be undertaken by the NS, with the support of an assessment specialists team in case of large scale disaster and crisis (orange and red emergencies) or on request of NS for smaller scale disaster (white or yellow emergencies).

¹ [IFRC Surge Optimisation process video](#)

This approach recognises the potential impact of surge on the NS, and of the impact of disaster and crisis on the NS's decision making processes. Therefore surge for assessment should support NS and Movement partners in their emergency needs assessments effort, in recognition and support of their prior experiences and knowledge, pre and post disaster capacities.

The assessment specialists deployment, on request of RO, will be funded through DREF and Emergency Appeal. In support of NS, they would be embedded within Surge deployment in Country setup, reporting to the current IFRC Surge Head of operation (i.e. FACT Team leader, operation manager or HEOps), liaising with the different sectoral and cross-cutting leads (i.e. NS, FACT or RDRT) for specific inputs.

What would bring the assessment specialists deployment?

The members of this team will support NS and Movement partners to process emergency needs assessment in order to identify key priority needs and evidence to inform emergency planning processes and documents.

They will be deployed in country or remotely, with a broad set of competencies (strategic thinking, coordination, information analysis, data management, etc.) and diverse composition to adapt to disaster and crisis response specificities. The team will help NS and Movement partners to engage and liaise with inter agency processes, as for IASC assessment cell or joined assessment. if relevant and not hampering RCRC response. It will also support the identification and use of relevant and available assessments findings from other stakeholders, to enhance IFRC ENA quality.

This team will be responsible to ensure that in support of NS, IFRC, PNSs and other Movement partners are contributing to the same process, that there will be no duplication and same common operating datasets (CODs), key assessment indicators are used. This team will also support NS and IFRC Surge leadership to enhance the integration of assessment within current priorities, best use of available resources, and that assessment findings will properly feed Movement coordination mechanisms (i.e. Task Forces), communication, planning processes and documents.

Acronyms

BDRT	Branch Disaster Response Team
CAIM	Coordinated Assessment and Information Management
CCST	IFRC Country Cluster Support Team
CEA	Community Engagement and Accountability
CO/RO	IFRC Country/Regional Office
COD	Common Operational Datasets
CTP	Cash Transfer based Programming
DEEP	Data Entry and Exploration Platform
DM	Disaster Management
DREF	Disaster Response Emergency Fund
EA	Emergency Appeal
ENA	Emergency Needs Assessments
EOC	Emergency Operations Centre
EOIM	Emergency Operation and Information Management
EPoA	Emergency Plan of Action
ERU	Emergency Response Unit
FACT	Field Assessment and Coordination Team
FERST	Federation Early Recovery Surge Team
HEOps	Head of Emergency Operation
IA	Information Analyst
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
IM	Information Management
LEAP	Leading Emergency Assessment & Planning
NDPRM	National Disaster preparedness for response Mechanisms
NDRT	National Disaster Response Team
NS	National Society
PER	ok
PGI	Protection, Gender and Inclusion
PIR	Regional Intervention Platform
PMER	Planning Monitoring Evaluation Reporting
RDRT	Regional Disaster Response Team
RGs	IFRC Surge optimisation Reference Groups
SADDD	Sex, age, disability disaggregated data.
SCT	Shelter Coordination Team
SOPs	Standard Operating Procedures
SWOT	Strengths, Weaknesses, Opportunities and Threats
TORs	Terms of References
UAV	unmanned aerial vehicle
VCA	Vulnerability and Capacity Assessment

1. The IFRC ENA process.

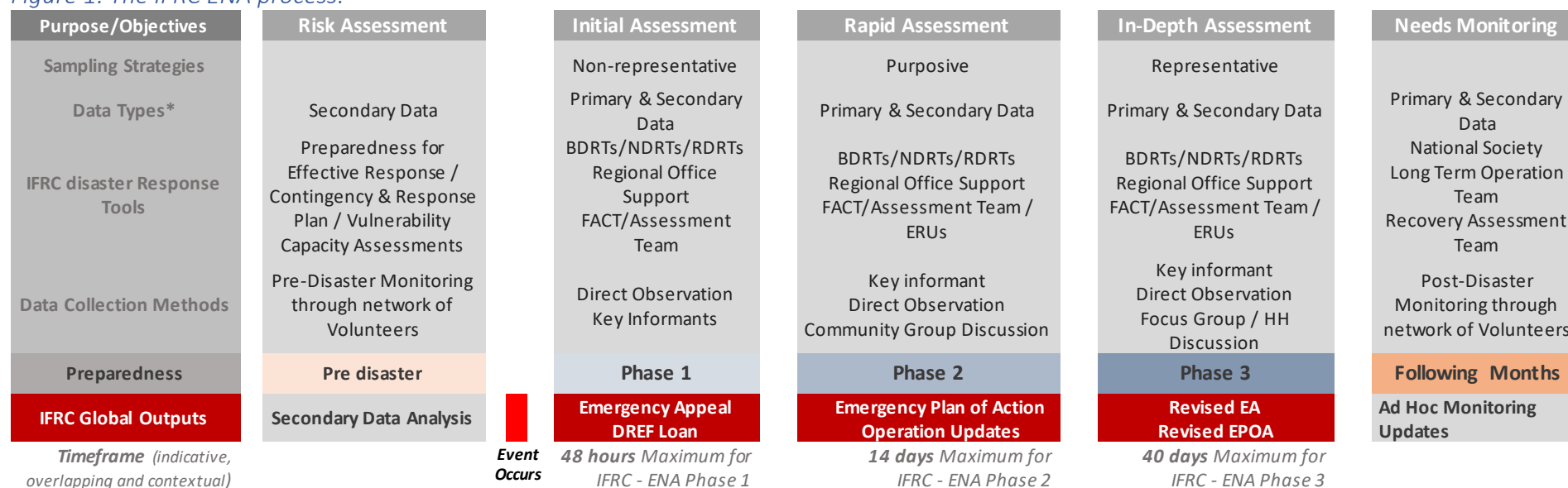
This Assessment Framework (Fig. 1) is a guiding document for conducting Emergency Needs Assessments (ENA) after sudden onset [orange or red category emergencies](#). It presents the approach to follow during each of the phases including the recommended purpose, key expected outputs, methodology for sampling and data collection and link to other disaster response tools.

The same process should apply to small scale disasters and crises, but need to be adapted to each National Societies context and practices. While triggering factors and outputs' timeframes might differ, the key principles of the process are applicable to slow onset and protracted crises.

ENA process is implemented through a phased approach that includes assessments design, secondary and primary data collection, collation, analysis and reporting. The iterative results of the assessment should inform Plans of actions from National Societies/DREF allocation & IFRC Emergency Appeal (initial assessment 48h - phase 1), IFRC Emergency Plan of Action (rapid assessment 14 days) and their revisions (with an in-depth assessment due 40 days after onset).

Note that this process and framework are conceptual and should be always adapted according to the context (disasters and crises might not be linear); especially for small scale disasters, slow onset and protracted crises, or sudden onset within complex emergencies where the timeframe, purpose, expected outputs, resources, coordination framework with local authorities and other actors, and disaster response tool support would change.

Figure 1: The IFRC ENA process.



*Secondary data collection should consider NS, IFRC and ICRC institutional knowledge; and external data sources as for inter-agency network, Post Disaster or Conflict Needs Assessments (PDNA or PCNA), market assessments, census data or Households Economy Approach (HEA) data.

2. The Analytical Framework.

What is its purpose?

The analytical framework should be seen as one of the core component of the proposed IFRC revised approach for LEAP, for response to orange and red emergencies and when the Surge assessment support team of specialists would be deployed in support of NSs. The analytical framework will guide the management of data, as a closet where to collate, store and analysis secondary and primary data, to ensure proper structured analysis of inputs, to inform ENA outputs, key findings, recommendations and reports. It should be seen as a tool allowing to:

1. Following mapping of information needs and gaps, guide and structure the collection, organisation and analysis of secondary and primary data.
2. Enhance pre- & post-disaster understanding of impact, severity of conditions and gaps in response.
3. Enable identification of timely and adequate information related to current and forecasted priority needs, affected groups and geographical areas.
4. Support needs analysis, scenario building, response options and structured reporting of key findings and narrative to feed LEAP outputs
5. Help identification and planning of subsequent more detailed assessments for specific inter-sector or other relevant contextual specific issue.
6. Be aligned with the humanitarian assessment sector, to contribute to and benefit from other agencies' core expertise and analysis efforts.

IFRC is part of the IASC Inter Agency Group that is currently developing a common approach regarding definition of the humanitarian analytical framework, to ensure the alignment of IFRC with overall humanitarian assessment practices and processes.. The [figure 2](#)² should be therefore seen as a work in progress that will be finalised in 2018 and field tested following implementation of the proposed revised approach for LEAP³ in 2019.

How does it work?

² This analytical framework has been adapted from the Multi-sector Initial Rapid Assessment (MIRA). It has been developed by RG3 in collaboration with ACAPS.

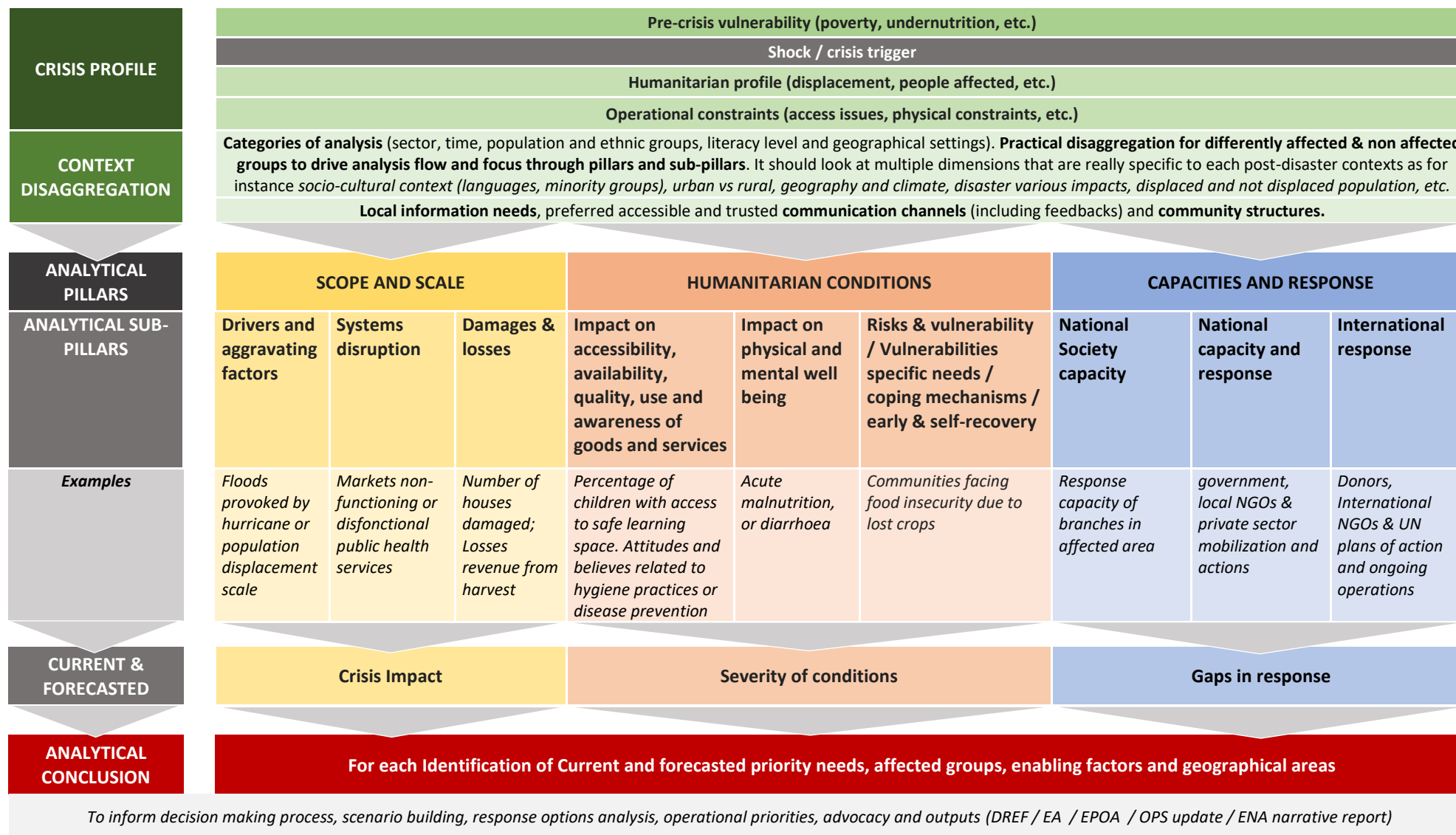
The analytical framework needs to be validated by a given National Society to ensure it will respond to its specific local and contextual needs, ideally before the disaster or crisis event. Assessment specialists team would support this process if deployed.

- ✓ The [analytical framework is structured with categories and workstreams](#) (crisis profiling, context disaggregation, 3 analytical pillars and 9 analytical sub-pillars) to allow agreed mapping of information needed to process the analysis, and a sound design of the ENA exercise.
- ✓ The [analysis plan](#) will be developed according to the information needs and gaps identification, and respond to the objectives and scope of each phase and type of assessment. This will help to ensure that only relevant information would be collected through secondary and primary data collection.
- ✓ Information to be analysed through this framework include pre-and post-disaster datasets and any other relevant information from NSs, IFRC, ICRC and other stakeholders (ecosec and wathab information, VCAs, Post Disaster or Conflict Needs Assessments (PDNA or PCNA), market assessments, census data or Households Economy Approach (HEA) data, government, IASC clusters, agencies, media, local organisations etc.).
- ✓ Data analysis need to be undertaken by staff with experience in emergencies and in-country expertise, at national and branches level, as for national disaster risk management, and resilience staff and volunteers. For secondary information collation, if dedicated resources are not available at country level, it can be undertaken remotely, for example by SIMS, and reviewed by in-country specialists. This would be supported by the assessment team & IM personnel if deployed.
- ✓ Gaps analysis should include plans of action from government, civil society, institutional donors and other organisations
- ✓ Planning for collection and use of sector and inter-sector specific data, more in-depth analysis (including PGI and SADDD) and related data collection techniques should be started from the first phase, including pre-disaster data, but further defined and implemented during the 3rd phase, to inform the revision of EA and EPOA. If deployed, the assessment specialists team would ensure this is taking place with recovery and sectorial leads, but the

³ The IFRC analytical framework will also be tested and mainstreamed through the DEEP platform

final decision on the needs analysis and immediate response options should remain under the ownership of each sector and cross-cutting issue leads.

Figure 2: Analytical framework (DRAFT, work in progress). Please refer to Annex 2 for analytical profiles, categories, pillars and sub pillars description



3. Overview of the assessment process by phases and activities.

The purpose of this section is to highlight key steps, in the assessment process, including activities to be carried out in each phase and who will be responsible for what. The Assessment design and planning should be undertaken by the NS; the following process for phase 1 to 4 would be triggered for orange and red emergencies and when National Societies upon request would be supported by a Surge assessment team of specialists.

For smaller scale disaster and crisis, National Societies could also follow a similar but streamlined process adapted to their capacities, context of disaster or crisis, and resources available.

This approach recognises the potential impact of surge on the NS, and of the impact of disaster and crisis on the NS's decision making processes. Therefore surge for assessment should support NS and Movement partners in their emergency needs assessments effort, in recognition and support of their prior experiences and knowledge, pre and post disaster capacities. Response Options Analysis should place emphasis on the priorities and strategy of the National Society when selecting appropriate options.

3.1. LEAP preparedness phase.

In line with the existing initiatives for [NS Preparedness for Effective Response](#) (PER). it is assumed that the NS and key partners, including IFRC, ICRC and PNSs:

- Would have the political will, their priorities defined with financial and human resources (NDRT, BDRT, volunteers) allocated.

- Would have the Leadership, directors and operational teams engaged as part of the LEAP process.
- Would understand the expected roles of the NS, partners and country stakeholders.
- Would understand the country context including identification of the most at risk geographical areas, key national DM documents, legal framework.
- Would have an informed and sensitive understanding of specific groups at risk, including issues related to gender, disability, age, language, ethnicity and other diversity issues as for language, religion or culture.
- Would have disaster response teams and leadership which reflect as much as possible the demographics of the communities served.
- Would understand local community structures and the local information ecosystem, including which communication channels people use and trust most.
- Would Integrate LEAP into their disaster and crisis response mechanism and SOPs, including when simulation organised and early warning actions and procedures.
- Would have updated response and contingency plans and EOC procedures set up.
- Would ensure effective deployment of teams and coordination with others. This should include that teams are trained, equipped, insured and are ready to conduct assessment.
- Would guarantee continuity and sustainability, including institutional constant learning.

Some of these preparedness activities could be implemented before triggering ENA and related monitoring exercise(s) in the case of a slow onset or protracted crisis

Table 1. Steps, activities and responsibilities for the Readiness phase.

PREPAREDNESS PHASE: Pre-disaster

Steps	Activities	Main Responsible	Contributing
NS Preparedness for Effective Response	<ul style="list-style-type: none"> ✓ Identify and analyse NS and Movement partners LEAP experiences, knowledge and capabilities from previous disaster response and assessment experienced. ✓ BDRTs/NDRTs/CDRTs and volunteers trained, equipped and insured to conduct Emergency Needs Assessments following agreed standards and LEAP methodology. ✓ NS Technical teams and leadership trained to coordinate, analyse and make decisions based on assessment results ✓ Establish procedures and responsibilities / SOPs for all ENA related activities, including data collection and assessment team models ✓ Adapt analytical framework, and subsections to drive the response option matrix template, that would be adapted to post disaster & crisis scenarios. ✓ Identify and analyse internal and external disaster hazard, context and risk assessment including previous NS VCAs, monitoring and early warning. ✓ Identify and analyse NS Disaster response plan, contingency plan and EOC procedures. ✓ Identify and analyse existing information about specific vulnerable groups, focused on issues related to gender, disability, age, ethnicity, language and other diversity factors. ✓ Adapt or set up NS LEAP toolbox, including templates and tools for data collection ✓ Include LEAP in the scope of early warning / early action to enhance ENA related actions predictability. ✓ Define release of funds modalities for agreed actions, and inclusion of LEAP activities within DREF and potentially forecast-based financing if relevant. ✓ Trainings and simulations at the level of governance and senior management, for dealing with surge and exposing some of the more sensitive issues relating to operational crisis management. 	NS	Movement Partners (PNSs and ICRC), IFRC RO/CCST/CO/PIR
Data preparedness	<ul style="list-style-type: none"> ✓ Identify needs and connection with Preparedness for Effective Response (PER) capacity assessment and ongoing Disaster, crisis actions and other processes. ✓ Train data collection teams (community group discussion formation/conduct, direct observation, understanding essential measures) ✓ Train data analysis team ✓ Define, agree and prepare on key humanitarian indicators and common CODs (ie demographic, geographic and sectors specifics) to be used for ENA. ✓ Organise and populate data repository at local, regional and global most relevant level. 	NS	Movement Partners (PNSs and ICRC), IFRC RO/CCST/CO/PIR
For foreseeable crises as for recurrent disaster and crisis, or predictable sudden climatic event impact	<ul style="list-style-type: none"> ✓ Collect preliminary Secondary Data for sectoral, inter-sectoral, vulnerable groups, PGI, CEA or environmental issues. ✓ Analyse Secondary Data , including demographic and other baselines information 	NS	Movement Partners (PNSs and ICRC), IFRC RO/CCST/CO/PIR

3.2. Phase 1. Initial assessment: 0 to 48 hours.

Output	Emergency Appeal/DREF or Initial NS plan of action
Focus	Priority needs of the affected population. Scale and severity of the impact
Timeframe	48 hours
Sources	Mostly secondary data sources. Limited primary data from direct Observation & key Informant interviews, including by NS volunteers; non-representative sampling.
Report	Evidence to be included in the DREF, Emergency Appeal or NS Plan of action
Partners & resources	Mainly provided by the National Society, Movement partners and IFRC (in Country) Government at local, regional and national level, communities disaster response teams (if available), key informants, etc.

To determine the scale, severity and identify the projected evolution, this initial assessment recommended during the first 48 hours, should be carried out jointly with NS and key partners in Country. The result of the assessment should inform the initial NS Plan of action, DREF or Emergency appeal.

The sources of information as mostly coming from secondary data, pre-and post-crisis information, previous operations NS lessons learned and experiences, authorities, local NGO and media report as well as other international actor present in the Country before the crisis⁴.

The primary data are mainly based in the direct observation from NS and key partners, which could include UAVs survey, remote sensing or satellite imagery. Part of the new approach includes also the opportunity to strengthen local Red Cross/Red Crescent volunteers role as key informants, taking advantage of their knowledge and understanding on local context. If VCAs were already conducted in this areas, NS can use this detail information to revise the community risks and capacities. You can see more details of this key component of the revised approach in the [section 4](#) of this document.

Table 2. Steps, activities and responsibilities for Phase 1: Initial assessment.

PHASE 1 – INITIAL ASSESSMENT: 0 to 48 hours after shock			
Steps	Activities	Main Responsible	Contributing
Set up coordination	✓ Establish a coordination mechanism to support the process. This should be discussed with NS, IFRC and other Movement partners, through the establishment of an assessment and coordination cell informing the various levels' tasks forces. Identify NS's technical and senior counterparts for emergency needs assessments.	NS	Movement partners in country and IFRC CO (if any); IFRC RO, CCST or PIR, & surge assessment team (in-country or remotely).
Planning	✓ Coordinate with government and inter agency fora on assessments plans from NS and external actors, to ensure complementarity and avoid duplication	NS	Surge assessment team with Movement partners, IFRC Surge operation, Cross

⁴ Could be done through DEEP tool

	<ul style="list-style-type: none"> ✓ Define the objectives and design of the assessment: institutional capacity, coping mechanisms, geographical scope, scale, specificity of needs, target groups based on gender & diversity-informed risk and vulnerability analysis. ✓ Identify sites to be selected for assessments, following initial crisis profile and context disaggregation ✓ Map the information gaps to determine the assessment foreseen needs for phase 1 and 2. ✓ Make the analysis plan and adapt the analytical framework. ✓ Identify and adapt the assessment team (including NS, partners and possible Surge support) from readiness phase and operational constrains, including gender and diversity considerations, as for multisector skills, knowledge and experience. ✓ Clarify roles and responsibilities. 		cutting, Recovery, Movement Cooperation and sectorial Leads (in-country or remotely).
Data collection	<ul style="list-style-type: none"> ✓ Design secondary data (pre-post) and primary data collection method. It must ensure that key required indicators would be fed by tools and method used. ✓ Collect and consolidate pre- and post-crisis secondary data. ✓ Request initial information from staff and volunteers. ✓ As possible, Hold initial consultation meetings with local community representatives. ✓ Adapt pre-existing template as needed 	NS	Same as above
Analysis	<ul style="list-style-type: none"> ✓ Process data and basic analysis. ✓ Joint analysis within the assessment and coordination cell with summary of the findings. ✓ Conflict-sensitive context analysis 	NS	Same as above
Response options	<ul style="list-style-type: none"> ✓ Present and disseminate results to contribute to decision-making processes, through DMIS other internal and external coordination channels as relevant ✓ Provide initial response options following scenarios and response options matrix template defined within previous phase 	NS	Movement partners, IFRC Surge operation, Cross cutting, Recovery, Movement Cooperation and sectorial Leads (in-country or remotely). with the support of Surge assessment team,
Inform DREF and Emergency Appeal	<ul style="list-style-type: none"> ✓ Include the key findings in DREF and Emergency Appeal documents 	PMER (NS & IFRC)	Surge assessment team.

3.3. Phase 2. Rapid assessment: 48 hours to 14 days.

Output	Emergency Plan of action
Focus	Priority current and projected needs of the vulnerable groups and humanitarian priorities
Timeframe	14 days

Sources	Secondary data, including community information already available from ongoing Disaster Risk Reduction and other NS & Movement partners' programs, sector focused surveillance mechanisms, as well as primary data collected purposively in selected locations.
Report	Evidence to inform Response Options Analysis and to be included Emergency Plan of Action
Partners & resources	Volunteers, branches and the National Society, Movement partners and IFRC (in Country). Government at local, regional and national level, key informants, local NGOs, male and female community representatives ideally representing all groups, etc. with focus groups with identified at-risk groups – minorities, people with disabilities etc. Sectoral coordination system and external sources (ACAPs, UN agencies, INGOs, etc.).

The rapid assessment during the first two weeks of the disaster and crisis should be done jointly and in partnership with in-country Movement partners, making sure that there is one agreed methodology, and that appropriate resources would be made available to contribute to the collective understanding on the situation. This should include NS, IFRC, ICRC, PNSs human resources, (delegates, National staff and volunteers), to benefit from contextual understanding and technical experience from all. Secondary data review should consider community information already available – from ongoing DRR/ resilience or Food Security and Livelihood programs. Some NS may have established sector focused surveillance mechanisms which may include changes in community and HH coping mechanism, market availability and prices, access to water needs and other relevant inputs. Similarly there may have been previous responses in the same geographical location which will offer information, good practice or lessons learnt. This may have fed into preparedness actions but if not, should inform or help direct the assessment effort.

The report will inform the more detailed plan of action of the NS to be supported by IFRC and Movement partners (EPOA), that should consider and reflect on NS strategic priorities, and impact on long term multilateral and bilateral programme area and investments. With the coordination and information management (IM) support of the Surge assessments team during this phase the primary data collection is increased, hence the assessment HR capacity

(NDRT, BDRT, Volunteers) from the NS to be mobilized. A pre-defined form to collect information should be used by NS and partners while secondary data collection will still be on going, with remote (SIMS) or in Country support (IM). Secondary data should be sex-age-disability disaggregated where possible, and considerations of how to ensure gender and diversity or environmental sustainability issues, as feasible, are considered in all stages of assessment should be started in earnest during this phase. The Surge assessments team, recovery and sectorial leads will support the NS on the data analysis, interpretation and sharing of the information appropriately with the NS, Movement partners and external stakeholders as for humanitarian coordination mechanisms. The NS and Surge assessments team should share and discuss assessment key findings with operational team, sector leads, PMER and other Movement stakeholders through workshop or any appropriate channels. The result of this assessment should be included in the Emergency Appeal, which is a public document and shared with the wider humanitarian community. Feedback on assessments key findings to communities should be planned with defined CEA strategy, to enhance inclusivity of the process. Phase 2 will give a contextual overview of needs but not specific inputs to guide a sectoral response plan, it should consider NS and Movement partners early knowledge and recognition of deteriorating coping mechanisms and options for immediate actions to reverse this.

Table 3. Steps, activities and responsibilities for Phase 2: Rapid assessment.

PHASE 2 – RAPID ASSESSMENT: 48 hours to 14 Days

Steps	Activities	Main responsible	Contributing
Adapt coordination mechanism	<ul style="list-style-type: none"> ✓ Determine the initial assessment needs. ✓ Adapt the coordination mechanism to support the process. 	NS	Movement partners in country and IFRC (RO,CCST/CO/PIR), & surge assessment team (in-country or remotely).
Planning	<ul style="list-style-type: none"> ✓ Coordinate with government and inter agency fora on assessments plans from NS and external actors, to ensure complementarity and avoid duplication. Explore the possibilities to contribute (or not) of joined or coordinated assessment as for MIRA. ✓ Define the objectives of the assessment: institutional capacity, coping mechanisms, geographical scope, scale, specific needs, target groups based on gender & diversity-informed risk and vulnerability analysis. ✓ Map information gaps, and adapt the analysis plan and analytical framework. ✓ Identify the assessment team (including NS, partners and possible Surge support), including gender and diversity considerations. ✓ Identify sites to be selected for assessments, following crisis profile and context disaggregation ✓ Identify secondary data available, to build on primary data collection needs ✓ Clarify roles and responsibilities. 	NS	Surge assessment team with Movement partners, IFRC Surge operation, Cross cutting, Recovery, Movement Cooperation and sectorial Leads (in-country or remotely).
Data collection	<ul style="list-style-type: none"> ✓ Adapt secondary data (pre-post) and primary data collection method. ✓ Collect and consolidate pre- and post-crisis secondary data. ✓ Ensure capacity, including equipment and insurance, from NS staff / Train or refresh them for primary data collection. ✓ Collect primary data from a representative sample of male and female community members, not only the community leaders and committees. 	NS	Same as above
Analysis	<ul style="list-style-type: none"> ✓ Process data and basic analysis. ✓ Joint analysis and summary of the findings. ✓ Consult local community representatives to verify the assessment findings. ✓ Share the initial analysis of the findings, scenarios, gaps, constraints, conflict-sensitive context, to inform further processes. 	NS	Same as above
Response options analysis (ROA)	<ul style="list-style-type: none"> ✓ Adapt the response options matrix, including options building on affected & non-affected existing capacities. It should identify key sectorial priorities that could be addressed each through alternatives response options. Selection of criteria and related weighting should be considered as advisory to guide the analysis. Process and decisions should be justified and documented. ✓ Support response option analysis process between operations technical teams, Assessment team, PMER, NS. If possible and relevant, conduct a findings workshop. ✓ ROA should place emphasis on the priorities and strategy of the National Society when selecting appropriate options 	NS	Movement partners, IFRC Surge operation, Cross cutting, Recovery, Movement Cooperation and sectorial Leads (in-country or remotely). with the

			support of Surge assessment team,
Inform EPOA and Ops Update	<ul style="list-style-type: none"> ✓ Include the initial key findings in EPOA and Ops Update documents ✓ Include the response options into the sectoral plan of action. 	PMER (NS & IFRC)	Surge assessment team.

3.4. Phase 3. In depth assessment: 14 days to 40 days.

Output	Revised Emergency Appeal and revised Emergency Plan of Action.
Focus	Operational planning.
Timeframe	40 days.
Sources	Increasingly primary data sources. Monitoring of the programme and representative sampling.
Report	Evidence to inform Response Options Analysis and Assessment report to inform the revised EA and Plan of action.
Partners & resources	Volunteers, the branches and the National Society, Movement partners IFRC (in Country) and external partners. Government at local, regional and national level, key informants, local NGOs, male and female community representatives, etc. Sectoral coordination system and external sources (ACAPs, UN agencies, INGOs, etc.).

In this phase, there is an increased amount of primary data. The NS supported by partners will continue doing community level assessments, with increased community engagement. The sectoral finding collected at HH or individual level should be compiled in to a single place according to the indicators agreed in previous phases. There should be at least a harmonize approach to make sure that sectoral data can be compared and analyse. Movement partners should be part of assessment strategy and activities to support recovery and transition enabling environment.

The analysis and scenario building are performed initially at multi- and inter-sectoral level, in coordination with NS, IFRC operation manager, Movement and Recovery coordinators. Once this analysis is done, and evidence identified, there should be a joint response options for the programme design, that should be owned and led by NS, with the support of IFRC operation manager, and contribution of sectoral/cross-cutting/recovery leads and Movement partners, to enhance response and programming convergence. For the programme design, there should be several aspects to consider such as sustainability, increased inclusive approaches with community ownership, alignment with NS plans capacities and mandate, timing and duration, value for money, feasibility and risks, resources available, and look at assessments using an early recovery lens. It is also crucial to integrate Community Engagement and Accountability (CEA) activities into programme plans, budgets and indicators during the program design phase.

The information obtained during this phase is used to understand the varying needs of the community, based on the best possible understanding of the different ways that men, women, boys and girls of all background are affected by the disaster or crisis. The IFRC document “*Minimum Standard Commitments to Gender and Diversity in Emergency Operations*” can be helpful here. The analysis should also focus on different sectorial needs to support more detailed programming for the revision of the plan of action and Emergency appeal. This phase is very linked to program monitoring and the results of the monitoring should always be added to assessment information.

The Surge assessment team will support the data collection and coordinate the analysis process with the sectoral leads, recovery lead and Movement coordinators, ensuring each sector finding are understood by other sectors. To facilitate the sharing and communication of the results of the analysis process we suggest for the team to conduct a findings workshop with other operations technical teams PMER, NS at the end of this phase as well, and/or at the beginning of phase 4 to help designing monitoring principles and planning.

While the steps, activities and responsibilities are similar to the previous phase 2, phase 3 is where should be processed the real in-depth analysis of the sectoral and inter-sectoral needs, looking at population, groups details and specific vulnerabilities. The [following table](#) summarizes the most important characteristics of each phase.

Table 4. Characteristics for each of the three ENA phases.

	Phase 1 (0 – 48 hrs)	Phase 2 (48hrs – 14 days)	Phase 3 (14 – 40 days)
Purpose/objective	Identify scale, severity, projected evolution, critical needs and gaps,	Identify critical problems, vulnerabilities, scope, scale, severity. Map 4W (who do what where and when) with external stakeholders to better identify needs, coverage and gaps.	More precise multi- and inter-sectoral information. It should include data on the population’s information needs and communication preferences for recovery strategy and programme design.
Data collection	Secondary data plus direct Observation & key Informant interviews, including by NS volunteers	Secondary data plus Direct Observation & key informant interviews Focus & Community Group Discussion	Higher volume of primary data than secondary data. It should include analyse of other stakeholders data to avoid duplication and identify gaps.
Type of assessment	Initial at Community level	Rapid at Community level and start HH level	In depth Sectoral at HH or Individual level
Sampling	Non-representative	Purposive	Representative
Funding mechanism and planning process	DREF, EA	EA and EPoA	Revised EA and revised EPoA
Status quo	Changing	Changing	More stable conditions
Report	Key Finding & recommendations chapter, added to DREF	Information chapter is added to the EPoA and Operation update	Information chapter is added to the revised EA & EPOA. In depth assessment report is done
<p>Note: The manager of the operation in the National Society, who will be leading the implementation of the operation, should be responsible for preparing and revising the EPoA. In the case of major disasters, where regional or global surge capacity is deployed by the IFRC secretariat, the role of surge assessment team is to support NS in the design, planning, process and analysis of ENA. While this team will help to identify priorities and ENA key findings, it will not be responsible to lead programming and planning phases, ie Response Options Analysis and EPoA, that should be led by sectoral, operational, recovery and PMER Leads.</p>			

3.5. Phase 4. 40 days and onward.

Recognizing that there is no clear limit border between the relief and the recovery periods and considering that the programme has been already designed in the previous phase, Phase 4 can be seen as the natural continuation of the previous phase. In all phases, recovery lens and considerations have to be included and integrated in the assessments (including the analysis).

Programming monitoring becomes a critical element of the continual assessment effort. In case of deployment of the Surge assessment team of specialists, it should hand over to the sectoral programmatic people or the

existing recovery team. It is expected that every plan of action will have a strong monitoring framework with clearly defined responsibilities. The result of the monitoring activities and community feedback gathered through different communication channels should be feeding the continual assessment process.

During the phase 4 there are several elements to be taken into consideration to ensure the following versions of the plan of actions are based on evidences and the assessment continuum is guaranteed:

- ERUs/RDRT/FACT and partners NSs would support the NS in the implementation of the activities.
- There should be clear set up coordination and organisational structure in the operation.
- NS and Partners are implementing and monitoring the activities based on the EPoA
- Monitoring framework should be in place and close follow up should be done by the IFRC.
- Real Time Evaluation might be planned and implemented.
- Human resources are becoming more stable.
- Resources should be available (human, logistical and financial) for recovery aspects of programming and transition to coordinated bilateral responses.

- NS Assessment capacity strengthening activities
- Joint learning exercises between Operation, surge assessment team, Recovery, Movement Coordination and PMER Leads.

The following EPoA revision should use:

- a) The evidences obtained from the monitoring activities of NS and implementing partners.
- b) The possible new assessment exercises done during this period.
- c) The results and recommendations accepted from the Real Time Evaluation.

PROPOSITION FOR RG4b TO REVIEW THIS SECTION TO ADD ON TRANSITION.

Several activities should be happening during this phase:

- Real Time Evaluation and operationalization of the lessons learned regarding LEAP.
- Monitoring framework should be implemented and activities related should be incorporated in the EPoA.
- RDRT/FACT/ERU end of mission reports and recommendations.
- Assessment specialists end of mission reports and recommendations.
- Transition of the operation to long term contracted delegates and coordinated bilateral programming.

4. Strengthening the volunteers role as key informants

The Red Cross and Red Crescent Movement has the unique opportunity to access an enormous network of volunteers. Compared to other humanitarian actors, National Societies have unique access to, even remote, communities in need before, during and after disasters occur. A simple questionnaire aiming to capture the informed analysis of the needs from the volunteers, including community volunteers and other NS's reliable pre identified key informants, on their geographical areas would provide critical inputs to inform the initial and rapid assessments and the priority needs identification.

This new proposed assessment tool would need to be contextualised to each of the NS, as part of the [proposed initiative to increase National Society capacity to deliver high quality ENA independently](#). It will require contextualisation of the defined set of 8 questions and response options, **the ones in figure 3 should be seen as working draft , that would be refined improved and adapted following pilots to be implemented in 2018**. For now those questions need to be used in the first 72 hours and only to define the priority sectors, scale, magnitude and geographic scope of the potential impact of disaster and crisis. This tool is aiming to provide a simple “360°” inputs on

the post disaster and crisis immediate impact. NS volunteers are to be considered “people with knowledge”, and as with all key informants, there will be some bias to consider in the responses we will be getting. This would contribute to the building of the initial context analysis that would factor those potential bias and means to mitigate them. This data collection process should come with mapping and pre identification of key informants (including gender

and diversity considerations), induction and trainings and tested as part of simulations during the readiness phase. The mainstreaming and use of this questionnaire will be done through the most appropriate support and mean of communication available, and training for volunteer to use it. The data collection could be supported through mobile application. See an example of it in [Annex 3](#).

Figure 3. Example of generic questions and tool for volunteers as key informants.(DRAFT, work in progress).

8 key questions to inform initial assessment in the aftermath of a disaster or crisis.	Type of answers, to be contextualised and transfer in the most appropriate format for the NS and mean of communications, volunteers would need to be trained to use it.
1. Do you have a situation of concern in one or more of the following sectors?	Yes or No, for a set of relevant sectors Health / Food Security / WASH /Shelter-NFI / Protection / Education / Livelihood / Other
2. If yes, what is the current severity of this problem perceived in these sectors?	Severity for each of the sectors , (Scoring: 1= no/minor problem, to 5= life threatening problem)
3. If yes, what are the main reasons why there is a problem?	For each of the defined sectors, 5 factors: Access / Availability / Quality / Use / Awareness, (Scoring: 1= Main reason, 2= Second main reason, 3= Third main reason))
4. Are you worried about your ability to meet your basic needs in the next 7 days?	For each of the defined sectors (Scoring: 1= Not worried at all, to 5= Worried for survival)
5. Who are the top three affected groups that require immediate assistance in this area?	Short description of each of the identified groups. (OR I don't know)
6. Who are the top three priority sectors that require immediate assistance in this area?	Short description of each of the priority sectors
7. Who are the top three vulnerable groups that require immediate assistance in this area?	Short description of each of the vulnerable groups
8. What are the top three responses modalities you would favour to address the current problems?	Choice among defined set of modalities (cash assistance, Service provision, in kind, etc.). If cash option selected, need to verify that markets are functioning

5. Key roles and responsibilities: building up the LEAP technical competencies framework, role profiles and Surge teams.

The **LEAP competencies framework** will be used for all Surge staff being deployed for ENA. This competency framework is aligned with the [Core competencies](#) framework as part of the Surge Optimization process. Building on Movement and specialised assessment agencies experience, it will provide a shared and systematic way of recruiting, training, appraising Surge staff in the field and will increase our common understanding of the assessment portfolio.

The LEAP competency has been built for large scale (orange-red) scale disasters where additional resources are required by the National Societies. Still the competencies and the referred profile can be used as a reference for NS dealing with smaller disaster and crisis context, to raise competencies for their staff and volunteers.

The key role-profiles for the Surge assessment support team of specialists are:

1. Assessment coordination support (core)
2. Information analyst support (core)
3. Primary data collection support
4. Secondary data collection support

Following context and operational environment, other specialists could be embedded in the team to enhance the multi- and inter- sector dimensions of ENA.,

The proposed composition of **the LEAP Surge pool** could be based on a mixed model:

- A core group of 4 members permanently contracted (HEOps type model) : 2 assessment coordinators and 2 information analysts. To be part of this group these personnel should demonstrate a number of different competencies. This

core group would participate in several Surge deployments per year and contribute to the [strengthening of the National Societies capacity for LEAP](#).initiative.

- LEAP trained and certified specialists, integrated in the existing Global/Regional rosters. Considering the current existing Movement capacities, it will be built with the competencies from existing rosters/registers members as (RDRT, FACT, PMER, ERU Relief, IM/SIMS and others) but also new members.

The deployment of the LEAP Surge members as well as the NS Assessment capacity strengthening activities would need to be included and supported by DREFs and Emergency Appeals

In the [annex 6](#) you will find the assessment draft competency framework and below the fig. 2 is showing the competencies per profile.

Figure 4: Role – profiles with description of task and tiered competencies

	Assessment Coordinator (AC) (In country)	Information Analyst (IA) (in country)	Field data collection responsible (In country)	Secondary data collection responsible (remotely or in country)
1. Main role and tasks				
<p><i>Note: This table is the second draft in process to describe the 4 identified LEAP Surge role profiles.</i></p> <p><i>Role profile = role (a description of the job to be carried out) + profile (the combination of technical and core competencies required to carry it out).</i></p> <p><i>Every role profile requires a combination of technical and core competencies. Every role profile will set out the competencies required to deliver that role and at which tier they are required.</i></p> <p><i>Please refer to ANNEX 7 for more information.</i></p>	<ul style="list-style-type: none"> ✓ Lead the Surge assessment team and oversee the responsibilities of other team members ✓ Manage the assessment and the availability of appropriate financial, material and human resources ✓ Support NS for coordination with stakeholders regarding ENA ✓ Support NS in design and timeliness of the overall assessment(s) approach and capacities identification ✓ Ensure strategies are in place to reduce impact of biases and improve quality, credibility and rigor of the needs analysis and planning phase ✓ Discuss and validate the analysis framework with NS and external stakeholders ✓ Discuss and validate the findings of the assessment with key stakeholders and experts, internally and externally ✓ Ensure that reports are accurate, comprehensible, clear and simple. ✓ Look for potential risks or harm or opportunities regarding APiE process and outputs ✓ Represent the assessment team at in country task force or assessment working groups ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities 	<ul style="list-style-type: none"> ✓ Assess information landscape and information gaps and recommend adapted assessment approaches to NS and assessment coordinator ✓ Develop analysis framework and plan adapted to decision making and planning in emergencies ✓ Support, advise or lead the assessment design, analysis and reporting based on the analysis framework ✓ Coordinate, support or advise on primary and secondary data collection, management, storage and archiving ✓ Process, reconcile and compare all secondary and primary data ✓ Select and implement structured analytical techniques to improve the quality, credibility and rigor of the analysis. ✓ Communicate clearly and graphically key messages of the assessment(s) as well as the confidence in the results ✓ Technical focal point for remote and in country technical support. ✓ Oversee timely development and usability of ENA outputs for planning purposes, in liaison with PMER team <p>Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities</p>	<ul style="list-style-type: none"> ✓ Ensure data collection activities and approaches are aligned with the analysis framework and plan ✓ Support NS in the supervision and training of data collector teams and the management of field data collection activities ✓ Ensure data collection approaches, techniques are conducted in a transparent, ethical and participatory way ✓ Ensure data collection tools provide with timely, accurate and unbiased data ✓ Ensure collected data is safely archived, stored and cleaned based on current best practice ✓ Support NS in the appropriate selection of geographical areas and population groups for assessment ✓ Coordinate with stakeholders in the field and ENA focal point at hub level if needed ✓ Report on current field data collection progress and challenges to NS, AC and IA ✓ Support the analysis and the reporting of the collected data in collaboration with team leaders and the information analyst ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities 	<ul style="list-style-type: none"> ✓ Ensure secondary data collation activities and approaches are aligned with the analysis framework and plan ✓ Supervise, train and organize the secondary data team members ✓ Develop strategies, procedures and team approaches to timely identify, capture and organize relevant pre- and in-crisis data based on the analysis framework and plan ✓ Report on current secondary data collation progress and challenges to NS, AC and IA ✓ Support the regular analysis and the reporting of the collated data in collaboration with team members and the information analyst ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities

Competencies			Assessment Coordinator (AC) (In country)			Information Analyst (IA) (in country)			Field data collection responsible (In country)			Secondary data collection responsible (remotely or in country)		
#	Domain		Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3
2. Technical competencies	1	Needs assessments & planning in emergencies												
	2	Assessment design & planning												
	3	Data collection, management and protection												
	4	Analysis (including joint processes)												
	5	Reporting and dissemination												
3. Core competencies	6	Coordination												
	7	Communication												
	8	Information management												
	9	Judgement and decision making												
	10	Problem solving												
	11	PGI												
	12	CEA												
	13	Environmental sustainability												
	14	Team management												

Tier 1: Displays a practical understanding of effective day to day behaviours for this competency and able to function effectively as part of a RC team.

Tier 2: Displays impact for this competency by providing advice and guidance to others within a defined scope. Translates strategic decision into sectoral direction.

Tier 3: Models the behaviours and creates and environment which enables the behaviours to be displayed. Operates at a strategic, multi- sectoral level in a response of any magnitude.

5.1. How to develop the assessment competencies in our Disaster Response System.

The following considerations should be taken into account in order to build a sustainable and realistic model:

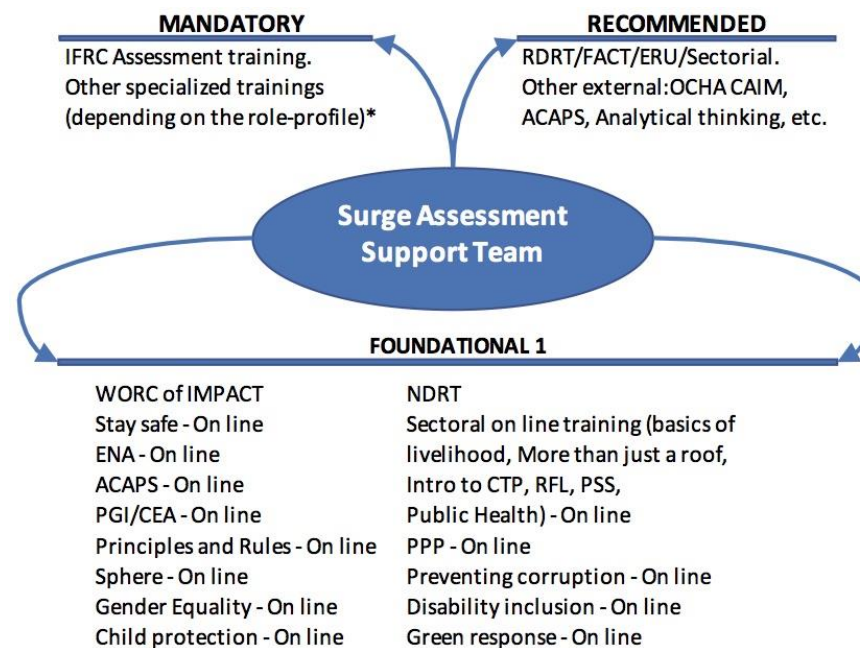
1. It should be built counting on the support of the existing Reference centres (I.e. CREPD El Salvador) and existing learning hubs in NS and Regions.
2. It should count primarily on strengthening competencies on the existing Movement registers/roster/pool as the RDRT, FACT, PMER, ERU Relief, SIMS/IM, FERST and sectoral ones (CTP, Health, STT, WASH, etc.).
3. It should count on the existing internal learning initiatives (I.e.: ENA ToT, RDRT, NDRT, FACT Induction, Conducting field survey-British RC), PMER/PPP/Data Management-IFRC) and other external (CAIM and IMPACT-OCHA, Analytical thinking-ACAPS, Assessment Induction-ACAPS, TIME-UNHCR, Profiling Coordination Training (JIPS), and others.
4. It should strive for strengthening capacity at National level as well as at Regional/Global level.
5. It recognizes the capacities of our National Societies in Emergency Needs assessment and would build on it.
6. It recognizes the need to receive support for 2 to 4 years, from external assessment advisors, to ensure competencies are properly transferred.

In order to ensure learning at all levels there would be:

- Institutional learning: through a yearly lesson learn workshop of the LEAP group and engagement with IASC TF and externals.
- Operational learning: through deployment and initial mentoring and shadowing from externals and internal assessment specialists.
- Peer to peer NS learning: NS in the Regions who are champions in assessment could support other NS.
- Transferring competencies to NS: through the support of assessment specialists in peace time, disaster and crisis.
- Specialized training: Training of Trainers LEAP training per region, LEAP training per region, assign LEAP focal point per region.
- Specialized training accessible to surge personal but owned by other IFRC teams and external stakeholder, around Analytical Thinking and data collection

Figure 5: Example of training path for the assessment team.

Note that this is built as an example and the fact that someone had gone through a training does not guarantee competencies. In order to be part of a Surge Assessment Support Team competencies are to be practically evidenced. This could be done through several methods, trainings being only one of them. It might also come with mentoring and shadowing strategies.



* Other specialized training would depend on the role-profile. I.e: for the assessment coordinator should be mandatory to go through the Emergency Team Leader training.

LEAP Learning strategy and core training modules.

As part of their lead role in the IFRC Surge Optimisation process, the Reference group 3 on Leading Emergency Assessment & Planning (LEAP),

Australian Red Cross and IFRC global surge desk implemented 3 successive and iterative pilot initiatives in 2018:

1. Strengthening Analytical Thinking (SAT) - for decision makers - pilot initiative, held from 20 to 22 June in Geneva.
2. Leading Emergency Assessment & Planning (LEAP) pilot training workshop, held from 23 to 27 July in Geneva.
3. Strengthening Analytical Thinking (SAT) - for Data practitioners - pilot training, held from 13 to 17 July in Kuala Lumpur.

These three piloting events exposed for the first time 58 RCRC staffs (22 representatives from 14 NSs, 1 representative from ICRC and 35 IFRC staff from Geneva, 5 Regional and 3 Country office) to the new LEAP approach that aims to strengthen analytical process, aligning current practices with existing and arising assessment trends.

18 participants from 5 National Societies, ICRC, 4 IFRC Regional and IFRC Geneva offices participated in the LEAP workshop.

The outcomes of this event will inform (1) the development of the LEAP overall learning strategy, (2) the next iteration of the LEAP approach, (3) the technical assessment and information management competency frameworks, (4) the identification of RCRC personnel for LEAP approach potential field testing, and (5) the training package revision and refining, reflecting on feedbacks and recommendations provided by the group, for the next iteration of the LEAP training.

SECTION TO BE UPDATED WITH OVERALL ASSESSMENT STRATEGY DEVELOPED BY PATRICE CHATAIGNER

Table 5: Content of the IFRC Surge LEAP training (piloted in July 2018), for personnel to be deployed within Surge assessments team)

IFRC Leading Emergency Assessment and Planning (LEAP) training modules		
Sessions	Key topics	Key related tool and resources
1. IFRC Approach for LEAP	IFRC revised approach to LEAP / Competencies, available courses / Detail on pilot course / Training feedback mechanisms	towards a revised approach for Leading Emergency Assessment & Planning (LEAP).
2. Fifty shades of needs assessments	Needs assessment and planning (link needs assessment and POA) / Assessment types, frameworks and phases (IFRC vs IASC assessment frameworks) / Assessment focuses (lifesaving, rehabilitation, early recovery, sector/multisector, etc.) / Function and definition of ENAs	IFRC ENA Process and Phases
3. Emergency Needs Assessments process and strategy	Assessment process / Main steps, activities, outputs / Main challenges and pitfalls Contextualizing and adapting assessment approach	IFRC emergency needs assessment and planning process IFRC assessment strategy template
Case study -Madagascar TC Ewano	Field lessons learned on TC Ewano ENA	Secondary data, documents and dataset on TC Ewano used for inputs on session 5 to 9
4. Establish information needs	Decision making typology (strategic, programmatic, operational) / Key information needs	Humanitarian Profile Support Guidance
5. Adapting the analysis framework	AF definition and purpose / The IFRC AF / Adapting and using IFRC AF	IFRC Analysis framework
6. Develop analysis & data collection plan	Analysis plan & Data collection plan	IFRC Analysis and data collection plan template
7. Conceptualize end product(s)	Main products, challenges and pitfalls (EA, EPOA, OPS updates, DMIS/GO) / Compelling products / Use of visuals / Uncertainty communication	IFRC - EPoA template - 2017
8.Acquire and manage data	Making data / Qualitative vs quantitative / Structure and data management	
9. Develop & test primary data collection tools	Main challenges and pitfalls of multi sector forms / Strategies to improve the quality of questionnaires / Adapting to context	
Case study -Bangladesh Population Movement Operation.	Secondary data, documents and dataset for inputs on session 10 to 13	
10.Analyse & draw conclusions	Analysis spectrum / Cognitive biases / Techniques to improve quality and credibility analysis	Analysis Spectrum (ACAPS) Cognitive Biases (ACAPS)
11. Interpret & conclude	Rating and ranking / Drawing conclusions / Strength of evidence	Interpretation sheet template
12. Develop objectives & select response options	Fundamentals, activities, output, use / Strategies to improve quality and credibility of response analysis / Adapting to context	IFRC Response option template
13. Share results & inform planning key documents	Structuration of ENA key findings / Summarizing the evidences to key planning and other outputs documents (EA, EPoA, etc...)	IFRC - EPoA template - 2017
14. Designing ENA	Case study description and details / Assessment design and planning	2 Case study of unfolding crisis (Fire in Greece & Floods in Laos)

5.2 Surge assessment support team deployment modalities and functions

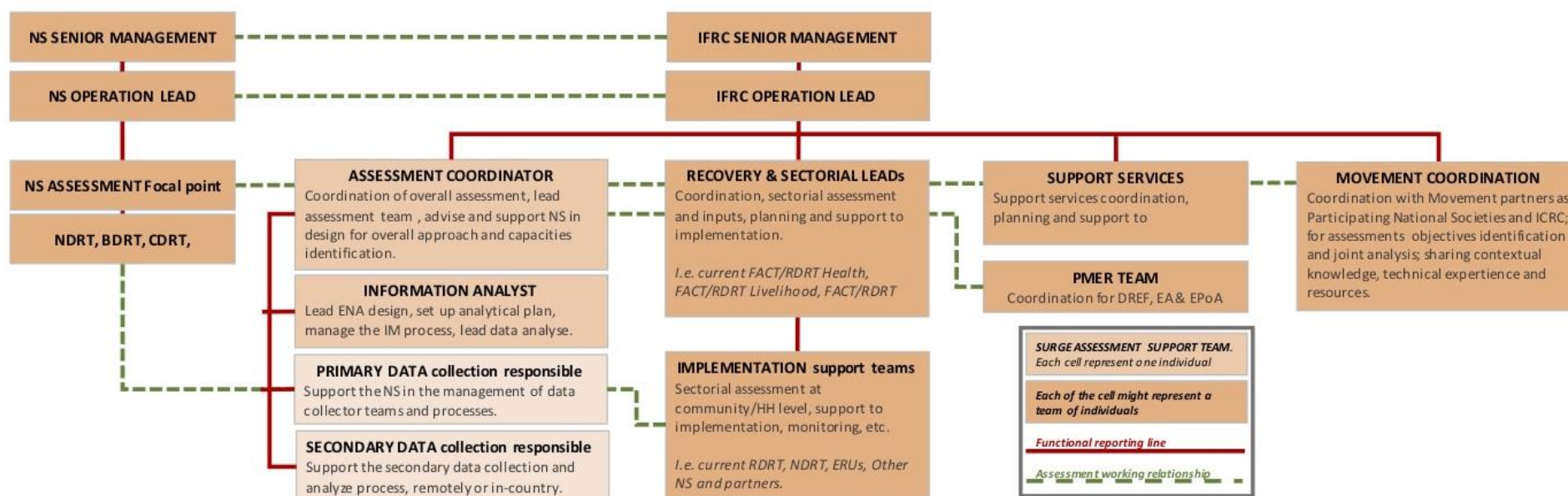
The proposed Surge assessments team deployment modalities and functions will be in line with the [IFRC emergency response framework](#), that has been formally approved in June 2017. For emergencies classified as orange or red, deployment assessment specialists from LEAP pool would be triggered by Global surge desk, on request of IFRC RO, and be funded through DREF or Emergency Appeal. During white and yellow emergencies, National Societies and ROs can request remote support or deployment of LEAP Surge specialists through the Global Surge desk to support disaster response or LEAP preparedness activities.

The team deployment, on request of RO, will be funded through DREF and Emergency Appeal. In support of NS, it would be embedded within Surge deployment in country setup, reporting to the current IFRC Surge Head of operation (ie Fact Team leader, operation manager or HEOps), liaising with the

different sectoral and cross-cutting leads (ie NS, FACT or RDRT) for specific inputs. The team will also support NS and Movement partners to engage and liaise with inter agency processes, as for IASC assessment cell or joined assessment. if relevant and not hampering RCRC response. It will also support the identification and use of relevant and available assessments findings from other stakeholders, to enhance IFRC ENA quality.

This team will also support NS and IFRC Surge leadership to enhance the integration of assessment within current priorities, best use of available resources, and that assessment findings will properly feed Movement coordination mechanisms (ie Task forces), communication, planning processes and documents. When the team is deactivated, all the handover elements should be handed over the long-term recovery/operations team, and dataset (at least) to the global Surge organised repository.

Figure 5: Example of an IFRC structure for an operation to respond to large scale disaster, with a Surge assessment support team



ANNEXES

1. [The Leading Emergency Assessment & Planning \(LEAP\) Toolbox](#)
2. [The analytical framework, descriptions and analysis plan](#)
3. [IFRC Crisis severity level categories \(Yellow / Orange / Red\)](#)
4. [IFRC and the use of the DEEP. A tool for secondary data analysis.](#)
5. [Hazard APP for rapid data collection.](#)
6. [Hazard APP for rapid data collection.](#)
7. [A proposed approach to strengthen NS Assessment capacity.](#)
8. [The LEAP role – profiles and technical competencies framework](#)
9. [Response options Analysis matrix template](#)
10. [An analysis of technologies & practices used for Needs Assessments.](#)

ANNEX 1. The Leading Emergency Assessment & Planning (LEAP) toolbox

The LEAP toolbox supports will Surge team members, LEAP and ENA field practitioners, as for National Societies in their preparedness and readiness strengthening initiatives.

The toolbox will be web-based and structured in two sections:

Essentials:

1. Key resources linked to the revised IFRC LEAP approach
2. Key resources supporting the process for Strengthening National Societies readiness for LEAP
3. Templates and other documents to support LEAP Surge deployment
4. Training materials

Additional components:

5. Identified resources to support various steps of the LEAP cycle

NOTE: The following table provides an overview of what the toolbox would contain. For any suggestion, please contact Arturo Garcia Fernandez gfurturo@gmail.com, Xavier Génot xavier.genot.fr@gmail.com, or Paco Maldonado francisco.maldonado@ifrc.org

Assessment & Planning in Emergencies (LEAP) Toolbox		<i>Green rows → already available</i>	<i>Blue rows → to be developed/revised</i>
Essentials			
1 Guidelines			
1.1	Operational Guidance: initial rapid multi-sectoral assessment 2014 (IFRC)	IFRC latest version of the operation guidelines for assessments	
1.2	Guidelines for assessment in emergencies 2008 (IFRC/ICRC)	Advice on how to carry out an assessment. Each assessment is different, reflecting this diversity.	
1.3	The Good Enough Guide ACAPS/NRC (2014)	The Assessment Capacities Project (ACAPS) and the Emergency Capacity Building Project (ECB) produced this guide to fill the gap that existed for a practical resource that pulls together the main lessons learned from various initiatives and experiences.	
1.4	MSCs to Gender and Diversity in Emergency Programming	Minimum standard commitments to gender and diversity in emergency programming	
1.5	The Red Cross Red Crescent Guide to Community Engagement and Accountability (CEA)	The CEA guide and toolkit provide practical information and tools on how to strengthen communication, engagement and accountability in emergency programs. It includes various useful tools for assessments, such as the CEA assessment checklist, a set of CEA questions to include in overall programme assessments and guidance on how to analyse CEA information.	
1.6	Sphere Project handbook		
1.7	Humanitarian Population Figures (2016 - IASC Information Management Working Group)	The objective of this guidance is to provide an overview of definitions, methods and good practice on how to derive overall, inter-sectoral humanitarian population figures. These include estimates of the number of people affected by a given emergency as well as in need of, targeted by and reached with humanitarian assistance.	
2 LEAP Templates			
2.1	Rapid assessment 24 & 72 hours	Basic ENA Questionnaire	
2.2	Secondary Data Review Matrix	Secondary Data Review Matrix	
2.3	Situation report template	ENA team activities	
2.4	48-hour report template	Phase 1 Initial assessment	
2.5	2 week report template	Phase 2 Rapid assessment	
2.6	1 month report template	Phase 3 In-depth assessment	
2.7	Response Options Matrix template	Supports the Response Options Stakeholders Workshop	
2.8	EPoA guidelines (DREF Template)	Template to facilitate the creation of a DREF	
2.9	Emergency Appeal	Template to facilitate the creation of the Emergency Appeal	
2.10	Operations Update	Example document that can be used for various contexts	
2.11	SOPs initial and rapid assessments	Basic description of initial and rapid assessments before applying the mission context	
2.12	NS ENA capacities & practices checklist	Simple checklist to evaluate the ENA assessment capacities & practices of a NS	
2.13	Assessment strategy		
2.14	Interpretation sheet template		
3 Surge assessment support team of specialists deployment			

3.1	Role profiles	Different profiles, competencies and key tasks for every member of the ENA team
3.2	Member ToRs	ToRs for each team member profile
3.3	Deployment SOPs	Surge deployment of LEAP specialists
3.4	Support documents	Introduction letters
3.5	Report Template: Findings and Recommendations	Template for the report to inform decision making progress after 48h/14d/40d
3.6	Report Template: ENA Narrative	Template for the Narrative Assessment Report to be shared internally/externally after the first 40 days
3.7	Questionnaire practice for enumerators	Short training for Field Coordinators on how to train enumerators to learn how to use a questionnaire (2 hours)
4. LEAP Training & Workshop content		
4.1	Strengthening NS ENA Workshop	Phase 2 for strengthening NS ENA capacity - pilot in 2017 (5 days). This can be adapted to consider the context of the given NS.
4.2	Surge LEAP Training	LEAP Training to build up Surge personnel, including LEAP Assessment Coordinator and Information Analyst role profiles. Pilot workshop in 2018 (5 days) to review training content and methodology. First training to be piloted in 2019.
4.3	LEAP modules for Surge	Module from FACT/RDRT trainings (1.5 days)
4.4	Primary data collection techniques training (5d)	Training on data collection techniques: <ul style="list-style-type: none"> - Collecting data - Interviewing people - Training enumerators The Data Analysis Workshop (see next) is part of this 5-day training.
4.5	Strengthening Analytical Thinking (SAT) training	SAT training for data practitioners, including LEAP Assessment Coordinator and Information Analyst role profiles. Pilot training in 2018 (5 days) to be replicated in 2019.
4.6	Mobile data collection	Training modules to be developed for LEAP role profiles and other IFRC data collectors. <ul style="list-style-type: none"> - Understanding objectives of data collection - Building questionnaires - Acquiring, cleaning up and protecting data - Data analysis and dissemination
4.7	Analysis Spectrum (ACAPS)	Infographic describing the different levels of analysis Could be used for training or awareness purpose.
4.8	Common Cognitive Biases In Humanitarian Analysis (ACAPS)	Infographic describing the different type of cognitive biases. Could be used for training or awareness purpose.

4.9	Emergency Needs Assessment and planning process (IFRC)	Infographic describing the 5 steps of Emergency Needs Assessment and Planning Process (contextualize, Design, Acquire, Analyse, share), with key related activities and potential outputs. This has been developed as the main support document to architecture new LEAP training, piloted in July 2018.
4.10	Sources of error in humanitarian assessments (ACAPS)	Infographic describing the main sources of error in humanitarian assessments, with the type of errors, examples and mitigation measures. Could be used for training or awareness purpose.

Additional		
5 Guidelines		
5.1	Needs Assessment Handbook (UNHCR)	The Needs Assessment Handbook consolidates existing policies, practices and guidance, and represents the first guidance UNHCR
5.2	Building an effective assessment team (ACAPS -2012)	Effective guideline on how to build a field assessment team, including a day-to-day plan
5.3	Profiling and assessment guideline (JIPS/ACAPS)	Guideline outlining the processes of profiling IDP situations and conducting joint assessments.
5.4	What's VCA (IFRC)	Collecting, analysing and systematising information on a given community's vulnerability to hazards in a structured and meaningful way.
5.5	MIRA (IASC – 2015)	An assessment tool that can be used in sudden onset emergencies, including IASC System-wide level 3.
5.6	IASC Guidelines on the Humanitarian Profile Common Operational Dataset (IASC – 2011)	An attempt to account for, on an ongoing basis, the number of people having humanitarian needs arising from a given emergency.
5.7	Analysis Humanitarian Work	ICRC Guidelines on acquiring and analysing data in support of evidence-based decisions
5.8	Assessing Economic Security	ICRC Ecosec Guidelines on assessing Economic Security
5.9	Data protection and humanitarian Law	ICRC Handbook on data protection in humanitarian action
5.10	Community Engagement and accountability toolkit	This toolkit contains tools that can help National Red Cross and Red Crescent Societies – as well as other organizations – to assess, design, implement, monitor and evaluate community engagement and accountability activities in support of programmes and operations. The toolkit should be used in conjunction with our CEA Guide.
5.11	BPI – Do not harm	NS & IFRC guidelines on how to integrate BPI in tools, guidance, assessments and activities To avoid unintended negative consequences (e.g. discrimination, exclusion or violence), maximize impact and ensure access.

5.12	Guidance on Emergency Plan of Action (for IFRC Staff) including accessing DREF and emergency appeal as funding mechanisms (2012 IFRC)	<p>This step-by-step guide is aimed at guiding the International Federation of Red Cross and Red Crescent Societies' (IFRC) secretariat staff to support National Societies in:</p> <ul style="list-style-type: none"> • going through the planning, monitoring and reporting process for emergency operations • developing and revising an emergency plan of action (EPoA) • making a request for funding from the Disaster Relief Emergency Fund (DREF), if required • managing and reporting on DREF operations • preparing an emergency appeal, if necessary.
5.13	IFRC Recovery programming guidance 2012	These guidelines help to describe the main elements of a recovery programming approach required to deliver high-quality, timely and accountable humanitarian assistance. They were developed under the guidance of a steering group comprised of IFRC management and technical staff and key National Societies, as well as with substantial consultation from the Red Cross and Red Crescent Movement and the wider humanitarian sector.
6 ENA team deployment		
6.1	The use of tablets for Data Collection	Checklist of tests and verifications the field team should follow to ensure a smooth data collection process
6.2	Interviewing for data collection	Checklist and guidelines on how to interview someone from an affected area
6.3	GPS Guidelines for field teams	Short reminder on how to use a GPS for field practitioners
6.4	Sampling Techniques guidance	(rcmcash website) How to manage and effective and statistical significant sampling
6.5	Sampling Techniques	(rcmcash website) Sampling calculation formula document
7 LEAP Training & Workshop content		
7.1	Focus Group Discussion (JIPS)	Guidelines on how to handle Group Interviews
7.2	Focus Group Discussion Notes (JIPS)	Guidelines on how to document the results of a Group Interviews
7.3	Primary Data Collection Tablet use	Tablet use for Field Coordinators to train enumerators
7.4	Protection, Gender and inclusion for ENA	Volunteer Training (1hour) ⁵ .
7.5	Community Engagement and Accountability (CEA) training	Short introductory training for all staff to learn which minimum actions to take during a deployment to integrate CEA throughout the emergency response operation (2 hours)
8 Others		
8.1	Primary Data Collection matrix	Technologies available with advantages/disadvantages for each one of them.
8.2	Links to other ENA practitioner's websites	ACAPS / UNHCR The UN Refugee Agency JIPS : IDP profiling service

⁵ Stand-alone module that can be used as part of other trainings. It will be part of the main ENA training.

ANNEX 2. Analytical framework: Descriptions of analytical profiles, categories, pillars and sub pillars

CRISIS PROFILE	Pre-crisis vulnerability	<i>Background information on identified pre-existing problems, vulnerabilities and risks, that might have an impact on the humanitarian consequences of the shock and unfolding crisis. It should consider issues such as poverty, undernutrition or health risk profile. Historical data could help to identify patterns in priority needs. Past interventions provide evidence on how different groups might be affected differently.</i>
	Shock / crisis profile	<i>Descriptive Information on the <u>type of element or event</u> that produce undesirable effects on a define territory and population.</i>
	Humanitarian profile	<i>Flexible structure to record numbers of overall affected population in a predictable and systematic manner. This should look at classification of affected population groups in a given territory in an emergency response (Total, Affected, In Need, Targeted, Reached and Covered). Each of these sub-sets can be further broken down as required. People in Need are a sub-set of the Population Affected and are defined as those members whose physical security, basic rights, dignity, living conditions or livelihoods are threatened or have been disrupted, AND whose current level of access to basic services, goods and social protection is inadequate to re-establish normal living conditions with their accustomed means in a timely manner without additional assistance. For more information</i>
	Operational constrains	<i>Information on how people in need are able to reach and be reached by humanitarian aid. it covers the access of relief actors to the affected population, the access of the affected population to markets and assistance, and security and physical constraints affecting both humanitarian actors and the affected population.</i>
CONTEXT DISAGGREGATION	<i>Categories of analysis (sector, time, population and ethnic groups, geographical settings) Practical disaggregation for differently affected & non affected groups to drive analysis flow and focus through pillars and sub-pillars. It should look at multiple dimensions that are really specific to each post-disaster contexts as for instance urban vs rural, geography and climate, disaster various impacts, displaced and not displaced population, etc.</i>	
	<i>Information needs: The population's need for timely, actionable and potentially life-saving information in the midst of an emergency situation. People need information as much as water, food, medicine or shelter. Communication channels identification and status for reaching out communities in quickly, efficiently and at large-scale, using systems such as SMS, social media or radio broadcasts. An understanding of the community structures and power dynamics, how different groups of people (i.e minorities, women, men...) access and share information, what channels they have access to and which ones they trust, how they perceive the RCRC. The information needs of the different people in the community and the risks they face, which communication channels they have access to and trust. The socio-cultural environment, people's knowledge, attitudes and practices in relation to issues of concerns like shelter, nutrition, health, how they access information, current capacities within different groups. Critically, it is important to understand who are the 'gatekeepers' and more trusted individuals (influencers) within the community</i>	
ANALYTICAL PILLARS	SUB PILLARS	DESCRIPTION
SCOPE AND SCALE <i>Main drivers and effects of the crisis: Geographical scope and scale of the crisis, physical impact on infrastructure, system disruption, and size of affected population groups</i>	Drivers/aggravating factors	<i>Factor or set of factors that (can) trigger or expose to suffering or life-threatening conditions, differentiated by effects, from primary to secondary, such as a hurricane causing floods (primary effect) and triggering population displacement (secondary effects). Underlying factors are contextual elements that exacerbate the crisis or contributed to increased vulnerability, such as pre-existing food insecurity, lack of governance capacity, hazard-prone conditions, gender inequalities, social discrimination, remoteness.</i>
	Systems disruption	<i>Information about systems and networks that cease to function and impact service delivery, with potential or confirmed effect on availability and quality of services and goods. For example, any disruption to services such as education, social security, housing, health care, culture, markets, trading, and public administration services, whether provided by the public or the private sector.</i>
	Damages	<i>Information about total or partial destruction of infrastructure and physical assets existing in the affected area. For example, number of buildings, education and health facilities, government buildings, community infrastructure, cultural and religious centres destroyed. Basic infrastructure such as transport and communications (roads, bridges, ports, airports, and train lines, etc.), water and sanitation systems, irrigation systems, energy generation, distribution and supply lines. Agricultural infrastructure, industrial and commercial installations, and businesses and service-based industries.</i>
	Losses	<i>Changes in the economic flows arising from the destruction of assets. For example, decline in output in productive sectors (agriculture, industry, commerce, and services). Lower revenues associated with demand reduction due to the disaster, higher production and operational</i>

		<i>costs, including higher costs in the provision of services, e.g., education, health, water and sanitation, electricity, transport and communications, combined with an increased demand for social services by the affected population.</i>
HUMANITARIAN CONDITIONS <i>Humanitarian consequences of the crisis and resulting unmet needs. Should include considerations of which groups and sub-groups in a community are more affected, and/or most at risk.</i>	Impact on accessibility, availability, quality, use and awareness of goods and services	<i>Direct humanitarian consequences faced by the affected population and information related to access, availability, awareness, use and quality of basic/essential goods and services. For example, % of children with access to safe learning space, Number of people with more than 5l/d/p available, number of doctors per 1.000 patients, etc.</i>
	Impact on physical and mental well being	<i>Secondary effects occurring as a result of 1st level outcomes, and affecting directly the physical and mental health of the affected population. For example; acute malnutrition, diarrhoea, food insecurity, fear, illness, etc.</i>
	Risks & vulnerability / Vulnerabilities specific needs / coping mechanisms / early & self-recovery	<i>Risks & vulnerabilities: Situations that could potentially deteriorate and increase suffering or life-threatening conditions if the needs are not met. Risk is defined as a function of hazard, exposure, vulnerability and capacity, e.g. If humanitarian actors are not able to access the population before the end of the month, all communities in the rural north-eastern areas will face food security conditions 'emergency' or 'famine'</i>
		<i>Vulnerabilities and specific needs: The diminished capacity of an individual or group to anticipate, cope with, resist and/or recover from a disaster. E.g. Those who are injured and (chronically) ill are specifically vulnerable to malnutrition or Communities facing food insecurity due to lost crops.</i>
		<i>Coping mechanisms: Strategies or activities adopted by people, organizations and systems, using available skills and resources, to manage adverse conditions, risk or disasters. mechanisms that people choose as a way to live through difficult times. Some coping strategies are reversible, for example short-term changes to the diet, migration of individuals to find work, use of savings or solidarity networks. Other strategies may be damaging and tend to be harder to reverse, for example the sale of land or other productive assets, the intensive use of firewood leading to deforestation, taking children out of school to make them work (child labour) or prostitution.</i>
		<i>Early and Self-recovery: Early recovery is the process of people's lives returning to normal in the immediate aftermath of a disaster. Self-recovery is the process for people to be agent of their own early recovery.</i>
CAPACITIES AND RESPONSE <i>The ability of main stakeholders involved in the humanitarian response to meet the population's needs</i>	National Society capacity and response	<i>Capacity of the National Society and network to respond to the emergency. This should look at Governance, National, branches/chapters and community levels, It should consider surge impact, exit strategy, and NS response capacity, and potential gaps, through transition within multilateral and bilateral programming. It should factor NSs mandate and interaction with national response system; political and power relation within national context. It is recommended to include power and stakeholder analysis (external and internal).</i>
	National capacity and response	<i>Combination of strengths and resources within the community, society, government or national organizations being used to respond to a crisis.</i>
	International capacity and response	<i>Combination of strengths and resources within international organizations, UN agencies, donors and foreign governments being used to respond to a crisis</i>

Analytical framework: Analysis plan template

Pillar	Sub pillar	Indicator	Data	Data collection technique	Unit of analysis	Unit of Reporting	Report section	Visualization
SCOPE AND SCALE	Drivers/aggravating factors							
	Systems disruption							
	Damages and Losses							
HUMANITARIAN CONDITIONS	Impact on accessibility, availability, quality, use and awareness of goods and services							
	Impact on physical and mental well-being							
	Vulnerabilities specific needs, coping mechanisms, self-recovery & risks							
CAPACITIES AND RESPONSE	National Society capacity							
	National response							
	International response							

ANNEX 3. IFRC Crisis severity level categories (Yellow / Orange / Red)

As per IFRC Secretariat Emergency Response Framework – Roles and Responsibilities, April 2017.

Yellow	Responds to a localised emergency covering a small area or number of beneficiaries. This is normally managed at a country level (by a NS), with any necessary technical or management support provided by the RO (i.e. RDRT mobilisation). If necessary, the RO seeks support from HQ (i.e. DREF).
Orange	Responds to an emergency affecting a wider area (or areas) and a higher number of beneficiaries (including potential spread), and may also receive a level of international attention or experience a level of complexity. Technical and management support is still provided by the RO, but HQ is engaged at the start-up of the operation to provide DREF: technical quality assurance on Emergency Appeals and technical support or global Surge capacity as required and ensure global coherence and compliance with standards.
Red	Responds to an emergency of scale, affecting a wide area and high number of beneficiaries, with level of complexity or risk that makes it an organisation-wide priority for the IFRC secretariat at all levels. Based on the assessment and recommendation of the Regional Director and USG Programs and Operations, the SG will declare a Red level disaster or crisis, and may appoint an “Emergency Coordinator” at the level of a Regional Director or above to direct and manage the IFRC response. A separate guideline on responding to a Red level disaster or crisis will be developed. In the meantime, when relevant under the direction of the “Emergency Coordinator”, technical and management support is coordinated by the RO, but provided by both RO and HQ, and regular joint task force meetings are held to ensure effective management and information flow. Regional and global Surge capacity is activated per default (in consultation with NS). HQ takes on a stronger role in terms of global coherence and compliance with standards and there may be the need to establish support functions at the HQ, as well as the regional level.

ANNEX 4. IFRC and the use of the DEEP: The Data Entry and Exploration Platform

IFRC seeks to strengthen contextual analysis during the pre-crisis phase and first weeks following the onset of an emergency. To reach this goal, IFRC has initiated a journey to streamline secondary data analysis – to save time and resources for teams on the ground while ensuring an improved quality and analysis of secondary data.

IFRC has partnered with ACAPS the use DEEP: the Data Entry and Exploration Platform. DEEP is open-source software that offers the opportunity to tag documents, web-pages and other content, using a pre-defined Analytical Framework that will improve secondary data analysis. With this software IFRC

and other humanitarian agencies can work together for a more robust collaborative approach to Secondary Data Analysis. Within the humanitarian Information Management community, DEEP has emerged as a key tool for joint and collaborative secondary data analysis.

The IFRC successfully piloted the DEEP for several recent disasters, and is planning to officially adopt DEEP in collaboration with ACAPS in the first trimester of 2018.

For more information, contact the EOIM team in Geneva or follow the link to the DEEP platform <http://www.thedeep.io/>

ANNEX 5. Hazard App for rapid data collection

Red Cross and Red Crescent Movement has the unique opportunity to access an enormous network of volunteers. Compared to other humanitarian actors, National Societies have unique access communities in need when disasters occur - even in the most remote areas.

To better support the National Societies, assist these communities, the EOIM Team of the IFRC in Geneva is looking to partner with the Global Disaster Preparedness Centre (GDPC). Together they will implement a mobile application that can reach out to volunteers of the Movement of the Red Cross and Red Crescent to collect data rapidly.

The proposed mobile application can work via social media through the “Hazard App” of GDPC, and via SMS in situations where mobile internet connection is not accessible or stable enough. It will give volunteers the ability to respond to

eight standard questions⁶. Reference Group 3 of the Surge Optimisation Process will design and fine-tune these questions.


The SMS / social media responses⁷ will be centralised on the Go Platform to provide a real-time overview of priority needs, the geographic scope and extent of the disaster. This data will also be available to other humanitarian stakeholders. This will position the IFRC and the National Societies as unique data providers for the broader humanitarian system in a given operation.

The EOIM Team expects to pilot the mobile application in 2018 with a view to full implementation in emergency responses that involve the IFRC by 2019.

To learn more about the Hazard App, contact the EOIM Team of the IFRC in Geneva.

⁶Details on how this survey will be done administrative areas/geographical hierarchies etc will be defined by the Surge assessment team and the NS in each case.

⁷Go : for a more detail description of functionalities and roll-out plan please check the GO presentation: ifrcgo.org/presentation ->Phase 3 (Expected Late 2018)



PREPAREDNESS OF EFFECTIVE RESPONSE

Overview

Preparedness for Effective Response (PER) is a cyclical approach for a National Society (NS) to systematically assess, measure, and analyse the strengths and weaknesses of its response system. The PER approach puts the NS in the driver's seat to construct a work-plan that when implemented should improve its overall response capacity. PER is not a new approach, but most certainly improved, drawing on lessons from two decades of learning from the Well-Prepared National Society (WPNS) and Disaster Response Capacity Enhancement (DRCE) initiatives. The approach is based on foundational RCRC documents including the National Disaster Preparedness and Response Mechanism (NDPRM), the Principles and Rules for RCRC Humanitarian Assistance, and the IFRC NS Development Framework. The approach complements other major RCRC Movement tools including the Organisational Capacity Assessment and Certification (OCAC), Branch Organisational Capacity Assessment (BOCA), and Safer Access Framework (SAF).

Vision

All National Societies within the Red Cross Red Crescent Movement are able to objectively demonstrate an improved ability to respond effectively and efficiently with timely and appropriate actions that meet the needs of those most affected by disasters and crises.

Principles

- ① Strengthen National Society leadership in emergency preparedness
- ② Measure changes in disaster preparedness and response capacity over time
- ③ Connect the preparedness for response approach with other National Society development plans
- ④ Promote a bottom-up approach
- ⑤ Work towards a continuous participatory planning process
- ⑥ A practical, scalable, and adaptable approach
- ⑦ Optimize sharing and collaboration between National Societies
- ⑧ Build understanding of a systematic inter-disciplinary preparedness for response system

Phases



The PER approach consists of five equally important phases. Establishing understanding, commitment and ownership of the PER approach with the NS is critical for ensuring success. The **Orientation Phase** provides an overview of the PER approach for the NS before engaging in the process. The **Assessment Phase** examines each component of the NS's response system and assigns a rating based on pre-defined benchmarks. During the **Prioritization & Analysis Phase**, the NS narrows down which components it needs to focus on and completes a root-cause analysis to determine the factors which are preventing improvement. The NS uses the root-causes identified in the Work-Plan Phase to develop a well-defined road-map for strengthening its response capacity, including outcomes, outputs, activities, timelines, targets and a clear accountability framework. During the **Action & Accountability Phase** the NS implements the work-plan and monitors and reports on progress.

ANALYSIS AND PLANNING



COORDINATION



NDP

Business Continuity Emergency Response Procedures Response and Recovery Planning Pre-Disaster Meetings and Agreements

Relations Community Level Responders with Private Sector

NDPRM Areas and Components

OPERATIONAL CAPACITY

 NS-Specific Areas of Intervention	 Mapping of NS Capacities	 Early Action Mechanisms	 Cash Transfer Programming	 Emergency Needs Assessment
 Beneficiary Selection	EOC Emergency Operations Centre	IM Information Management	 Testing and Learning	 Activation of Regional and International Support

POLICY, STRATEGY AND STANDARDS

 RC Auxiliary Role, Mandate and Law	 Disaster Risk Management Strategy	 DRM Policy Disaster Risk Management Policy
 DRM Laws, Advocacy and Dissemination		 Quality and Accountability

OPERATIONS SUPPORT

 Safety and Security Management	 Operations Monitoring, Evaluation, Reporting and Learning	 Finance and Admin. Policy and Emergency Procedures	 Information and Communication Technology
 Logistics, Procurement and Supply Chain	 Staff and Volunteer Management	 Communication in Emergencies	 Resource Mobilization

Additional information

For more information on the Preparedness for Effective Response approach, please contact your IFRC's Disaster and Crisis (DCPRR) counterpart in country, regional offices or Marjorie Soto Franco marjorie.sotofranco@ifrc.org, Senior Officer, NS Preparedness at DCPRR department in Geneva.

ANNEX 7: A proposed approach to strengthen National Societies preparedness for LEAP.

This section presents a proposed initiative to increase National Society capacity to deliver high quality ENA independently.

Activities included in this three-steps process should not be seen as mandatory, but as recommended to enhance National Societies readiness for LEAP. The process must be adapted to each National Society, depending on context and resources available, and it is linked with the Preparedness for Effective Response (PER) common approach which includes the enhancement of NS capacities in line with the National Disaster Preparedness and response Mechanisms (NDPRM) components⁸.

Philippines example apply to this as Philippines Red Cross (PRC) recently conducted a PER Operational capacity assessment and one of the components look at the ENA capacity in the NS. This model is based on the pilot developed in 2017 for steps 1.1 to 1.4. Steps 2 would be implemented in 2018 to contribute to PRC preparedness to the next typhoon season.

This is a draft version to be revised by IFRC colleagues from RO and HQ, involved in NSs PER approach. Templates and check lists to assess NSs capacities for ENA will be included in the toolbox..

⁸ ENA being one of those components.

Three-step process for strengthening NS preparedness for LEAP (as part of Preparedness for Effective Response)

STEP 1: Scope, assess and plan

1.1 NS requests assistance from IFRC CO or CCST office

1.2 LEAP readiness assessment

- ✓ Appoint focal points at NS and IFRC levels (CO, CST, RO and/or HQ)
- ✓ Desk review, mapping and analysis of NS existing practices, tools and procedures

1.3 LEAP planning workshop preparation

- ✓ Establish objectives and timeframe
- ✓ Choose facilitators, including skilled assessment specialist, information manager and RCRC specialist
- ✓ Select NS participants from HQ and chapters: ENA practitioners, Disaster Management staff, decision makers and in-country Movement partners.
- ✓ Adapt workshop package sessions, and prepare expected outputs
- ✓ Send NS LEAP capacity online survey to NS and in-country Movement partners. Analyse results to identify gaps and strengthen priorities

1.4 LEAP planning Workshop

✓ Joint situation analysis

- Identify expectations from participants
- Present and discuss survey results
- Participants develop the LEAP SWOT for their National Society

✓ LEAP outputs review and draft

- ENA approach and timeline
- Map key information needs
- Data collection SOPs
- ENA SOPs
- PGI in assessment + Community Engagement and Accountability
- Analytic framework
- Analysis cycle
- Response option matrix
- Reporting needs and ENA outputs

✓ Define the LEAP roadmap

- Validate the workshop's outputs
- Define LEAP Plan of Action and readiness ⁹ package potential content
1.5 LEAP POA Validation and course of action
✓ Draft resource mobilisation plan
✓ Draft the LEAP TWG TORs including membership; should include NS decision makers, ENA practitioners, disaster management, sectors and support services.
✓ Validate LEAP POA and Technical Working Group TORs by NS senior management and IFRC CO or CCST focal point
STEP 2: Deliver the LEAP package
2.1 Activate LEAP Technical Working Group
✓ Finalize and validate the ENA framework, analytical framework and other LEAP outputs and templates.
✓ Establish and feed data repository with CODs and other pre-disaster datasets
✓ Finalize and validate the LEAP readiness package with guidance, SOPs and toolbox
2.2 Peer review workshop
✓ Endorse all LEAP package components with decision makers
✓ Define objectives and planning for simulation
2.3 LEAP pilot training and simulation
✓ Develop training package
✓ Pilot training package
✓ Deliver initial training and approach
✓ Conduct small-scale simulation on LEAP cycle with technical stakeholders
2.4 Finalization of the LEAP readiness package
✓ Revise outputs and package from simulation performance & learning
STEP 3: Disseminate and roll out
3.1 Define the strategy
✓ Establish timeframe, activities and identification of resources required for the LEAP package
✓ Establish scope of further trainings and/or simulations
3.2 Dissemination of the LEAP package
✓ Official launch of the LEAP readiness package

✓ Disseminate to NS chapters and humanitarian stakeholders
3.3 Training programme
✓ Identify focal point for roll-out of training packages
✓ Establish training needs and NS audiences
✓ Identify best channel for training (face to face, e-learning) and required resources
✓ Develop training packages (may include basic, middle level, advanced, refresher, decision makers, technical staff)
✓ Deliver training to NS
✓ Conduct a training of trainers
3.4 Operational learning
✓ Monitor use of the LEAP approach during real events
✓ Conduct after-action review and lessons learnt
✓ Adapt assessment and training packages to reflect on lessons learnt from pilots
✓ Communicate lessons learnt to Region and IFRC and NS

⁹ LEAP POA and readiness package: based on the results of the workshop a Plan of Action and readiness package can be defined and validated.

ANNEX 8. LEAP role – profiles and technical competencies framework

1. Introduction to the Surge Core Competency Framework

Background

The [Core Competency Framework \(CF\)](#) for Surge Delegates is an underpinning element of Surge Optimisation and Operational Excellence, and is key to ensuring that recruitment and deployments are managed with equal access for all Surge personnel, based on a framework of technical, managerial and leadership competencies. The multilateral nature of the Surge tools – people from all parts of the Movement working together to deliver in an emergency response – means that there is a need for a consistent framework for recruitment, development and management of performance. It is recommended before reading the Assessment CF as a first step to go through the Core Competency Framework (CF) document and understand its structure and tiered approach.

Structure of the assessment competency framework

There are 6 different domains of competencies and three tiers of competencies, each with a set of behavioural indicators, and each tier builds upon the indicators set out in the previous tier. In other words, the Tier 2 competencies assume that all of the Tier 1 competencies have been met and Tier 3 assumes all of Tier 1 and Tier 2 have been met. Each tier assumes a level of competence is acquired in the related competency by the team member. The tier definitions are as follows:

- ✓ Tier 1: Displays a practical understanding of effective day to day behaviours for this competency and able to function effectively as part of a RC team.
- ✓ Tier 2: Displays impact for this competency by providing advice and guidance to others within a defined scope. Translates strategic decision into sectoral direction.
- ✓ Tier 3: Models the behaviours and creates an environment which enables the behaviours to be displayed. Operates at a strategic, multi-sectoral level in a response of any magnitude.

2. LEAP Technical Competencies Framework

	Domain	Tier 1	Tier 2	Tier 3
1	Understanding humanitarian needs assessment	<ul style="list-style-type: none"> > Describes the principles, purposes, approaches and global standards to assessment and IM. > Describes the assessment cycle (including preparedness), types, inputs and outputs. > Identify who are LEAP internal and external stakeholder and outline their role. 	<ul style="list-style-type: none"> > Analytically compares different approaches and types of assessment. > Explains strategies to overcome "none functioning" issues in the assessment/IM process. > Applies global standards and principles in assessment/IM. > Identify which are the relevant external stakeholder (including their outcomes, methodologies, etc) to engage with in operations > Implements the assessment/IM strategy, including applying 	<ul style="list-style-type: none"> > Design, implement, monitor, evaluate and adapt a full assessment/IM strategy in a complex setting. > Apply and evaluate strategies to overcome the critical issues or gaps related to assessment/IM in complex settings. > Revise and appraise external stakeholders role and responsibilities,

> Identifies ethical considerations and risks in assessment (related to protection, gender and inclusion, privacy, confidentiality, community engagement and accountability, relevance, coordination, bias, accuracy, etc.).

preparedness measures for capacity reinforcement for National Societies. outcomes, etc.

2	Assessment Planning	<ul style="list-style-type: none"> > Identifies the availability of "needs and response data" and information gaps. > Estimates resources required for data collection. > Identifies the main Movement assessment and external stakeholder and recognize their role in preparedness and during disasters. > Demonstrates knowledge of CODs and international data standards. 	<ul style="list-style-type: none"> > Designs context specific baseline and Movement coordinated assessment strategy. > Estimates accurately time and resources needed for data collection, analysis, dissemination and feedback to the population. > Evaluates NS capacities and implements and facilitate realistic plans for capacity building of National Societies. > Ensures that COD meets minimum standards in topology and attributes. 	<ul style="list-style-type: none"> > Judges and evaluates the effectiveness and efficiency of an assessment/IM team work planning. > Develops quality control measures, appropriate monitoring of data collection and ongoing surveillance of humanitarian needs, response activities and gaps. > Evaluate models for capacity building of NS, Movement partners and team members and implement corrective measures.
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- 3 **Design of data collection processes**
- > Identifies categories, datasets, sources of secondary and primary data.
 - > Distinguishes between different data collection methodologies, techniques, phases, tools.
 - > Lists resources needed for a data collection exercise (primary and secondary).
 - > Recognizes different categories for disaggregating data.
 - > Defines different approaches for designing data collection.
 - > Use of data protection principles
- > IM: Applies basic statistics.
 - > IM: Explains how data management fits within different steps of the IM cycle
 - > IM: Demonstrates familiarity with the structures of databases for secondary data review
 - > IM: Applies basic technologies including excel and spreadsheet, google drives, smart sheet, etc.
 - > IM: Identifies and triangulates sample estimates.
- > Recognizes the purpose, strengths and weaknesses of different methodologies, techniques and tools, applied in different humanitarian settings.
 - > Designs data collection, targeting and surveys for multisector purposes in a mid-scale emergencies and non-complex setting.
 - > Explains the implications of the use of the different categories in data desegregations.
 - >Evaluates NS assessment capacity for data collection and implement learning initiatives for data collection.
 - > Demonstrates familiarity with best practices and standard for data collection design.
 - > Apply of international standards, data privacy, open data policies, etc.
 - > IM: Develops and implements contextualized integrated mechanism for data gathering and IM.
 - > IM: Applies and explains basic technologies in data collection.
 - > IM: Designs population sample surveys including size determination according to minimum required precision.
 - > IM: Adapts the IM strategy for the data collection.
- > Evaluates the effectiveness of the data collection designed methodologies, techniques or tools in complex settings.
 - > Designs data collection for multisector purposes in a complex setting that is inclusive of Movement partners and other external stakeholders.
 - >Set up a strategy for NS capacity building in LEAP in data collection.
 - > Identifies and forecasts risks of data collection tools and technologies.
 - > Advocate of international standards, data privacy, open data policies, etc

4	Data collection, processing, protection and privacy	<ul style="list-style-type: none"> > Collates, tags and organizes data. > Applies primary data collection techniques (observation, interviews, focus groups, surveys...) and identifies constraints. > Enters GPS coordinates into the designed worksheet. > Uses and applies Excel as tool for basic IM. > Implements primary data collection and carries out assessments. > Explains data collection activities and objectives to the population. > Carries out data collection techniques with respect for and sensitivity to the affected population. > Identifies and reports any constraints or gaps in the application of tools and proposes improvements. > IM: proficiency using spreadsheets and databases for data collection, storage, analysis. > IM: able to make sense out of the data collected, through transferring information into meaningful products (Dashboards, maps, reports, etc) 	<ul style="list-style-type: none"> > Applies and structured approach to collate, archive and synthesize information. > Sets up the pilot phase and trainings for team members. > Analyse collected information, ensuring coherence. > Ensures accurate and reliable data are collected, stored, analysed and shared in a timely manner. > Demonstrates familiarity with best practices and standard for data collection. > IM: informs relevant IM risks related to the tool, methodology, context, etc. > IM: explains spreadsheets, pivot tables and databases for data collection, storage, analysis to members of the team. > IM: Critiques/defends the effectiveness of the data collection tool/process design. > IM: Explains the limitations of the data (data health check) > IM: Differentiates which could be the best way to visualize data. 	<ul style="list-style-type: none"> > Evaluates the objectivity, validity, reliability, relevance of the data collected. > Creates an assessment coordination mechanism for the implementation of the data collection with Movement partners. > Coordinates data collection exercises from the IM/technical/admin/logistic side. > IM: Evaluate the data collection plan and strategy and set up improvement measures.
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5	Analysis (basic and joint) <ul style="list-style-type: none"> > Recognises patterns, identifies extremes and detects trends. > Describes and uses exploration tools and techniques for qualitative and quantitative data. > Describes what an analytical framework is and how to use it. > Identifies source errors, biases and ways to mitigate them. > Lists the main steps/components of an analysis plan. > Explains what is scenario building and response options process. > Assesses reliability, credibility and accuracy of the source of information. > Verifies assessment findings through consultations with local community representatives. 	<ul style="list-style-type: none"> > Applies the analytical steps to qualitative and quantitative information from a wide range of sources. > Designs an analysis plan with different approaches (targeted at specific audiences). Applies appropriate strategies to describe, explain and interpret relationships between data. > Applies methodologies to forecast and predict the evolution of a situation. > Explains what an analytical framework is and applies it. > Demonstrates the application of collective and inclusive analysis with sectoral specialists to ensure common understanding and common planning. > Formulates alternate hypotheses or explanations based on a set of data. > Applies scenario building and response option analysis in a multi-stakeholder setting. > Applies facilitation techniques for data validation process and conflicting information. > Applies different methodologies for response options and programmes to respond to the needs. > Explains recommendations based on gaps analysis. > Recognizes methods for validating assessment results. > IM: Applies techniques to rate and rank humanitarian information. > IM: Analyses survey data 	<ul style="list-style-type: none"> > Advocates the added value of joint analysis of information with NS and other Movement partners. > Contracts, compares, concludes and criticizes results of analysis and is able to reorganize it based on gaps found. > Summarizes and interprets intersectoral analysis. > Revises approaches for scenario building and response option analysis in a multi-stakeholder setting in a given operation. > Chooses and justifies which analytical framework fits better in a certain context.
6	Reporting assessment outputs <ul style="list-style-type: none"> > IM: Applies data visualization, graphs, maps and table design from analysed data. 	<ul style="list-style-type: none"> > Ensures production of technical reports. > Identifies opportunities for dissemination. > Recognizes differences in the needs of audiences and modifies reporting accordingly. > Applies changes to reporting outputs depending on the audience. > Synthesis assessment results and adapt it for several audiences. > IM: Identifies strengths and constraints of data visualizations (including graphs, maps, dashboard, etc) and reorganizes according to context, audience. 	<ul style="list-style-type: none"> > Compares and contrasts visual outputs. > Critiques and interprets technical reports. > IM: Sets up data visualization strategy and estimates the resources needed.

3. LEAP 4 role profiles.

As part of the Surge Optimisation project, role profiles will be developed for all Surge staff positions. Each role profile will consist of the combination of technical and core competencies required to carry out a specific role in a Surge response, whether deployed nationally, regionally or at a global level.

Role profile = role (a description of the job to be carried out) + profile (the combination of technical and core competencies required to carry it out). That profile will set out the competencies required to deliver that role and at which tier they are required.

Fig. 1. This table is the second draft to describe the 4 identified LEAP Surge role profiles. Main roles and tasks for each of the 4 LEAP Surge team members has been identified by participants to the RG3 October meeting, and are under revision for the next iteration of this document

Assessment Coordinator (AC) (In country)	Information Analyst (IA) (in country)	Field data collection responsible (In country)	Secondary data collection responsible (remotely or in country)
<ul style="list-style-type: none"> ✓ Lead the Surge assessment team and oversee the responsibilities of other team members ✓ Manage the assessment and the availability of appropriate financial, material and human resources ✓ Support NS for coordination with stakeholders regarding ENA ✓ Support NS in design and timeliness of the overall assessment(s) approach and capacities identification ✓ Ensure strategies are in place to reduce impact of biases and improve quality, credibility and rigor of the needs analysis and planning phase ✓ Discuss and validate the analysis framework with NS and external stakeholders ✓ Discuss and validate the findings of the assessment with key stakeholders and experts, internally and externally ✓ Ensure that reports are accurate, comprehensible, clear and simple. ✓ Look for potential risks or harm or opportunities regarding APIE process and outputs ✓ Represent the assessment team at in country task force or assessment working groups ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities 	<ul style="list-style-type: none"> ✓ Assess information landscape and information gaps and recommend adapted assessment approaches to NS and assessment coordinator ✓ Develop analysis framework and plan adapted to decision making and planning in emergencies ✓ Support, advise or lead the assessment design, analysis and reporting based on the analysis framework ✓ Coordinate, support or advise on primary and secondary data collection, management, storage and archiving ✓ Process, reconcile and compare all secondary and primary data ✓ Select and implement structured analytical techniques to improve the quality, credibility and rigor of the analysis. ✓ Communicate clearly and graphically key messages of the assessment(s) as well as the confidence in the results ✓ Technical focal point for remote and in country technical support. ✓ Oversee timely development and usability of ENA outputs for planning purposes, in liaison with PMER team ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities 	<ul style="list-style-type: none"> ✓ Ensure data collection activities and approaches are aligned with the analysis framework and plan ✓ Support NS in the supervision and training of data collector teams and the management of field data collection activities ✓ Ensure data collection approaches, techniques are conducted in a transparent, ethical and participatory way ✓ Ensure data collection tools provide with timely, accurate and unbiased data ✓ Ensure collected data is safely archived, stored and cleaned based on current best practice ✓ Support NS in the appropriate selection of geographical areas and population groups for assessment ✓ Coordinate with stakeholders in the field and ENA focal point at hub level if needed ✓ Report on current field data collection progress and challenges to NS, AC and IA ✓ Support the analysis and the reporting of the collected data in collaboration with team leaders and the information analyst ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities 	<ul style="list-style-type: none"> ✓ Ensure secondary data collation activities and approaches are aligned with the analysis framework and plan ✓ Supervise, train and organize the secondary data team members ✓ Develop strategies, procedures and team approaches to timely identify, capture and organize relevant pre- and in-crisis data based on the analysis framework and plan ✓ Report on current secondary data collation progress and challenges to NS, AC and IA ✓ Support the regular analysis and the reporting of the collated data in collaboration with team members and the information analyst ✓ Ensure lessons learnt are captured and feed into country and global level guidance or assessment preparedness activities

Fig. 2. The table below is matching the competency domains by tiers with the Surge assessment role-profiles.

Competencies			Assessment Coordinator (AC) (In country)			Information Analyst (IA) (in country)			Field data collection responsible (In country)			Secondary data collection responsible (remotely or in country)		
	#	Domain	Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3	Tier 1	Tier 2	Tier 3
2. Technical competencies	1	Needs assessments & planning in emergencies												
	2	Assessment design & planning												
	3	Data collection, management and protection												
	4	Analysis (including joint processes)												
	5	Reporting and dissemination												
3. Core competencies	6	Coordination												
	7	Communication												
	8	Information management												
	9	Judgement and decision making												
	10	Problem solving												
	11	PGI												
	12	CEA												
	13	Environmental sustainability												
	14	Team management												
<p>Tier 1: Displays a practical understanding of effective day to day behaviours for this competency and able to function effectively as part of a RC team.</p> <p>Tier 2: Displays impact for this competency by providing advice and guidance to others within a defined scope. Translates strategic decision into sectoral direction.</p> <p>Tier 3: Models the behaviours and creates an environment which enables the behaviours to be displayed. Operates at a strategic, multi- sectoral level in a response of any magnitude.</p>														

ANNEX 9. Response Options Analysis matrix template

Guidance: This tool is designed to support decision making process, by helping to think through all the considerations of different programming response options in a structured way.

This should be informed by the key findings of Emergency Needs Assessments, including identification of the most vulnerable groups and sub contextual groups (ie urban vs rural) This participative tool could be used during the workshop that should be organised before revision of the EA and EPoA.

It can help you to identify the various plan with your team as well as communicate your decisions transparently to others including your donors. The menu of options to consider is just that a generic list of things you can consider that you can adapt or add to depending on your local context. Response Option Analysis should place emphasis on the priorities and strategy of the National Society when selecting appropriate options

For each option to consider you can use a simple scoring system (such as 1-5 with 5 meaning strongly agree and 1 meaning strongly disagree) along with

any specific comments you feel are relevant. At the end add the total score for each response options, these can then be ranked.

Those with the highest scores could be more suitable, if you feel they are not relook at your scores. At the end the decision for which programming options you implement is up to you and your team, this matrix can only help you to make that decision.

It can only be used to provide scores for alternative approaches to exactly the same problem. If attempts are made to compare unlike elements (water supply and shelter for example) in the same process it produces erroneous results. Similarly, it does not work well in comparing elements of integrated responses and additional analysis is usually required to cross-reference such components

Response Options Analysis is only as good as the selection of criteria (and associated weighting, if it is used). As such, it should be considered advisory. It does provide a justification for decisions which is valuable, and decisions to adopt alternate approaches should likewise be documented and justified.

General Data - Programming response options									Menu of options to consider (adapt these and changes as necessary)																						
Response Option (RO)	Timing and duration of RO	Who is targeted by the RO	Expected outcome of the RO	Scale #HH		Cost per HH, CHF		Total cost, CHF		In line with NS Plans, Capacities and mandate		In line with community priorities and capacities		In line with Government Priorities		The RO can be implemented in time (consider seasonality)		The impact of RO is high and represents good value for money		The RO provide good opportunities for sustainability		The RO has a low chance of any adverse or negative effects on populations or the economy		Implementing the RO is feasible and risks can be managed		There are the resources available		Overall score			
				Min	Max	Min	Max	Min	Max	Score	Comment	Score	Comment	Score	Comments	Score	Comment	Score	Comment	Score	Comment	Score	Comment	Score	Comment						

ANNEXE 10: An analysis of technologies & practices used for Needs Assessments.

The purpose of this annexe is to give a first status report on the current situation of the use of different technologies that are currently being used to carry out Needs Assessments both by IFRC and NS teams.

This situation report is not yet finished as there are still some topics where the current situation is changing and volatile. The GO project, currently under development¹⁰, is likely to change the way some of these are used as it will make some possibilities feasible correcting some of the inconveniences of those tools as they are currently.

This Annexe is separated into:

- ✓ Technology for secondary data collection - all phases
- ✓ Technology for primary data collection observation/purposive – 2-14d (includes drones, volunteer recording using mobiles)
- ✓ Technology for primary data collection interview/representative – 15-40d
- ✓ Technology for primary data analysis – 15-40 days
- ✓ Presentation/display of assessment information - all phases

So far we have identified the following main areas of interest:

¹⁰ Go : for a more detail description of functionalities and roll-out plan please check the GO presentation: lfrngo.org/presentation ->Phase 3 (Expected Late 2018)

¹¹ Global Disaster Preparedness Center: [GDPC_SMAT_Short-Report-for-GDPC_Final.pdf](#)

Technology for secondary data collection (all phases 0-48h, 2-14d, 15-40d)

- Big data tools: Social Media, SMS

There are other sources of what we may call “big data”, e.g., cell phone movement data, social media data (Facebook, Twitter, etc) that may also be used as sources of Secondary Data information.

Social media increasingly forms part of our lives and gives a valuable means to prepare for and respond to a disaster. As of today there is not a common approach within the National Societies on how to gather or analyse available data through the use of “Social Media Analysis Tools”.

There are a number of barriers¹¹ to the use of social media tools. Depending on local capacities (including financial ones) different National Societies either do not follow the Social Media during a crisis or disaster or have a dedicated team for this tasks.

Though some studies are ongoing at the moment it is yet not clear whether those tools may be used to get assessment information and if so how: their use seems to be more applicable to the spread of desired messages to the population both during the preparedness and during the emergency phases¹².

For Surge deployment currently there is not support available to use the information available through the use of these systems. In the current state of the development of GO it is foreseen that, by the end of 2018, the platform will allow the use and analyse of messages sent through these technologies for the proposed strategy highlighted in the approach to use the Volunteers as Key Informants.

¹² Detailed information may be found in the toolbox in the following documents: (complementary, 5. Others): “Humanitarian Futures for Messaging Apps” (ICRC), “How to use Social Media” (ICRC, IFRC, OCHA), “Comparative Review of Social Media” (GDPC)

As the use of those tools is dependent on the actual IT context of the country where the disaster has struck and the state of the use of those tools by the volunteers of the affected National Society it is recommended to use this approach in pilots in different National Societies before deciding whether the use of these tools is helpful for the overall ENA approach.

Technology for primary data collection observation/purposive – 2-14d (includes UAVs, volunteer recording using mobiles)

- UAVs (Unmanned Aerial Vehicles)

Though some studies have been done or are ‘work in progress’¹³ more needs to be done on this regard. The actual consensus in the overall humanitarian community seems to be that there is some potential to use them during the assessment phase (mainly in what we have called “Phase 1” and “Phase 2” in our approach document) there are still barriers to their use:

- Regulations:
This presents a challenge especially when considering the limitations imposed on operators to maintain visual contact with the UAV at all times.
- It is in some cases possible to gain permission for “Beyond Visual Line of Sight” but it is usually a complicated process and needs to be done in a case by case (per country) basis as there are not yet international regulations and countries are formulating their own regulations.
- There may also be restrictions on what kind of licence the operator needs to have to be able to fly a drone. This adds up to the difficulty of having a “roster” of trained resources on the use of UAVs.
- The existence of a number of different available models makes it even more difficult to have a common roster of resources with

the capacity to fly UAVs. Some of the current models available required only limited technical skills particularly if used at small scale.

- UAVs may be used for supporting damage assessments, follow the changes in the situation and monitor changes but it will always be within a limited zone: it may not be easy to cover the same ground as the deployed field teams need to cover.
- The usage of the data gathered by the UAVs is not straightforward: expertise is required to be able to patch all the information together to be able to use it meaningfully.
- The need to agree on the use of the drones with the community: there is a risk a UAV may be linked somehow with a military use, therefore causing a risk to the assessment itself.

Another topic to consider, when using UAVs, concerns privacy and ethical concerns related to the use of the data gathered with the drones. The continued sharing and coordination within existing forums will help facilitate the innovation process, acceptance and the dedicated use of UAVs. As of today it seems other organisations and UN agencies have more expertise and experience running drone data collection operations.

Due to those current difficulties to put a Surge system in place the current proposed strategy is to coordinate in the field with other agencies and the urge Team so that the Surge assessment team get the information generated by others with the expertise and experience.

¹³ Reports from the American Red Cross and the Australian Red Cross, from their different zones of intervention, are expected in the coming weeks.

Technology for primary data collection interview/representative – 15-40d

In the following table you can find a basic analysis of the three main tools being used, each with their advantages & disadvantages. Though the main functionality provided is the same, each tool has different characteristics that make them more or less appropriate depending on the context where the assessment is being carried out. The Information Analyst may decide, upon consideration of all field factors and context, which one is the most appropriate for each case.

It is important to note that ODK and KoBo will be the IFRC corporate mobile data collection tools that will be maintained by the IFRC in a secure IT environment and made available to all operations, IFRC Regional Offices and NS, while Magpi will be phasing out in 2018.

To facilitate a common understanding on how to develop field surveys we propose, as part of the Toolbox, the inclusion of the dedicated 5-day “Conducting Field Surveys” Workshop. This is relevant to data collection and analysis but also the overall design of the assessment investigations and taking baseline measures.

From a purely IT perspective, and considering the current situation where the actual tool used may vary from one National Society to another the proposed roles of the Assessment Coordinator and the Information Analyst must be knowledgeable and experienced in the use of the Kobo and ODK as described by the Tier description in the Competency Framework.

	Pros	Cons
ODK	<ul style="list-style-type: none"> - 100% free & open source - IFRC/SN using it - IFRC Panama team ToT training - IFRC teams may set up servers for data collection, including new GO System - IFRC Panama Team involved in v2.0 development 	<ul style="list-style-type: none"> - Need some basic IT skills to make it work - No easily free available servers
Kobo Toolbox	<ul style="list-style-type: none"> - 100% free & open source - Cloud servers already available - Cloud support available - More user friendly than odk - Basic analyse functions available 	<ul style="list-style-type: none"> - Cloud servers are handled by OCHA (data confidentiality issues?) - Basic functionalities easier to set-up than ODK, advanced functionalities require basic IT skills.
Magpi	<ul style="list-style-type: none"> - It provides not only a service similar to ODK/Kobo but specially a SMS service that allows to send Health/Water/Sanitation messages to the targetter population - IFRC has an account and the HNS may create sub-accounts under the IFRC one, therefore using IFRC credits, - A set of services is provided, mainly to help send the SMS messages, and analyse the responses, - Those services include Cloud Servers with the appropriate security protocols, - Though mainly for Healt/Water/Sanitation teams it may be used by any other team 	<ul style="list-style-type: none"> - Yearly license to be agreed with the supplier (MAGPI), - Though there is a visual/web platform to help creating the questionnaires it is similar to Kobo toolbox's: there is no 'support' service in the current agreement

Technology for primary data analysis – 15-40 days

The situation concerning “Data Analysis” tools is similar to the “Data Collection” tools in that there is not a single, dedicated tool whose use is commonly widespread and practised, with the exception of MS Excel.

A variety of tools¹⁴ used by different HNS for diverse reasons that go from the presence of an experienced, trained resource on the use of the tool, to the contrasting license prices. The actual features provided by these tools in terms of analysis, in particular related to Needs Assessments make all of them possible choices.

Even only considering the use of MS Excel there are differences in the way it is used depending on the level of expertise shown by the field practitioners: though it is not a “Data Analysis” tool per se its use is so widespread as to be considered the entry, basic tool. However, it is possible that other statistical analysis tools are quicker for generating useful data.

It is to tackle this situation that we propose, as part of the Toolbox, to develop and pilot a 1-day specific Workshop titled “Processing & Analysing Data Workshop”. The main purpose of this workshop that may be delivered as part of other trainings or workshops, is to ensure a common understanding and use of the basic functionalities that MS Excel provides to the field Needs Assessment practitioner. This workshop may be especially helpful for the development of the capacities of the National Societies and can be designed in a way that it can fit in the agenda of other National Societies/Surge trainings.

¹⁴ *Epi Info, SPSS, Stata, Sphynx, Phytion*

From a Surge assessment team perspective, the proposed roles of the Assessment Coordinator and the Information Analyst must be knowledgeable and experienced so as to be able to do Data Analysis in different context, as described by the Tier description in the Competency Framework.

Presentation/display of assessment information - all phases

- Data Visualisation

This is the area that may be more impacted by GO. Every NS is actually looking at their needs and possibilities to select the chosen tool. The array of tools available in the market is vast but the two more common ones seem to be Klipfolio (including IFRC Panama office) and Tableau.

The development of GO may favour the use of one of them depending on how GO approaches the situation and what the final decision is in terms of licensing.

Other than the report necessary as part of the overall assessment data flow, GO will also allow the field teams to share their collected information, analysis and dashboards directly in the own GO system.

ANNEXE 11: Emergency Needs Assessments and Planning process

This describe the various steps, key related activities and potential outputs that should be consider for planning Emergency Needs Assessments. This has been develop as the main support document to architecture new LEAP training, piloted in July 2018.

