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Facilitator's Guide for the Basic needs-based
Response Options Analysis & Planning

Version 1 (unedited)
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Preface

This first draft Facilitator's Guide for the basic-needs based Response Options Analysis and Planning (ROAP) has been developed within the broader framework of the Consortium for the uptake of quality, collaborative multipurpose grants (MPGs). The MPG Consortium if funded by European Commission Humanitarian Aid (ECHO) - through its Enhanced Response Capacity (ERC) budget line (hereinafter, it will be referred to as the ERC-MPG Consortium). It is led by Save the Children and formed of the Cash Learning Partnership (CaLP), the Danish Refugee Council (DRC), Mercy Corps, and the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). The Consortium's work builds on the MPG Operational Guidance & Toolkit produced in 2015 by a UNHCR-led and ERC-funded project.

The ROAP was specifically drafted to assist the ERC-MPG Consortium in facilitating a pilot inter-sector, response option analysis in Borno. Parts of the Facilitator's Guide have been drafted by Okular Analytics and were originally included in the Basic Needs Analysis (BNA) Guidance and Toolbox.

A decision was made to split the split the ROAP from the BNA, to ensure readers would appreciate that they are part of the same process but distinct in purpose, and that the BNA has to be accompanied by other assessments of the operational environment prior to embarking into response option analysis process.

Save the Children UK will own the ROAP until the release of its first edition, by the end of the ERC-MPG Consortium. Afterwards, the Guide will be handed over to ECHO and/or other entity/platform, as appropriate, based on forthcoming global-level discussions around its uptake.

Organisations interested in using this first edition of the Guide are encouraged to contact the project manager, Francesca Battistin at Save the Children UK (f.battistin@savethechildren.org.uk).

Disclaimer: This Guidance has not been professionally edited. An edited version of the document will be released in May 2018, following a final revision based on the second and last pilot of the ERC-MPG Consortium.

Acronyms

Acronym	Description
BNA	Basic Needs Assessment or Analysis
CaLP	Cash Learning Partnership
CBI	Cash Based Interventions
CTP	Cash Transfer Programming
DRC	Danish Refugee Council
ECHO	European Commission Humanitarian Aid

ERC	Enhanced Response Capacity
FAO	Food and Agriculture Organisation
FSP	Financial Service Provider
GCCG	Global Cluster Coordination Group
HCT	Humanitarian Country Team
HPC	Humanitarian Programme Cycle
ICWG	Inter-cluster Working Group
ISWG	Inter-sector Working Group
MPG	Multipurpose Grant
MSMA	Multi-sector Market Assessment
ROAP	Response Options Analysis and Planning
UNHCR	United Nations High Commissioner for Refugees
SDA	Secondary Data Analysis
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
WFP	World Food Programme

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CHAPTER 1: INTRODUCTION TO THE GUIDE

What it is

The Facilitator's Guide for the basic-needs based Response Options Analysis and Planning (ROAP) is a step-by-step guide comprising tools and templates to carry out a multi-sectoral response analysis and planning of response options, in a sudden-onset or chronic crisis.

The ROAP is intended as a structured decision-making process, which brings together and draws from the information generated by the Basic Needs Analysis (BNA) (as well as other needs assessments) and the analysis operational environment (see The ROAP within the Humanitarian Programme Cycle). Being that so, the Guide is conceived to be applied hand in hand with the BNA Guidance and Toolbox, and other assessments methodologies.

It is expected to assist in analysing data from different sources - including humanitarian staff' own knowledge and experience on the sector, cash, protection matters - to come up with response decisions.

The ROAP took inspiration from the 2015 Multi-sector Response Analysis draft guidance (not publicly released) and NRC Urban Response Analysis Framework (2017). The overarching basic needs approach took inspiration from ECHO's Basic Needs Framework for Integrated Response.

The ROAP is complementary to the Operational Guidance and Toolkit for Multipurpose Cash Grants released in 2015, although its application is wider than MPG programmes as it gives way to the selection of the most appropriate, operationally feasible and cost-efficient response options, whether they are cash based or not.

Why the ROAP Facilitator's Guide

At the heart of the here-proposed ROAP approach there are three of the Grand Bargain goals[1] that have been agreed by the sector's biggest donors and providers. These key goals are to:

- increase the use and collaboration of cash-based programming (goal 3)
- improve joint and impartial needs assessments (goal 5)
- create a participation revolution that includes people receiving aid in making the decisions that affect their lives (goal 6).

There is currently no agreed-upon methodology that allows humanitarian actors from different sectors to review situation-analysis information from different sources, and make informed, robust decisions on how to respond to the basic needs of the affected population(s).

Response options shall be first and foremost suitable to the response objectives and informed by an understanding of the underlying factors for which needs remain unmet, as well as of the affected groups' preferences in terms of assistance modality. Generally, humanitarian needs assessments do not investigate those aspects and, as a result, the choice of the modality (in-kind, direct service delivery, cash-based intervention) is not people centred. On the contrary, it is driven by the experience of the cluster/sector globally and in country. To address this gap, the ROAP is closely linked and is implemented after rolling-out the BNA approach.

[1] The Grand Bargain. Available at: http://www.agendaforhumanity.org/initiatives/3861

A basic needs approach that focuses on beneficiaries' perspectives is necessary because affected people are not passive recipients of aid: they are actors that make decisions, prioritise their needs, and routinely interact with markets or (public/semi-public) service providers to satisfy them. While the market (available goods and services including financial service providers) plays a key function in people's ability to meet their basic needs an overreliance on sector specific market data when designing response programmes can lead to responses that do not optimally meet the needs of beneficiaries across the full spectrum of needs. A basic understanding of affected households' perspectives on these matters allows for triangulation and validation of information, resulting in selection of assistance modalities that genuinely "put people in the centre".

Another consideration that triggered the development of this Facilitator's Guide is that clusters/sectors apply their own approaches to assess different response options, but their ability varies significantly in terms of considering cash-based interventions (CBI) among the possibilities, alone or in combination with other interventions. The result is clusters/sectors plans that tend to propose interventions that clusters/sectors are traditionally familiar with, and that fail recognising and exploiting the potential of mixed modalities.

Finally, response options are thought of in the context of cluster/sector siloes, not allowing for synergies and integration of sector responses, or the identification of multi-sector interventions such as multi-purpose cash grants (MPG) in addition to other assistance. The result is a patchwork of sector-specific plans with limited internal consistency, as opposed to a genuine inter-sector humanitarian response that is mindful of the seasonality and interrelations across needs. Sectors and agencies may duplicate assistance, especially where the potential of MPG is not exploited at the inter-sectoral level. In this context, humanitarian agencies and their affiliated clusters/sectors fail to see the cumulative impact of all their interventions on households that receive different combinations of them, in different sequencing and timing.

Who should use it

The primary intended users of the Facilitator's Guide are experienced facilitators of participatory planning processes, with a good grasp of: the humanitarian programme cycle and its phases; humanitarian needs, their inherent complexity and inter-sectoral nature; assistance modalities of different types, when they are most suitable and what makes them operationally feasible. Because of the challenging nature, the ROAP facilitator(s) should be perceived as sector- or modality-neutral, and – in order to be so – should not have any vested interest in any specific outcome of the process. Ideally, they should not be involved in response implementation.

In second place, this Facilitator's Guide can be explored and referred to by country-level sector experts, cash experts and protection experts, when they are called to participate in the process and bring their specific expertise and knowledge. Ideally, the process should be carried out with an inter-sector and inter-disciplinary Task Team, formed of sector-specific sub-groups. The Task Team, in plenary or through its sub-group, would be involved across the entire humanitarian programme cycle, from situation analysis, to response analysis, and – finally – response planning. A sample Terms of Reference for the Task Team, as they were drafted for the ERC-MPG pilot in Nigeria, is provided in Annex 1: Terms of Reference: Task Team for Basic-needs Focused Response Option Analysis.

For its successful uptake, it should be known and endorsed by clusters/sectors at the country level.

For what

The ROAP aims to provide inter-sector processes, tools and templates to enhance joint and evidence based strategic and programmatic decisions on suitable, operationally feasible and cost-efficient assistance modalities (i.e. in kind aid, direct service provision and/or CBI).

The ROAP is designed make sectoral and inter-sectoral strategic and programmatic decisions, including policies and goal settings, response option selection, transfer mechanisms, quantities/amount of assistance, sequencing of the assistance, targeting, and conditionality, etc. within a specific geographical area where distinct population groups (affected groups, livelihood groups, urban or rural population, etc.) are affected in different ways by a given hazard. Ultimately, the process generates sector and inter-sector response plans.

When and where it is appropriate to use it

The ROAP can be used in both sudden onset and protracted crises, when the Humanitarian Country Team agrees on engaging in a new humanitarian response planning process or a revision of a previously existing humanitarian response plan (HRP). This becomes necessary when the situation is such that strategic and operational decisions must be taken by clusters/sectors around the overall objectives of the response, the groups to be prioritised, the geographic areas to be targeted, as well as the most suitable, cost-efficient and operationally feasible interventions that will "resolve" the identified issues.

It must be preceded by a full-fledged situation analysis, which comprises a basic needs analysis (see companion BNA Guidance and Toolbox) and an analysis of the operational environment.

- With adequate preparedness and facilitation, and provided that the necessary assessments have been carried out to analyse the situation, the process can be implemented in the first quarter following a sudden-onset crisis. In these contexts, it can support Revised Flash Appeals.
- In protracted crises, the approach can be used to inform the Humanitarian Response Plan or its revision. For example, this could be implemented during a prolonged ceasefire or in preparation for a change in conditions (such as dry season) when an opportunity for a sustained response will be available.

The response planning phase will provide valuable inputs to cluster planning processes, strengthening their consistency and rigour and supporting the alignment of cluster response plans to the overall strategic objectives of the HRP and in identifying the contextual, institutional and programmatic risks/constraints.

What is the Structure of this Guide

This Guidance is structured in three chapters: (1) the Introduction to the Facilitator's Guide; (2) the Overview of the ROAP Approach; and (3) the Implementation of the ROAP.

Chapter 1, the "Introduction to the Facilitator's Guide", introduces the user to the document, in general terms. It provides an overview of the rationale that led to its development. It defines its purpose and scope; it indicates where, when and by whom it should be used; and in conjunction with what other methodologies.

Chapter 2, the "Overview of the ROAP Approach", allows the readers to situate the ROAP in the broader Humanitarian Programme Cycle, and in relation to the precedent phase, i.e. the situation analysis. This chapter introduces the key concepts and terminology that will be used across the document. It explains how the process unfolds, describing the roles and responsibilities along its steps, as well as the types of competencies that need to be mobilised for a successful assessment.

Chapter 3, the "Implementation of the ROAP" is the "how to" section of this document. It is structured along three phases, of which the first two are to be carried out at the sectoral level, and the last one at the inter-sectoral level. The chapter provides step-by-step guidance, as well as indication of the actors that should be involved, on how to:

- Make strategic decisions around the groups and geographic areas to be prioritised, and the sector response objectives, after having reviewed and validated all relevant situation analysis findings (Phase I).
- Identify and compare sector-specific response options, in light of their suitability to the selected objectives, the operational feasibility and cost-efficiency (Phase II).
- At the inter-sector level, review sector plans from an inter-sector standpoint to build synergies and ensure integration; identify multi-sector interventions, such as the MPG; decide on the final, integrated package of assistance for the targeted groups, and its sequencing (Phase III).

Each chapter contains data collection tools, templates, training materials, and examples drawn from its first pilot, in Borno State (Nigeria).

CHAPTER 2: OVERVIEW OF THE ROAP APPROACH

The ROAP within the Humanitarian Programme Cycle

The BNA is intended to be part of the Humanitarian Programme Cycle.

Ultimately, the BNA is meant to inform the response analysis process, but it is not in itself sufficient to do so. It must be conducted together with other, complementary assessments focusing on the operational environment where the response is being planned. While those assessments provide information that is used to establish the operational feasibility of different response options, the BNA generates information around the priority groups and needs that the response should address, as well as around the most suitable types of interventions considering the objectives to be attained. Suitability to the objectives and operational feasibility are two complementary dimensions against which response options will be compared.

The BNA is the first building block of a three-phased process that includes the situation analysis (needs and operational environment), response analysis and response planning (see **Error! Reference source not found.**). The success of the exercise will depend on having appropriately contextualized and adapted the BNA, possibly ahead of the crisis, when this is predictable. The steps are designed to precede the implementation of the response and subsequent monitoring and evaluation (which are not covered in this guidance).

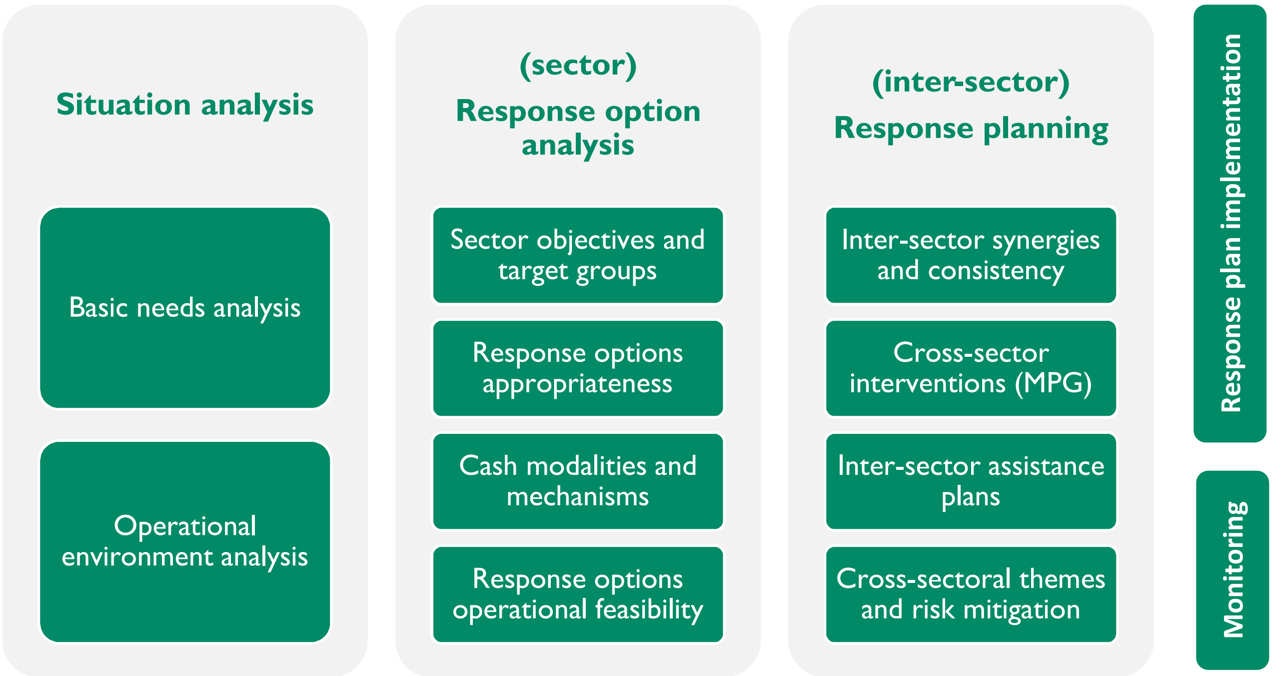

Figure 1: Situation analysis, response option analysis and response planning

Step 1. Situation analysis. This step involves both a Basic Needs Analysis AND an understanding of the Operational Environment, to provide all information required for a rigorous analysis of response options. The latter must considers both the suitability of different, possible types of interventions with respect to the objectives they aim at, and their operational feasibility. The term *situation analysis* and *needs analysis* are often conflated but in this document they are not considered interchangeable.

- **Basic Needs analysis** is the process designed to estimate or provide informed opinions about the affected populations, deficiencies in terms of their basic needs, the underlying causal mechanisms (underlying factors), and their humanitarian consequences (humanitarian outcomes). It entails a systematic set of procedures and the use of specific lines of inquiry undertaken for the purposes of setting current and forecasted priority needs (adapted from ACAPS 2014, Witkin & Altschuld, 1995). The BNA uses both secondary and primary data, which is collected in the field using two main data collection techniques, Community Group Discussions (CGDs) and Household interviews (HHIs). The BNA Guidance and Toolbox support this step (see separate document).
- **Operational environment** outlines humanitarian access to affected populations; local and national authorities' acceptance of possible interventions (not only the cash-based ones) the availability and quality of goods and services in local markets, both those delivered by private-sector market actors, and those delivered by national and local authorities free of cost or subsidised; an understanding of the capacity of international and national service and humanitarian providers to deliver the required assistance; the availability of financial service providers, as well as the type of transfer mechanisms they offer and people's experience with utilising them; other contextual information such as main livelihoods, income sources, etc.

Step 2. Response analysis is the intermediary step between the analysis of needs and operational environment, and response planning. It is a structured process by which sectors, individually, define the strategic elements of the sector-specific response and conduct a comparative analysis of possible response options. It considers context, experience and lessons learnt and involves:

- The identification of objectives and targets groups. Targeting is the process by which areas and populations are selected to receive assistance. It includes mechanisms and criteria to define target groups, to identify members of the target populations, to ensure that assistance reaches the intended beneficiaries and meets their needs (Adapted from WFP 2006, Targeting in Emergencies).
- The identification and comparison of response options based on the primary and secondary information collected during situation analysis, context, experience and lessons learnt (step 1). The selection of sector-specific response options is informed by considerations of: (1) appropriateness (or suitability to the objective); and (2) acceptance, cost efficiency, technical, contextual feasibility, and risks for the targeted populations, the implementing agency and the context. Therefore, the preferred intervention(s) will simultaneously address the needs prioritised by the affected groups, whilst proving to be operationally feasible and able to minimise potential harmful side-effects (adapted FAO 2011, Maxwell et al 2013). Response analysis is generally conducted in a workshop setting or – ideally - through a series of subsequent workshops, involving a range of key-informants and decision makers.

Response options refer to the set of interventions considered to solve a particular problem. For the purpose of this document, response options are categorized as in-kind aid, direct service provision or Cash Based Interventions (CBI), or a combination of these based on the objectives of the response (what the intervention aims to achieve and how it is designed, developed and implemented).

a. *In kind aid* refers to the provision of tangible objects, goods, commodities, products or materials for immediate use or consumption such as food rations, shelter materials, seeds, tools, kits of household items, etc.
b. *Direct service provision* refers to intangible processes, activities, outputs or performance provided by individuals or organisations to other people, e.g. medical consultation, price monitoring, water treatment, corpse removal, etc. ILO distinguishes between *essential services* whose interruption would endanger the life, personal safety or health of the whole or part of the population and *fundamental services*, forming the necessary base for the functioning of other services and non-vital services whose interruption would result in an acute national crisis endangering the normal living conditions of the population.
c. *Cash Based Intervention (CBI)* refers to all programs where cash (or vouchers for goods or services) is directly provided to beneficiaries. In the context of humanitarian assistance, the term is used to refer to the provision of cash or vouchers given to individuals, household or community recipients; not to governments or other state actors. This excludes remittances and microfinance in humanitarian interventions (although microfinance and money transfer institutions may be used for the actual delivery of cash). The term can be used interchangeably with Cash Based Transfers and Cash Transfer Programming (CaLP Glossary).

CBIs are defined by the modality, the delivery mechanism, the type of cash transfer, and the transfer value (CaLP 2015):

- *Modalities* (the form of transfer) which can be restricted/unrestricted on the utilization, and conditional/unconditional. The former are the requirements on use of assistance received: what a transfer can be spent on, or what it is intended the transfer should be spent on, after the beneficiary receives it. The latter are about the pre-requisite/qualifying requirements to receive assistance (activities or obligations that must be fulfilled before receiving assistance)
- *Delivery mechanisms, which are the means of delivering a cash or voucher transfer: e.g. Direct Cash, E cash, Paper voucher, E- voucher*

- *Type of cash transfer (what the interventions aim to achieve and how they are designed, developed and implemented): multipurpose, multi-sector or sector specific.*
- *Transfer value: The amount of cash to transfer.*

At the response analysis stage, it will already be necessary to define and compare different CBI modalities and transfer mechanisms, as these two dimensions are associated to different programmatic, protection and operational risks, as well as costs for the implementing agency and the recipients of aid. Acceptance by the local and national authorities may also vary across modalities and transfer mechanisms, due to political or security reasons. At this stage, the transfer value will be discussed at the sectoral level, but will be revised in the inter-sector consultations, to consider the cumulative effect of multiple cash transfers and their sequencing.

Step 3. Response Planning is the final step of the process and involves sectors getting together and planning their respective responses in light of other sectors' plans. This is an inter-sector planning process, whereby sector-specific response options are reviewed to ensure inter-sector synergies, consistency and integration, and that multi-sector interventions - such as MPG programmes – are identified and jointly designed and sequenced. The outcome is an integrated inter-sector response plan, as opposed to a collation of sector plans.

This step will provide recommendations to plan programme, activities and practical arrangements for the response, including the sequencing and frequency of transfers (regardless of their nature), the type and amount of sector assistance to be provided, in light of other sectors' assistance and the cumulative effect that this may have on recipients.

If in-kind assistance, the sector will typically confirm the contents of the kit/package to be distributed, the frequency of the transfer, and the duration. If cash based interventions are selected during the response analysis as an appropriate response, stakeholders will have to discuss and decide on the most suitable type of cash transfer (if sector specific or multipurpose, and how to combine different CBI), the transfer value, and the most appropriate timing to deliver it.

Finally, cross-sectoral themes such as protection and environmental issues will be analysed and mitigation measures will be proposed, including by adjusting the response plan.

Key concepts and definitions

The concept of **basic needs** refers to *the essential goods, utilities, services or resources required on a regular or seasonal basis by households for ensuring long term survival AND minimum living standards, without resorting to negative coping mechanisms or compromising their health, dignity and essential livelihood assets.*

This definition is adapted from the Basic Needs Approach (ILO, 1976), one of the most significant approaches to the measurement of absolute poverty, which attempts to define the absolute minimum resources necessary for long-term physical well-being, usually in terms of consumption goods. In this approach, the poverty line is defined as the amount of income required to satisfy those needs. The Basic Needs Approach views poverty as "deprivation of consumption" (inadequate food, nutrition, clean water, education, health, etc.) and was often opposed to the capability approach (CA) in which poverty is seen as "deprivation of opportunities" related to lifestyles and people values: When it is used as an input (consumption) based approach, the Basic Needs Approach fails to connect deprivation with people's values, aspirations and the result (well-being). The Capability Approach, on the other hand, focuses on capacity development of people rather than how much they consume. The BNA and the accompanying tools consider all aspects of wellbeing: health/survival, dignity and development capacities.

Since there is no universal agreement around minimum standards, the list of basic needs will vary from one context to the other and should be adapted to each crisis, through community/focus group discussions or workshops with key stakeholders. An initial list of ten essential items was selected based on a meta-review of existing Minimum Expenditure Baskets and Living Standards. The category "other" allows to include other important items to the list, e.g. protection, agricultural inputs, etc. that respondents consider important for their survival and minimum living standards.

Initial list of basic needs

Category	Items commonly included
Food	Staple, vegetable, meat, milk, condiments, oil, sugar, salt, etc.
Potable water	Water, containers, treatment, etc.
Shelter	Rent, furniture's, material, repair, etc.
Household items	Utensils, pots, mats, blanket, mosquito net, cooking set, etc.
Sanitation and hygiene	Clothing, washing, basic items (soap, toothbrush, pads, diapers, etc.)
Education	School fee, uniforms, shoes, stationery, books, transport, etc.
Healthcare	Medicine, healthcare, delivery, baby kit, critical event, etc.
Energy	Cooking, lighting, charging, heating (kerosene, electricity, firewood, charcoal, etc.)
Transport	All except education (transport to work, health centre, markets, etc.)
Communication	Phone, credit, internet, etc.
Others	Protection, agricultural inputs, etc.

The list can be further broken down between commodities and services for each category, when and if relevant.

Sample list of basic needs broken down by services and commodities, Nigeria Pilot, June 2017

Category	Commodities and services included
Food	Food commodities (Staple, vegetable, meat, milk, condiments, oil, sugar, salt, etc.)
Health	Health commodities (medicine, drug, baby kit, etc.)
	Health care services (Health staff and centre, Primary/secondary health care, etc)
Water	Potable water (Water, containers, home treatment)
Shelter	Shelter commodities (furniture's, material, repair, etc.)
	Shelter services (rent, purchase)

HH items	Households commodities (Utensils, pots, mats, blanket, mosquito net, cooking set, etc.)
Hygiene and sanitation	Hygiene/sanitation commodities (Clothing, washing, basic items (soap, toothbrush, pads, diapers, etc.)
	Hygiene/sanitation facilities/services (toilets, shower, bath, etc.)
Energy	Energy commodities for heating, cooking, lightning and charging (kerosene, electricity, firewood, charcoal, etc.)
Transport	Transport services (All except education (transport to work, health centre, markets, etc.)
Education	Education commodities (uniforms, shoes, stationery, books, etc.)
	Education services (transport, school fees, teachers, school building, canteen, etc.)
Communication	Communication commodities (Phone, credits, internet, etc.)
	Communication services (phone providers, phone towers, internet network, etc.)

Minimum Expenditure Basket (MEB) and Survival Minimum Expenditure Basket (SMEB). The Minimum Expenditure Basket entails the identification of basic needs items and the minimum amount of money required for a household to be able to meet them, on a regular or seasonal basis. It is based on the average cost of the items composing the basket, in normal times. MEBs, which can be calculated for various sizes of households, allow users to estimate the expenditures gap as well as the impact suffered by various household groups. The Survival Minimum Expenditure Basket is more restrictive and refers to the minimum amount of money required to meet the basic needs essential to ensure health and survival of the household members.

Expenditure and seasonality of goods consumption and service utilization: Consumption and utilization of basic goods and services can vary from one month to the other and may be more or less frequent. Some goods or services, once they have been utilised, have to be repurchased; some others can be reutilised multiple times or have a specific use window. The reference period for expenditures refers to the frequency of expenditures, which reflects the interval at which the commodity or service has to be repurchased. The BNA captured three types of variation from normal monthly expenses:

- Recurrent expenditures, that repeat over time, as the commodity or service is consumed and must be repurchased on a regular basis. The most common recurrent expenditures within a household are those for food, water, and hygiene items.
- One-off expenditures are non-frequent expenditures, and include seasonal or exceptional costs.
    - Seasonal costs occur on a regular but non-frequent basis, at specific times of the year. Examples of seasonal expenditures are education-related expenditures, e.g. school fees, or the purchase of agricultural inputs ahead of the sowing/planting season.
    - Exceptional or extraordinary costs are of a varied nature and may also arise from the emergency itself. Examples include the costs related to the repair of a house or purchase of furniture; the medical costs to treat an injury.

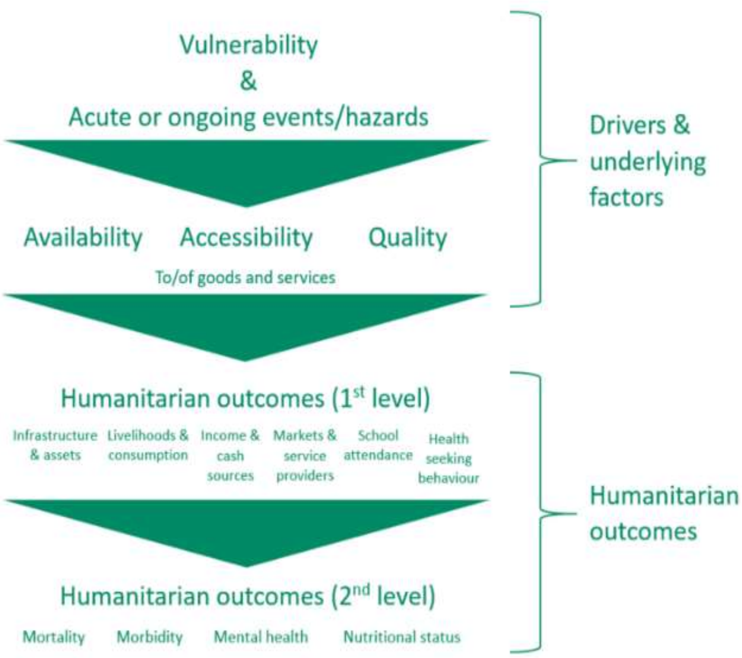

Figure 3: Underlying factors and humanitarian outcomes

Underlying factors and humanitarian outcomes. When a shock/hazard occurs, we generally observe disruption in or of access, quality, availability, awareness or use of goods and services. As a result, the satisfaction or degree of fulfilment of basic needs decreases and the affected population experiences deprivation. This leads to *unmet basic needs*, the actual difference between a preferred state or condition, and the actual one. This discrepancy might in turn create negative, harmful of undesirable outcomes, e.g. fear, physical or mental conditions, etc. Humanitarian outcomes refer to effects or consequences that challenge long term survival or minimum living standards of the affected population of forces them to rely on negative coping mechanisms or compromise their health, dignity and essential livelihood assets.

In this guidance, we refer to problems of access, accessibility and quality of/to essential goods or services as **underlying factors**, or the set of deficiencies or mechanisms that contribute directly or indirectly to humanitarian outcomes. For instance, increased food insecurity can result from a lack of food on the markets and/or a lack of sufficient income. Identifying underlying factors allows the design of programs that tackle the root causes of the problem and not only their symptoms. A typology of underlying factors commonly influencing humanitarian outcomes is proposed in the diagram below and can be adapted at country level, including the lack of availability, access or awareness of goods or services, or issues related to the quality or use of the services or the goods. Each of those categories have sub-categories, detailed in box 2. For instance, access constraints can be due to a physical problem (the bridge leading to the market is broken or the roads are flooded), an economic problem (loss of income or price inflation make difficult for households to access health services regularly) or safety issues, such as checkpoint or attacks on the way to school. The BNA considers only three of the five categories of underlying factors, namely accessibility, availability and quality of goods and services. Awareness and utilization are not considered by BNA due to the specificity of the tools required to measure them (i.e. KAP and communication with affected population surveys).

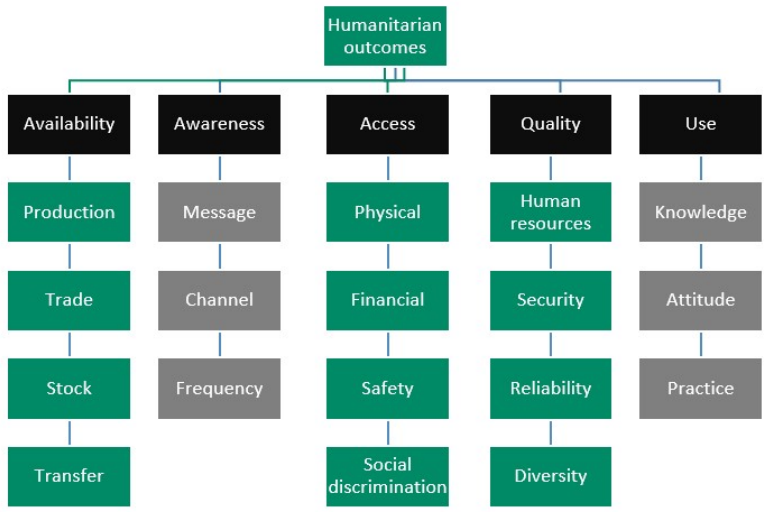

Figure 4. Typology of underlying factors. Grey categories are not covered by BNA-ROA and require the use of specific assessment tools

Box 2 Underlying factors categories

- *Availability* refers to the physical presence of goods and services in the area of concern through all forms of domestic production (e.g. agriculture), trade (commercial imports), stock (food reserve, contingency stocks, etc.) and transfer (aid or subsidies or services) by a third party (the national government, local authorities or humanitarian actors).
- *Accessibility* refers to people's ability to obtain and benefit from goods and services. It often concerns the physical location of services (distance, road access, bridges, etc.), but can also be influenced by purchasing power, social discrimination or security issues that constrain movements.
- *Quality* refers to the degree of excellence, benefits or satisfaction one can enjoy when consuming a good or a service. Quality may depend on the number of people with the required skills and knowledge to perform a given service or produce a good, but is also influenced by reliability (consistency of quality over time), diversity and security of the provided service or good (i.e. water quality, sterilization of medical tools, etc.).

Humanitarian outcomes refer to negative consequences, as a result of problem of access, availability or quality of goods or services. Two levels of outcomes can be distinguished, the first focusing on changes in key aspects of life, such as consumption, livelihoods, income, health seeking behaviour, learning, etc. The second and ultimate level of humanitarian outcome refers to physical and mental consequences, such as excess morbidity or mortality, mental health, nutritional status, etc.

Not all problems of access, availability or quality of goods and services lead to humanitarian outcomes. Therefore, it is insufficient (and sometimes misleading) to measure issues only at this level, and important to associate or correlate existing deficiencies to confirmed or potential humanitarian outcomes. Understanding cause-effect relationships is central to the BNA and has several advantages:

- Identify the set of deficiencies or mechanisms that contribute directly or indirectly to humanitarian outcomes.
- Understand the causal mechanisms that contribute the most to unmet needs. For instance, increased food insecurity can be the result of lack of food on the markets and/or lack or insufficient income to purchase it.
- Separate causes and effects to allow the design of programs that are relevant and address the root cause(s) of the issue.

- When information is not available for one level, then inferences based on information available at a lower level can be used to draw assumptions or hypotheses.

The BNA and ROAP Analysis Framework

The BNA and ROA analysis framework approaches situational and response analysis logically, systematically and provides a clear driving force behind lines of inquiries. Using the framework ensures that situational and response analysis are conducted comprehensively and focus on key information needs, and that key concerns are not overlooked.

The framework (figure 5 below) groups analytical outputs under two pivotal areas, situation and response analysis. The diagram below describes the themes and analytical outputs.

- The situation analysis is concerned with the identification of unmet basic needs, humanitarian outcomes, underlying factors as well as coping mechanisms. The main analytical output of the situation analysis is the identification of the severity of unmet needs, based on degree of deprivation and humanitarian outcomes and finally establish key priorities (basic unmet needs, affected groups, geographical areas).
- The response analysis is concerned with the identification of appropriate and relevant response options to the problems identified and allow to strategically plan and design the humanitarian response.

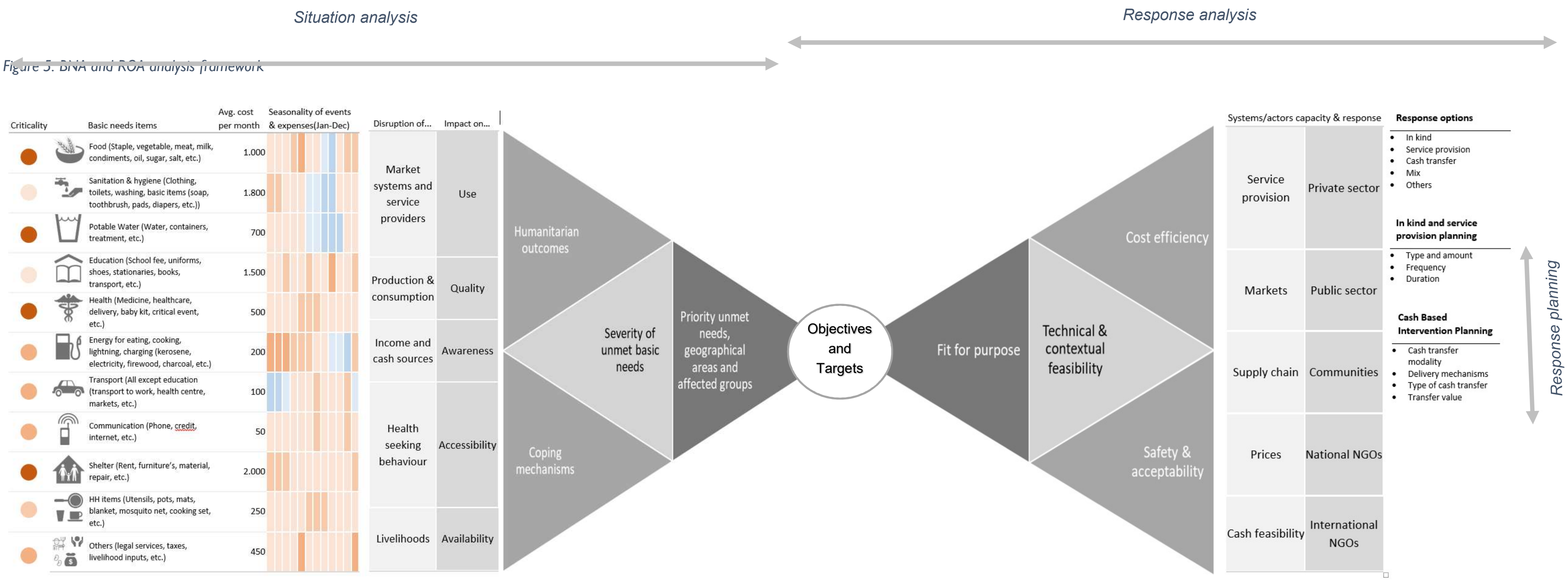

Figure 5: BNA and ROA analysis framework

Roles and Responsibilities in the ROAP

The ROAP must be coordinated and implemented at the sectoral and, in its third and last phase, at the inter-sectoral level. A pre-condition for the ROAP to be a successful exercise, is that the participating sectors are buying into the process.

Ideally, the process should be carried out with an inter-sector and inter-disciplinary Task Team, formed of sector-specific sub-groups. In terms of composition, each sub-group should bring together sector specialists and information management officers, as well as cash and protection experts.

The Task Team, in plenary or through its sub-group, would be engaged across the entire humanitarian programme cycle, from situation analysis, to response analysis, and – finally – response planning. A sample Terms of Reference for the Task Team, as they were drafted for the ERC-MPG Consortium pilot in Nigeria, is provided in Annex 1: Terms of Reference: Task Team for Basic-needs Focused Response Option Analysis.

Below is the division of roles and responsibilities as applied in the ERC-MPG Consortium pilot in Nigeria, to be referred to as an example.

The Task Team will

- Contribute suggestions on how best to formulate this workshop based on the task teams' experience between now and then
- Undertake a desk review of the findings of the ERC Consortium's assessments, distilling the most relevant ones
- Conduct additional analysis on the raw data of the BNA
- Make available additional assessment findings to complement those of the ERC Consortium
- Establish and estimate size of the groups in need in the three LGAs; establish assistance objectives for the identified groups
- Identify possible response options based on the established objectives
- Make a final recommendation on response options based on operational feasibility, in a workshop to be organized and facilitated by the Consortium at the end of September

Within the Task Team, the sector representatives and the cash experts will bring their respective expertise.

The Task Team Coordinators will

- form and initiate the Task Team, raising awareness on the Consortium's work and collecting expressions of interest.
- represent the group to the OISWG (when the group report on their response analysis recommendations) and will also likely chair meetings and ensure decisions are made on time and in an effective manner, and that are effectively documented.
- will participate in the wider HNO process and present the BNA and other findings validated by the Task Team during the HNO validation of state-level needs.
- will document the results of all the work undertaken by the Task Team, with the support of the Consortium members.

– will advocate for the Task Team's recommendations to be reflected in the HRP to the extent that is appropriate and possible.

The Consortium members will provide technical support and facilitation of a structured approach to identify response options. Each partner will provide the technical guidance for the data produced by their tool and Save the Children, in its capacity of Consortium lead, will provide additional coordination support in the preparatory phase (by preparing, as necessary, the workshop concept note, the agenda and presentation power points). OCHA will ensure either adequate agenda time has been provided at a regular OISWG, or dedicate a specific meeting to this (depending on how much time is required). Any feedback or follow up from sectors would also be collated by OCHA.

CHAPTER 3: IMPLEMENTING THE ROAP

This section describes the sequence of practical steps necessary to ensure a successful ROAP during emergencies, from the articulation of sector-specific response objectives up to inter-sector response plans.

Overview of the Process

PHASE I

Step	Participants	Time required
1. Validation of assessment findings and recommendations for report revision	Session facilitator; Data analyst/report writer; Sector experts; Information management officers	3-4 hours per sector
2. Revision of assessment reports	Data analyst / report writers	2 weeks (not on a full time basis)
3. Identification and profiling of the most affected groups by LGA	Session facilitator; Sector experts; Information management officers; Protection experts	1 hour per sector
4. Agreement that lack of purchasing power is among the underlying factors	Session facilitator; Sector experts; Information management officers	30 minutes
5. Definition of sector-specific objectives of assistance	Session facilitator; Sector experts; Information management officers	1 hour per sector

PHASE II	Step	Participants	Time required
	1. Identification of response options not accepted by local/national authorities	Session facilitator; Sector experts; Information management officers; Cash experts	15-30 minutes
	2. Identification of response options based on needs and objectives	Session facilitator; Sector experts; Information management officers; Cash experts	1.5 hours
	3. If/when cash is proposed, compare CTP modalities	Session facilitator; Sector experts; Information management officers; Cash experts	1.5 hours
	4. If/when cash is proposed, how much should be transferred	Session facilitator; Sector experts; Information management officers; Cash experts	2 hours
	5. If/when cash is proposed, compare available transfer mechanisms	Cash experts	1 hour
	6. Comparative analysis of sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	1.5 hours
	7. Weighted scoring of sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	30 minutes
	8. Final recommendations on sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	30 minutes

PHASE III

Step	Participants	Time required
1. Presentation of the sector plans and putting together the assistance package by group/location	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1.5 hours
2. Identification of potential synergies across sectors	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
3. Agreement on appropriateness of MPG for recurrent expenditures	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
4. Estimation of MPG value based on recurrent sector expenditures	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
5. Adjustment of the response options based on agreement of where MPG can be used	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
6. Consideration of cross-sector themes for selected response options	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	2 hours
7. Decision on sectoral one-off transfers, amount and timing	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
8. Final recommendations	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour

Phase I. Setting sector objectives and targets

Step	Participants	Time required
1. Validation of assessment findings and recommendations for report revision	Session facilitator; Data analyst/report writer; Sector experts; Information management officers	3-4 hours per sector
2. Revision of assessment reports	Data analyst / report writers	2 weeks (not on a full time basis)
3. Identification and profiling of the most affected groups by LGA	Session facilitator; Sector experts; Information management officers; Protection experts	1 hour per sector
4. Agreement that lack of purchasing power is among the underlying factors	Session facilitator; Sector experts; Information management officers	30 minutes
5. Definition of sector-specific objectives of assistance	Session facilitator; Sector experts; Information management officers	1 hour per sector

Step 1 Validation of assessment findings and recommendations for reports revision

a) Guidance

Objective / output	• Findings are validated or rejected and/or further explained • Recommendations for additional analysis to be conducted on available raw data (especially the Basic Needs Assessment) • Recommendations to re-draft/improve assessment reports (especially the Basic Needs Assessment)
Question to answer	What are the needs and the available local resources?
Actors to be involved	• Session facilitator, who should be familiar with all findings • (preferably) Data analysts involved in the assessments to be presented (or at least in the key ones) • Sector experts • Information management officers, particularly critical if data analysts of sector assessments are not available
Required inputs and resources	• Findings of specific sectors assessments (to be shared in advance by the sector experts) • Findings of basic needs assessment • Findings of service system assessment • Findings of market assessment • Findings of transfer mechanisms and financial service providers assessment, • Findings of capacity assessment • Findings of cash acceptance assessment
Available tool	NA
How to complete the step	1. Assessment reports to be compiled in advance by the facilitator 2. Presentation of findings of each assessment by relevant participant, to make everyone familiar 3. Discussion around key findings: ✓ Are they plausible according to the experts? ✓ If they are not plausible, what can be said instead? Why? ✓ Why do you think this is the situation? How can the findings be better explained (why and how)? ✓ Looking at the row data (when available), what additional analysis you would like to be carried out? What would it help you understand? How would your sector use it? ✓ Any other observations? 4. List of recommendations to revise assessment reports

Estimated time required	• 3-4 hours with each sector group, depending on number of assessments to be covered and familiarity of the participants with their findings
Notes	NA

b) Session participants

Name	Title	Organisation	Email

c) Working session output

d) Lessons from pilot

This step took place during Nathalie Cissokho's mission on behalf of the Consortium (11-15 September), however different persons participated in the validations of assessments findings and in the following steps. Turnover of sector group members has slowed down the pace of the work, and this happened despite clarity in the Terms of Reference of the Task Team.

The most plausible reason for this is that the HNO process was occurring in parallel, and sector leads were engaged in that workshop. In the future pilot, it is important that the members of the Task Team and its sector sub-groups remain stable over time. Some level of commitment will be required and the Consortium will make sure not to overlap with other important events; in Nigeria this has not been possible because the timeline of the HNO and HRP was shared with the Consortium with little notice. Coordination with OCHA and the HCT will be essential in the next pilot; however, the timeline of HNO and HRP are not expected to represent an issue, since they will occur later on in the year.

Ideally, the authors of the assessment reports should be invited to participate in this session and – possibly – in person. The associated costs should be factored into the consultancy contract or staff's work plan.

Step 2 Revision of assessment reports

Guidance

Objective / output	Revised and finalised assessment reports
Question to answer	What are the humanitarian needs and the available local resources?
Actors to be involved	Data analysts/reports writers of all the assessments to be revised
Required inputs and resources	Output of Step 1 in Phase I
Available tool	NA
How to complete the step	It will depend on the outputs of Step 1in Phase I
Estimated time required	Two weeks of work by data analysts/reports writers to revise the assessment reports according to recommendations
Notes	NA

b) Session participants

Name	Title	Organisation	Email

c) Working session output

d) Lessons from pilot

This step has been added after the pilot in Borno, hence there is nothing to report. Time and working days should be allocated in consultants' contract and/or staff work plan for the revision of the assessment report based on sector experts and other key informants.

Step 3 Identification and profiling of the most affected groups by LGA

a) Guidance

Objective / output	Table with number of households and individuals in each targeted administrative area, their respective needs ranked by priority/severity, and the specific protection concerns/issues affecting them
Question to answer	What are the priority needs, for which target groups, and where?
Actors to be involved	• Session facilitator, who should be familiar with all findings • Sector experts • Information management officers • Protection experts • **Optional**: Data analyst involved in the BNA
Required inputs and resources	• Basic needs assessment • Other sectoral assessment of the target population and their needs • Expertise/knowledge brought by protection experts
Available tool	Table 1: Population groups size Table 2: Population group profiles
How to complete the step	1. Does it make sense to break down by LGAs? Would you like to focus on just 1 LGA? 2. Pull out tables with severity of needs from the BNA. 3. Which groups is the sector most interested in targeting? 4. Where? Who? How many? 5. What are the protection concerns affecting this group? 6. What do they need the most?
Estimated time required	1 hour with each sector group
Notes	This cannot start until assessment reports have been revised

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 1: Population groups size

	Type of targeting			
	[group 1] [type of targeting]	**[group 2]** [type of targeting]	**[group 3]** [type of targeting]	**[group 4]** [type of targeting]
[location 1]				
[location 2]				
[location 3]				
Total (households)	**HH**	**HH**	**HH**	**HH**
[location 1]				
[location 2]				
[location 3]				
Total (individuals)	**individuals**	**individuals**	**individuals**	**individuals**

Table 2: Population group profiles

d) Lessons from pilot

	Source of information	Location	[group 1] [type of targeting]	[group 2] [type of targeting]	[group 3] [type of targeting]	[group 4] [type of targeting]
Severity of impact on group by LGA and sector (1 least severe – 5 most severe)	BNA	[location 1]				
		[location 2]				
		[location 3]				
How many households?		[location 1]				
		[location 2]				
		[location 3]				
How many individuals?		[location 1]				
		[location 2]				
		[location 3]				
Protection concerns?	Protection experts, sector experts, other assessments	[location 1]				
		[location 2]				
		[location 3]				
Priority needs (in order of preference) and identification of underlying cause (see graph below)	BNA, validated by sector experts	[location 1]				
		[location 2]				
		[location 3]				

Although very interested and engaged, Shelter/NFI participants of this response analysis session had never heard about the ERC work; they had been asked to attend without much background and this did not help expediting the process. As a result, we had to cover the basics and could not advance much with the response analysis. For the future, it is important to ensure that the same participants commit to the entire process; this time we were challenged by the competing HNO-HRP events.

Returnees – although they are a sizeable group and are targeted by UNHCR among others - were not covered by the BNA. In the next pilot, the groups will have to be more carefully selected.

Target groups and targeting approaches are different from sector to sector. WASH follows a community approach, rather than household approach and socio-economic vulnerability criteria do not apply in the sector. What applies is the status (IDPs, Returnee, Host community). The concerns are related to ensuring safety, dignity and the public good (public health), as opposed to the good of selected households. It was not clear whether the figures of households and individuals included people residing in non-accessible areas.

Step 4 Agreement that lack of purchasing power is (among the) underlying factors in priority needs

a) Guidance

Objective / output	Cash: relevant or not
Question to answer	Are financial constraints confirmed as one of the underlying factors for priority needs in the target population groups?
Actors to be involved	• Session facilitator, who should be familiar with all findings • Sector experts • Information management officers
Required inputs and resources	BNA dashboard with underlying causes of needs.
Available tool	NA
How to complete the step	1. The session would start with listing – in order of importance – the underlying factors mentioned by the targeted population groups, for each priority need. 2. Is "lack of purchasing power" / "financial constraints" among them? If so, then CTP should (must!) be considered as a response option in Step 2, Phase II. 3. If time allows for it, the facilitator would ideally support the group in coming up with a basic problem tree, showing the linkages among different concurrent factors and articulating a short paragraph that explains the situation, as well as possible differences by group and/or by geographic area.
Estimated time required	30 minutes
Notes	If "lack of purchasing power" / "financial constraints" is among the underlying reasons why the need remains unmet, then CTP should (must!) be considered as a response option in Step 2, Phase II.

b) Session participants

Name	**Title**	**Organisation**	**Email**

c) Working session outputs

d) Lessons learned

There are many assumptions on purchase and consumption choices, and little evidence to back or confute them. More evidence should be generated, for all outcomes of interest (all sectors).

Step 5 Definition of sector-specific objectives of assistance

a) Guidance

Objective / output	SMART objective
Question to answer	What objective are we aiming to achieve (for each group and/or each location) in the established timeframe?
Actors to be involved	• Facilitator, who should be familiar with all findings • Sector experts • Information management officers
Required inputs and resources	• Basic needs assessment • Other sectoral assessment of the target population and their needs
Available tool	Table 3: Response objectives
How to complete the step	1. How would the situation/status of the group look like after the sector has intervened to address the problem? The objective <u>should not be the intervention itself</u> (i.e. distribute hygiene kits). The solution/modality to be used

	to achieve the objective will be identified in Phase II of the process. Instead, the objective describes the situation that the sector would like to attain after having implemented its interventions. 2. In first place, the sector has to decide if they intend to target different groups of affected people, and each of them with a specific objective (in other words, the objectives are group-specific), or if – alternatively – they intend to achieve a specific objective for each targeted location (the objectives are location specific). The most affected groups are identified and profiled in Step 3, Phase I. 3. In this regard, it may help to look at the severity of needs; if the priority needs differ significantly across groups, then a group specific approach should be preferred. If the priority needs differ mostly by geographic area, then there the sector may consider different objective by location. 4. Secondly, the group has to establish the desired timeframe of the objective. For instance, is six (or 12) months a legitimate timeframe? Note that there can multiple objectives <u>with different timeframes</u>. 5. Have you checked if the objective is SMART? In other words, is it: ✓ <u>Specific</u>: The objective has to be specific to the problem that has been detected and be aimed at addressing it directly. The objective should not be vague. By reading the objective, one should be able to understand what the sector is trying to achieve. ✓ <u>Measurable</u>: it should be possible to measure progress towards the complete achievement of the objective and/or to what extent the intervention has delivered a satisfactory/quality result. ✓ <u>Achievable</u>: within the relevant timeframe and with the capacities and resources of the sector. ✓ <u>Relevant</u>: to the humanitarian need that it seeks to address. ✓ <u>Time-bound</u>: the objective statement should specify the timeframe within which the objective is to be achieved.
Estimated time required	1 hour with each sector group. The necessary time will depend on the number of objectives.
Notes	This step cannot start until assessment reports have been revised and completed.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 3: Response objectives

	Location	[Group 1]	[Group 2]	[Group 3]
Objective 1	[location 1]			
	[location 2]			
	[location 3]			
Objective 2	[location 1]			
	[location 2]			
	[location 3]			
Objective 3	[location 1]			
	[location 2]			
	[location 3]			

d) Lessons from pilot

Nothing to report, except for lack of time to complete the step. Within the FSL group, there was some level of disagreement around the reasons why needs are unmet. One participant did not feel the BNA finding for Konduga to be accurate and did not think that security would be a major issue for people. Nathalie's mission report did not highlight any specific disagreement over the findings, at the stage of findings validation.

Phase II. Sector response options analysis

Step	Participants	Time required
1. Identification of response options not accepted by local/national authorities	Session facilitator; Sector experts; Information management officers; Cash experts	15-30 minutes
2. Identification of response options based on needs and objectives	Session facilitator; Sector experts; Information management officers; Cash experts	1.5 hours
3. If/when cash is proposed, compare CTP modalities	Session facilitator; Sector experts; Information management officers; Cash experts	1.5 hours
4. If/when cash is proposed, how much should be transferred	Session facilitator; Sector experts; Information management officers; Cash experts	2 hours
5. If/when cash is proposed, compare available transfer mechanisms	Cash experts	1 hour
6. Comparative analysis of sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	1.5 hours
7. Weighted scoring of sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	30 minutes
8. Final recommendations on sector response options	Session facilitator; Sector experts; Information management officers; Cash experts , Protection experts	30 minutes

Step 1 Identification of response options not accepted by local/national authorities

a) Guidance

Objective / output	Exclude/disregard response options that would not be accepted by local/national authorities.
Question to answer	Are there any response options that the local and/or national authorities would not
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts
Required inputs and resources	For cash: OCHA government acceptance study, as part of feasibility analysis (where available); alternatively, cash experts' knowledge For other response options: sector experts' knowledge of the context; technical guidelines of the sector; other assessment reports.
Available tool	NA
How to complete the step	1. The facilitator collects the necessary information ahead of the session, for instance by interviewing the members of the group and via email exchange. 2. At the working session, participants will confirm the list of response options and approaches that are not accepted/approved by the local and/or national authorities, for these to be explained and duly documented.
Estimated time required	15-30 minutes
Notes	The response options that are not accepted by local and national authorities will not be proposed in Step 2. If cash is not an accepted option, these steps will be skipped: Step 3, Step 4, Step 5.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

d) Lessons from pilot

The position of this step in the sequence has been changed, and the question has been broadened to include also non-cash response options. In fact, national or local authorities may have reservations also on other types of interventions, as proven in the case of Borno for shelter solutions, as well as for fertilisers.

Step 2 Identification of response options based on needs and objectives of intervention & target group

a) Guidance

Objective / output	Ranked list of response options according to suitability to objective.
Question to answer	Which response option is most suitable for each of the top three objectives (ranked)?
Actors to be involved	• Session facilitator; • Sector experts; • Information management officers; • Cash experts
Required inputs and resources	BNA dashboard: • the way population groups are used to meet their needs; • their assistance preferences Output of Step 4 in Phase I. Output of Step 1 in Phase II.

Available tool	Table 4: Response options: Suitability check to objective 1 Table 5: Response options: Suitability check to objective 2**Error! Reference source not found.**Table 6: Response options: Suitability check to objective 3 Red Cross Movement Tool #M313
How to complete the step	1. The facilitator prepares one table per each objective, noting the objective statement in the top row of the table, the underlying factors as per basic needs assessment and **Step 3 in Phase I** (row underneath the objective), and the three most common ways through which the targeted groups are used to meet those needs, by looking at the BNA findings. For instance, they may mostly buy the relevant commodities or services from the market, or they may be receiving the service from the government. 2. In first place, the group will retain only response options that are acceptable to local/national authorities. Discard response options identified at **Step 1 of Phase II**, if there are any. The facilitator quickly reminds the group about those response options. 3. Then the group considers and acknowledge the underlying factors, as well as the three most common ways through which the targeted groups are used to meet those needs. 4. After having completed that, the group considers which response options beneficiaries prefer, and the facilitator notes the ranking order in the second row of the table. 5. Therefore, the facilitator will support the group in identifying and briefly describing response options belonging to all possible categories, when they apply to the objective: (1) in kind (e.g. distribution of food parcels, water trucking, provision of housing, distribution of pharmaceuticals); (2) direct service provision (e.g. emergency health services, education); (3) Cash Transfer Programming (i.e. cash based interventions), regardless of their specific modality, which will be looked at in Step 3, Phase II. At this stage, the group should not discuss the specific CTP modalities, but consider CTP as one overarching typology. 6. If none of the response options is sufficient in isolation, what combinations could be considered to better meet the needs and what are the pros and cons of these? These will be noted in the 7. The facilitator moderates a discussion based on this guiding question: What are the pros and cons of each response options in isolation, with regard to their ability to help targeted groups in effectively meeting their needs? The facilitator notes down the answers in the table as appropriate. 8. In this step, the group will have to disregard the operational feasibility of response options (e.g. their costs, their scalability, implementing agencies' capacities, etc.). They will only have to focus on "suitability" / "appropriateness" to the objective.
Estimated time required	1.5 hour
Notes	All response options (or the three most suitable ones) will be compared at **Step 6**, based on their operational feasibility.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 4: Response options: Suitability check to objective 1

OBJECTIVE 1: [objective statement]						
Underlying factors	1, 2, 3 (order of frequency)	1. … 2. … 3. …				
How beneficiaries are used to meet the need	1, 2, 3 (order of frequency)	1. … 2. … 3. ...				
		RESPONSE OPTIONS				
Criteria	**Possible answers**	**In-kind transfer**	**Direct service provision (if applicable)**	**CTP (any)**	**Combination 1**	**Combination 2**
Beneficiary preference	1, 2, 3 (order of preference)					
Ability to meet needs (from sector specialist point of view)	Description					
	Positive	•	•	•	•	•
	Negative	•	•	•	•	•

Table 5: Response options: Suitability check to objective 2

<table>
<tr><th colspan="7">OBJECTIVE 2:
[objective statement]</th></tr>
<tr><td>Underlying factors</td><td>1, 2, 3 (order of frequency)</td><td colspan="5">1. …
2. …
3. …</td></tr>
<tr><td>How beneficiaries are used to meet the need</td><td>1, 2, 3 (order of frequency)</td><td colspan="5">1. …
2. …
3. ...</td></tr>
<tr><th rowspan="2">Criteria</th><th rowspan="2">Possible answers</th><th colspan="5">RESPONSE OPTIONS</th></tr>
<tr><th>In-kind transfer</th><th>Direct service provision (if applicable)</th><th>CTP (any)</th><th>Combination 1</th><th>Combination 2</th></tr>
<tr><td>Beneficiary preference</td><td>1, 2, 3 (order of preference)</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="3">Ability to meet needs (from sector specialist point of view)</td><td>Description</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>positive</td><td>•</td><td>•</td><td>•</td><td>•</td><td>•</td></tr>
<tr><td>Negative</td><td>•</td><td>•</td><td>•</td><td>•</td><td>•</td></tr>
</table>

Table 6: Response options: Suitability check to objective 3

<table>
<tr><th colspan="7">OBJECTIVE 3:
[objective statement]</th></tr>
<tr><td>Underlying factors</td><td>1, 2, 3 (order of frequency)</td><td colspan="5">1. …
2. …
3. …</td></tr>
<tr><td>How beneficiaries are used to meet the need</td><td>1, 2, 3 (order of frequency)</td><td colspan="5">1. …
2. …
3. ...</td></tr>
<tr><th rowspan="2">Criteria</th><th rowspan="2">Possible answers</th><th colspan="5">RESPONSE OPTIONS</th></tr>
<tr><th>In-kind transfer</th><th>Direct service provision (if applicable)</th><th>CTP (any)</th><th>Combination 1</th><th>Combination 2</th></tr>
<tr><td>Beneficiary preference</td><td>1, 2, 3 (order of preference)</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="3">Ability to meet needs (from sector specialist point of view)</td><td>Description</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Positive</td><td>•</td><td>•</td><td>•</td><td>•</td><td>•</td></tr>
<tr><td>Negative</td><td>•</td><td>•</td><td>•</td><td>•</td><td>•</td></tr>
</table>

d) Lessons from pilot

It is difficult not to start talking about specific CTP modalities and discuss details of the package. Perhaps the conversation could move faster here with a stronger steer from the facilitator.

It is difficult for agencies to think of response options without mentioning what they are already doing. It is also somewhat challenging for them to voice the negative aspects of the interventions they are implementing. This is a creative stage and participants will have to be encouraged to think outside of the box.

Step 3 If/when cash is proposed, compare the possible CTP modalities

a) Guidance

Objective / output	Preferred CTP modality (max 2) and frequency
Question to answer	When a CTP is the most suitable response (or an element of the most suitable response) which CTP modality is most appropriate for the objective?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts
Required inputs and resources	Definitions of modalities below
Available tool	Table 7: Comparative table of CTP modalities (below) Red Cross Movement Tool #M313
How to complete the step	1) Facilitator and/or cash experts to introduce the key terms. See the definitions below. 2) Facilitator and/or cash experts to present possible cash modalities for the objectives chosen by the group (including rationales). 3) Consensus reached about which cash modalities should be assessed. 4) Participants to discuss the advantages and disadvantages per each of them and make final recommendations, including on frequency.
Estimated time required	1.5 hours
Notes	Defining terms:

	• <u>Modality</u> – refers to the different types of cash or voucher transfer – e.g. conditional (cash for work, etc.), unconditional, restricted, unrestricted, multipurpose, etc. A single transfer can generally be categorized in terms of several of these variables e.g. a conditional, unrestricted transfer. • <u>Unconditional unrestricted cash</u> – are provided without a condition to be performed prior to receipt, and funds can be used freely by beneficiaries, although some suggestions and nudges can be given. E.g. multipurpose cash transfers, or transfers that are suggested to be used for the children's wellbeing, their health and education. • <u>Unconditional restricted cash</u> – are provided to beneficiaries without a condition to be performed prior to receipt, but funds can only be used to meet particular needs, or they may be disqualified from further assistance. This includes both commodity and value vouchers • <u>Conditional unrestricted cash</u> - are only provided to beneficiaries upon performance of a specific precondition (e.g. work, training attendance, school attendance, etc.), but can be used freely. Examples include: cash (in exchange) for work; cash (in exchange) for training attendance; transfers based on attending health check-ups; transfers given in exchange for school attendance. • <u>Conditional restricted cash</u> - are only provided to beneficiaries upon performance of a specific precondition (e.g. work, training attendance, school attendance, etc.), and can only be used to meet particular needs. Typically, these are transfers in multiple tranches, which are contingent on appropriate use and/or other conditions. E.g. transfer for purchase of productive asset following attendance of training, scholarship for school fees having attained a particular grade, etc.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 7: Comparative table of CTP modalities

Objective	CT Modality and example from proposed response options	Advantages	Disadvantages	Comments and recommendation (including frequency)
		Note. Advantages and disadvantages should consider both the risks related to achieving the objective and the risks for beneficiaries.		
Objective 1:	Unconditional unrestricted cash	•	•	•
	Unconditional restricted cash Example	•	•	
	Conditional unrestricted cash	•	•	•
	Conditional restricted cash Example	•	•	
Objective 2:	Unconditional unrestricted cash	•	•	•
	Unconditional restricted cash Example	•	•	
	Conditional unrestricted cash	•	•	•
	Conditional restricted cash Example	•	•	
Objective 3:	Unconditional unrestricted cash	•	•	•
	Unconditional restricted cash	•	•	•
	Conditional unrestricted cash	•	•	•
	Conditional restricted cash	•	•	•

d) Lessons from pilot

Nothing to report.

Step 4 If/when cash is proposed, how much should be transferred

a) Guidance

Objective / output	Amount and frequency of CTP transfer
Question to answer	How much should the transfer be? And how frequently should it be given?

Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts
Required inputs and resources	Findings of relevant assessments, such as: • Household Economy Approach assessment (baseline and/or outcome review) • Basic needs assessment • Multi-sector market assessment Previous/existing minimum expenditure basket for the sector Sector's technical guidelines/standards Sphere standards Market prices of items, possibly by location if prices differ substantively National poverty lines and how they are calculated (there could be more than one)
Available tool	Table 8: Typical recurrent and one-off expenditures by sector and category Table 9: Calculation sheet: recurrent and one-off WASH expenditures Table 10: Calculation sheet: recurrent and one-off Shelter/NFI expenditures Table 11: Calculation sheet: recurrent and one-off healthcare expenditures Table 12: Calculation sheet: recurrent and one-off education expenditures Table 13: Calculation sheet: recurrent and one-off food expenditures Table 14: Recurrent expenditures gap (one-off expenditures have been stricken through as not applicable here) Table 15: One-off expenditures gap (recurrent expenditures have been stricken through as not applicable here)
How to complete the step	<u>Ahead of the face-to-face working session</u>: 1) The facilitator should draft a preliminary, context-specific list of key commodities and services that are relevant to the sector (Table 8). This is the "sector-specific basket" (e.g. "food basket", "NFI kit", etc.). Sectors in-country may already have this information as part of their technical guidelines/standards. More generically, reference could be made to the Sphere standards. 2) Consulted via email by the facilitator, sector experts will confirm the list of items in the sector basket, the frequency of consumption or utilisation of those items (Table 8), the minimum required quantity per person or per household during the period of reference – according to country-level sector and/or Sphere standards - and

	the unit price. The price information could be found/collected through their logistic/supply chain team. This will provide information to populate **Error! Reference source not found.**. 3) The facilitator will prepare the sector tables (possibly in Excel) of typical recurrent and one-off expenditures, which contain the following information: • household or individual expenditure and – if household – for what size • item • unit • frequency (see definition below) • timing of expenditure (e.g. after a shock/loss of assets, a specific month of the year; a specific time in a particular month) • quantity of the item units • unit price • total cost (multiplication of quantity by unit price) 4) The facilitator will populate the columns "Actual expenditures" of Table 14 and Table 15, with the median (or mean, if stable) expenditure figures found in the basic needs assessment. It is very important to complete these columns ahead of the working session, and possibly using an Excel sheet. 5) Finally, the facilitator should collect information around the national poverty lines and how they are calculated. Generally, there can be more than one poverty line, including relative and absolute, food-related and food/non-food related. The more ground is covered ahead of the working session via email exchanges, the shorter and more effective will be the meeting. <u>At the face-to-face working session</u>: 6) The facilitator will present the breakdown of expenditures of a hypothetic household (Table 8), differentiating between recurrent and one-off and expenditures (see definitions below), as well as services and commodities. Participants will add anything missing or amend where needed. 7) With the facilitator's support, participants will populate/finalise (see Table 9: Table 9, Table 10), by adding any additional basic items for their sector, required quantity per person or per household, and unit costs. 8) Estimate and compare the recurrent costs of meeting those basic needs with the amount households are currently spending on that set of items, <u>by each period of reference</u>, and estimate the total expenditure gap(s) accordingly. Be careful not to mix expenditures that refer to different periods (e.g. the monthly expenditures with weekly expenditures, for instance); to avoid confusion, you could find a common denominator and convert

	all expenditures to that period of reference (e.g. make them all monthly expenditures). With the information that has been generated, populate Table 14. Estimate the total expenditure gap. 9) If information is available, they will compare the total of recurrent costs with the poverty line(s) and relevant items. 10) Compare the one-off costs of meeting those basic needs with the amount households are currently spending on that item, and estimate the expenditure gap accordingly. With the information that has been generated, populate Table 15. Pay attention to the period of reference, as flagged above. Finally, note when – over the year – the one-off purchases/expenditures tend to happen.
Estimated time required	2 hours
Notes	Definitions: • Minimum Expenditure Basket: for detailed definition see the section "Key concepts and definitions". It is important that everyone involved in the process and the recipients of its outputs will bear in mind that the MEB is not the amount to be transferred. Its purpose is to give an indication of the benchmark level of expenditures. The transfer is generally lower, because households – in general - have some level of capacity to generate an income. • (Expenditures) reference period: consumption and utilisation of commodities and services may be more or less frequent, ranging from recurrent to one-off events. Some goods or services, once they have been utilised, they have to be repurchased; some others can be reutilised multiple times or have a specific timeframe. The reference period refers to the frequency of expenditures, which reflects the interval at which the commodity or service has to be repurchased. • Recurrent expenditures: these expenditures are repeated over time, as the commodity or service is consumed and must be repurchased on a regular basis. As a convention, the maximum reference period would be the quarter. The most common recurrent expenditures within a household are those for food, water, and hygiene items. The recurrent costs can be covered by an MPG that is given regularly. • One-off expenditures: these are non-frequent expenditures, and include seasonal or exceptional/unpredictable costs. A one-off expenditure is, for instance, the deposit for accommodation rental, or the fees to register a business. The seasonal costs occur on a regular but non-frequent basis, at specific times of the year. Examples of seasonal expenditures are education-related expenditures, or the purchase of agricultural inputs ahead of the sowing/planting season. Exceptional costs are of a varied nature and may also arise from the emergency itself. Examples include the costs related to the repair of a house or purchase of furniture; the medical costs to treat an injury. The one-off costs can be covered by sectoral top-ups.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 8: Typical recurrent and one-off expenditures by sector and category

Sector	Category	Frequency	Type of expenditure faced by a household
CCCM / shelter / NFI	Communication	One off	• Phone • Sim card • Repair
		Recurrent	• Phone credit • Phone bill • Internet bill
	Energy (for cooking, lighting, heating, etc.)	One off	• Stove • Heater
		Recurrent	• Kerosene • Electricity • Firewood • Charcoal
	Household items	One off	(Source: improved NFI kit for north-east Nigeria) • Synthetic Mat • Blanket • Mosquito net • Foldable mattress • stainless plates • stainless cups • table spoons • kitchen knife • serving spoon • Solar lamp • cooking pots (7"5" litres)
		Recurrent	
	Housing and shelter commodities	One off	• Tenancy deposit • Rent (when paid for the entire year) • Furniture • Appliances • Permissions • Construction materials • Skilled and non-skilled labour for repair
		Recurrent	Rent (when paid monthly or quarterly)
	Transport	One off	• Vehicle purchase

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			• License • Insurance • Maintenance
		Recurrent	• Fuel
Education	Education	One off	(Source: consultations with Education Sector in north-east Nigeria) • School fee • Canteen fee • Notebook • Ruler • Scissors • Maps • Pencils • Rubber • Geometric set • Mats • Sandals • School uniform • School Bag • Text Book(s)
		Recurrent	• Transportation • Canteen fee (if not a one-off at the beginning of the year) • snacks
Food security	Food	One off	NA
		Recurrent	• Staple • Vegetables and fruit • Meat and fish • Milk • Condiments • Oil • Sugar • Salt • Baby food
Health	Healthcare	One off	• Baby kit • Medical and hospitalisation fees for critical event (e.g. injury, surgery) • Transportation (including ambulance) at critical event • Accommodation for accompanying family members • Medicines/treatment for critical event, illness • Fees for baby delivery

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			• Immunisation fees
		Recurrent	• Medicines for chronic health issues • Healthcare fees for regular check ups • Transportation
Early Recovery	Productive assets	One off	• Land • Assets and inputs for farming activities (e.g. seeds, fertilisers, tools, equipment) • Assets and inputs for other agricultural activities (e.g. fishing, livestock breeding) • Livestock • Livestock vaccination • Assets and inputs for non-agricultural livelihoods • Workspace
		Recurrent	• Veterinary fees • Livestock feed
WASH	Potable water	One off	• Jerry can, 25 l, non-collapsible • Jerry can, 10 l, non-collapsible
		Recurrent	• 90 l/day for HH of six= 2700 litres a month • Water treatment • Transport
	Sanitation / household hygiene	One off	• Clothing • Sanitation construction / repair (labour and materials) Initial hygiene kit (for three months distributed annually): • Bucket with lid, HDPE, 20 L • Kettle with lid, plastic, sanitary cleansing, 2 L • Torch light, rechargeable • Child potty with lid • Bathing soap, 250 grams • Laundry soap, 200 grams • Rope • Clothes pins • Female undergarments, medium size • Reusable sanitary pad set (2 holders, 3 winged pads, 2 straight pads)
		Recurrent	• Bathing soap, 250 grams • Laundry soap, 200 grams • Toothbrush • Toothpaste, large, 140 g • Diaper, disposable

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Table 9: Calculation sheet: recurrent and one-off WASH expenditures

Sector		Item	Unit	Frequency (one-off, monthly etc)	Timing of expenditure	Quantity	Unit price	Total cost
WASH	WATER	Jerrycan, 25 L, non-collapsible	Piece	One off, once a year	Following displacement; loss of assets	1		
		Jerrycan, 10 L, non-collapsible	Piece	One off, once a year	See above	1		
	HYGIENE KIT (for family of 6)	Bucket with lid, HDPE, 20 L	Piece	One off, once a year	See above	1		
		Kettle with lid, plastic, sanitary cleansing, 2 L	Piece	One off, once a year	See above	1		
		Torch light, rechargeable	Piece	One off, once a year	See above	1		
		Child potty with lid	Piece	One off, once a year	See above	1		
		Bathing soap, 250 grams	Bar	One off, once a year	See above	18		
		Laundry soap, 200 grams	Bar	One off, once a year	See above	18		
		Rope	m	One off, once a year	See above	4		
		Clothes pins	Pack of 5	One off, once a year	See above	1		
		Female undergarments, medium size	Piece	One off, once a year	See above	4		
		Reusable sanitary pad set (2 holders, 3 winged pads, 2 straight pads)	set	One off, once a year	See above	2		
			TOTAL ONE-OFF (YEARLY) EXPENDITURES					12,110
	WATER	Water (15 l per person, per day)	litres	Recurrent, monthly	When stocks to be replenished	2700		
	HYGIENE REFILL (for family of 6)	Bathing soap, 250 grams	Bar	Recurrent, monthly	See above	6		
		Laundry soap, 200 grams	Bar	Recurrent, monthly	See above	6		
		Toothbrush	Piece	Recurrent, monthly	See above	6		
		Toothpaste, large, 140 g	Tube	Recurrent, monthly	See above	1		
		Diaper, disposable	Piece	Recurrent, monthly	See above			
			TOTAL RECURRENT (MONTHLY) EXPENDITURES					4,109

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Table 10: Calculation sheet: recurrent and one-off Shelter/NFI expenditures

Sector		Item	Unit	Frequency (one-off, monthly etc)	Timing of transfer	Quantity	Unit price	Total cost
SHELTER / NFI	HOUSEHOLD ITEMS	Sleeping, synthetic Mats	Piece	One off, once a year	Following displacement; loss of assets	3		
		Blankets	Piece	One off, once a year	See above	3		
		mosquito net	Piece	One off, once a year	See above	2		
		Foldable mattress	Piece	One off, once a year	See above	2		
		Stainless plates	Bar	One off, once a year	See above	6		
		stainless cups	Bar	One off, once a year	See above	6		
		table spoons	m	One off, once a year	See above	6		
		kitchen knife	Piece	One off, once a year	See above	1		
		serving spoon	Pack of 5	One off, once a year	See above	1		
		Solar lamp	Piece	One off, once a year	See above	1		
		cooking pots (5 litres)	set	One off, once a year	See above	3		
	HOUSING AND SHELTER COMMODITIES	Tenancy deposit	Lumpsum	One off	At contract signature			
		Rent (when paid for the entire year)	Rent	One off, once a year	At contract signature			
		Furniture and appliances	Lumpsum	One off	Following displacement, loss of assets			
		Permissions	Lumpsum	One off	As needed			
		Construction materials	Lumpsum	One off	Following displacement, loss of assets			
		Skilled and non-skilled labour for repair	Day	One off	Following displacement, loss of assets			
	TOTAL ONE-OFF (YEARLY) EXPENDITURES							
	HOUSING	Rent (the reference period should be adapted as relevant)	quarter	Recurrent, quarterly	As per tenancy contract	4		

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					TOTAL RECURRENT (QUARTERLY) EXPENDITURES			
	HOUSEHOLD ITEMS	Charcoal	?	Recurrent, weekly	When stocks to be replenished	?		
	SERVICES	Transport	?	Recurrent, weekly	When stocks to be replenished	?		
		Communication	?	Recurrent, weekly	When stocks to be replenished	?		
		Electricity	?	Recurrent, weekly	As per supply contract	?		
					TOTAL RECURRENT (MONTHLY) EXPENDITURES			?

Table 11: Calculation sheet: recurrent and one-off healthcare expenditures

Sector		Item	Unit	Frequency (one-off, monthly etc)	Timing of expenditure	Quantity	Unit price	Total cost
HEALTH	One off expenditures For patient and caregiver only	Baby kit	Piece	One off, unpredictable	At birth			
		Medical and hospitalisation fees for critical event	Lumpsum	One off, unpredictable	At critical event			
		Transportation (including ambulance)	Lumpsum	One off, unpredictable	At critical event			
		Accommodation for accompanying family members	Days	One off, unpredictable	At critical event			
		Medicines/treatment for critical event, illness	Lumpsum	One off, unpredictable	At critical event, illness			
		Fees for baby delivery	Lumpsum	One off, unpredictable	At baby delivery			
		Immunisation fees	Lumpsum	One off, unpredictable	At appropriate age			
	TOTAL ONE-OFF (YEARLY) EXPENDITURES							
	Recurrent For patient	Medicines for chronic health issues	Lumpsum	Recurrent, monthly	When stocks to be replenished			
		Healthcare fees for regular check-ups	Lumpsum	Recurrent, monthly				
		Transportation for regular check-ups	Lumpsum	Recurrent, monthly	See above			
TOTAL RECURRENT (MONTHLY) EXPENDITURES								

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Table 12: Calculation sheet: recurrent and one-off education expenditures

Sector		Item	Unit	Frequency (one-off, monthly etc)	Timing of expenditure	Quantity	Unit price	Total cost
		School fee	Lumpsum	One off, once a year	August / September			
		Canteen fee	Lumpsum	One off, once a year	August / September			
		Notebook	Piece	One off, once a year	August / September			
		Ruler	Piece	One off, once a year	August / September			
		Scissors	Piece	One off, once a year	August / September			
		Maps	Set	One off, once a year	August / September			
	One off (for child attending school)	Pencils	Set	One off, once a year	August / September			
		Rubber	Piece	One off, once a year	August / September			
EDUCATION		Geometric set	Set	One off, once a year	August / September			
		Mat	Piece	One off, once a year	August / September			
		Sandals	Pair	One off, once a year	August / September			
		School uniform	Piece	One off, once a year	August / September			
		School Bag	Piece	One off, once a year	August / September			
		Text Book(s)	Piece	One off, once a year	August / September			
	TOTAL ONE-OFF (YEARLY) EXPENDITURES							
		Transportation	Day	Recurrent, daily	Across school year			
	One off (for child attending school)	Canteen (if not one-off)	Day / month	Recurrent, daily / monthly	Across school year			
		Snacks	Day	Recurrent, daily	Across school year			
TOTAL RECURRENT (MONTHLY) EXPENDITURES								

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Table 13: Calculation sheet: recurrent and one-off food expenditures

Sector	Item (to be adapted to the context)	gms/day/pp	Kc/day/pp	gms/HH/day	Unit	Frequency	Timing of expenditure	Quantity month	Unit price	Total
FOOD	Rice	150	540	750	Kg	Month		22.50		
	Millet	0	0	0	Kg	Month		0.00		
	Maize	250	913	1250	Kg	Month		37.50		
	Beans	75	255	375	Kg	Month		11.25		
	Palm oil	10	88	50	Kg	Month		1.50		
	Groundnut	15	85	75	Kg	Month		2.25		
	Sugar	10	39	50	Kg	Month		1.50		
	G/nut oil/Veg Oil	20	177	100	Kg	Month		3.00		
	Salt	5	0	25	Kg	Month		0.75		
	Onion	8	3	40	Kg	Month		1.20		
	Other					Month				
	Other					Month				
	Other					Month				
	Other					Month				
	Total		**2,100**							

Table 14: Recurrent expenditures gap (one-off expenditures have been stricken through as not applicable here)

Sector	Category	Number of persons	Desired expenditure for recurrent costs *Minimum Expenditure Basket*	Actual expenditure for recurrent costs (from BNA)	Expenditure gap *MPG amount*
Food	Food commodities	5 persons			
Health	Health commodities	6 persons			
	Health services	6 persons			

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WASH	Potable water	6 persons			
	Hygiene commodities	6 persons			
	~~Hygiene facilities~~	-		-	-
Shelter / NFI	Housing (rent)				
	~~Shelter commodities~~	-		-	-
	~~HH items~~	-		-	-
	Energy commodities				
	Transport services				
	Communication services				
	~~Communication commodities~~	-	-	-	-
Education	Ed services				
	Ed commodities				
	Total				

Table 15: One-off expenditures gap (recurrent expenditures have been stricken through as not applicable here)

Sector	**Category**	**Desired expenditure for recurrent costs** ***Minimum Expenditure Basket***	**Actual expenditure for one off expenditures (from BNA)**	**Expenditure gap**	**When one-off costs are required (time of year)**
Food	~~Food commodities~~				
Health	Health commodities				
	Health services				
WASH	Potable water				At identification
	Hygiene commodities				At identification
	~~Hygiene facilities~~		-		-
Shelter / NFI	~~Housing (rent)~~	-	-	-	-
	Shelter commodities		-	-	-

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	HH items		-	-	-
	~~Energy commodities~~	-	-	-	-
	~~Transport services~~	-	-	-	-
	~~Communication services~~	-	-	-	-
	Communication commodities				
Education	Ed services				August-September
	Ed commodities				August-September
	Total	**NGN 12,110**	**NGN 0**	**NGN 0**	

d) Lessons from pilot

The list of items should be prepared in advance, with the unit costs. Sectors may already have this information as part of their technical guidelines/standards.

Step 5 If/when cash is proposed, for each of the preferred modalities, compare AVAILABLE transfer mechanisms

a) Guidance

Objective / output	Preferred transfer mechanism
Question to answer	Which mechanisms are the best value for money for each modality?
Actors to be involved	Cash experts
Required inputs and resources	Transfer mechanisms / financial service providers assessment findings
Available tool	Table 16: Comparative table of transfer mechanisms
How to complete the step	The information for this step could be collected through the Transfer Mechanism / Financial Service Providers Assessment. Some preparatory discussions can also take place via email exchange among the cash experts. Steps: 1) Which modalities were preferred (see output of Step 3)? (This is what goes in column A of Table 16) 2) For each modality, which mechanism is feasible/available in the selected locations? (This is what goes in column B of Table 16) 3) To determine pros and cons consider aspects including:

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	• How capable would the FSP be to reach the caseload? • How experienced are sector members in using the mechanism? • How familiar are the target groups with these ways of getting access to money? • What protection concerns are associated with these mechanisms? 4) To determine costs for the implementing organisation, consider the following criteria: service provider fees, printing of cards / vouchers, distribution costs (rent of site, security guards, rent or purchase of equipment and support devices, distribution staff and casual labour), training of partners and beneficiaries, staff costs, contracts with implementing partners, insurance costs, all other costs. 5) Populate Table 16.
Estimated time required	1 hour
Notes	Definitions: • Modality – refers to the different types of cash based transfer. These can be conditional/ unconditional and restricted/unrestricted. They can also be sector specific or cross sectoral. • Mechanism – refers to different ways of delivering a transfer. E.g. direct physical cash distribution, mobile money, paper voucher, electronic voucher. Notes: 1) The mechanism has to be tailored to the modality but not the objective. 2) Add additional rows as needed.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 16: Comparative table of transfer mechanisms

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Preferred CT modality	Available CT mechanism	Advantages	Disadvantages	Cost (1 is least expensive – 5 is most expensive)	Comments and recommendation
Modality 1	[write name of Type 1]				
	[write name of Type 2]				
	[write name of Type 3]				
Modality 2	[write name of Type 1]				
	[write name of Type 2]				
	[write name of Type 3]				
Modality 3	[write name of Type 1]				
	[write name of Type 2]				
	[write name of Type 3]				

d) Lessons from pilot

This step should be undertaken by cash experts and then discussed with each sector group.

Step 6 Comparative analysis of sector response options

a) Guidance

Objective / output	Unweighted ranking of options based on both suitability to objective and operational feasibility
Question to answer	Which response is most suitable and operationally feasible, assuming all criteria have the same weight?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Definitions and scores below
Available tool	Table 17: Comparative table of response options (suitability and operational feasibility) Prepare one table per each objective, best if in Excel form, to calculate scores more easily

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How to complete the step	1) Decide if the criteria have all the same weight. If not, then establish weights for each criterion. Note that "appropriateness" relates to the relevance of the response option to the objective and it has been assessed in Step 2, whereas the other criteria form part of the broader "operational feasibility". 2) Prepare one table per each objective (**Error! Reference source not found.**). 3) If applicable, use the information on non-cash responses (from Step 2) as possible response options. 4) Use the information on cash responses (disaggregated by cash modalities and mechanisms (from Step 3 and Step 5)) as the possible response options 5) With the assistance of the facilitator, the group will determine what are the pros and cons of each criteria as they apply to each response option, for the relevant objective. 6) Consider whether CTP will create or exacerbate protection risks and benefits for individuals, households and communities, and to what extent new risks could be mitigated by affected communities, humanitarian agencies and duty-bearers (governments) and/or by complementary program activities. Compare risks and benefits of cash, vouchers, in-kind, and no material intervention, e.g. limiting assistance to advocacy or service.
Estimated time required	1.5 hours
Notes	*Scores:* 1 = doesn't meet the criteria at all 2= partly meets the criteria 3 = fully meets the criteria *Definitions:* • *Programmatic risk* includes substandard quality commodities and services available locally, inflation caused by the programme, reduced earning for local businesses and individuals (creation of oligopoly), misplaced incentives to service provision, creation of unequal access to goods and services, assistance not use for intended purposes (in-kind sold or cash misspent). • *Operational and institutional risks* include diversion of assistance, theft, corruption, fraud, security risks for staff, reputational risks to actors. • *Contextual risk* includes vagaries of climate (floods, droughts), conflicts and displacements, political instability and social unrest, global financial crises, price increases due to global/national inflation. • *Protection risks* for beneficiaries includes security risks, harmful intra-household and community dynamics (e.g. between recipients and no-recipients), undue taxation, theft, exploitation.

b) Session participants

Name	Title	Organisation	Email

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c) Working session output

Table 17: Comparative table of response options (suitability and operational feasibility)

OBJECTIVE 1 [write objective]						
CRITERIA	**Considerations**	**Response options**				
		[write response option]	[write response option	[write response option]	[write response option]	[write response option]
APPROPRIATENESS (TAKEN FROM QUESTION 1)						
Suitability to objectives and target groups *Is the response option appropriate to achieve the objectives, for all intended groups*	Positive					
	Negative					
	score					
ACCEPTANCE BY LOCAL AND NATIONAL AUTHORITIES						
Acceptance by authorities *Is the response option acceptable for the local and national authorities?*	Positive					
	Negative					
	score					
MARKETS AND SERVICES						
Suitability to existing service systems (e.g. education, health, public water system, other essential services) *Do the local public services and infrastructure have the capacity to support the proposed response options?*	Positive					
	Negative					
	score					
Consequences for the service systems *Will the public service system and its infrastructures be damaged or supported by the proposed response option?*	Positive					
	Negative					
	score					
Suitability of market conditions	Positive					
	Negative					
	score					

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Do the relevant markets have the capacity to respond positively, timely and at scale to the proposed response option?						
Consequences for relevant markets *Will the market actors (or other parts of the system) be damaged or supported by the proposed response option?*	Positive					
	Negative					
	score					
IMPLEMENTING AGENCIES' CAPACITY TO OPERATE AT SCALE AND IN A TIMELY MANNER						
Sector members' familiarity with the modality *What portion of the sector members are familiar with the response option (# of experienced organisations out of total # of members)?*	Positive					
	Negative					
	score					
Capacity to go at scale in a short timeframe (caseload size) *Is it possible for the sector partners to go at scale with the response option, in a short timeframe?*	Positive					
	Negative					
	score					
Geographic coverage *Which of the response option has the widest geographic coverage (in terms of feasibility)?*	Positive					
	Negative					
	score					
RISKS						
Programmatic (quality standards) and protection risks *Which response option offers fewer and more manageable programmatic risks, including protection risks for beneficiaries?*	Positive					
	Negative					
	score					
Operational and institutional risks *Which response option offers fewer and more manageable operational and institutional risks?*	Positive					
	Negative					
	score					
Contextual risks *Which response option offers fewer and more manageable contextual risks?*	Positive					
	Negative					
	score					
COSTS						
Costs for the organisation	Positive					

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Which of the response options has lower costs for the organisation?	Negative					
	score					
Costs for the beneficiaries *Which of the response options is most convenient for the beneficiaries (in terms of costs incurred to benefit)?*	Positive					
	Negative					
	score					
Overall score (maximum = 42)						

d) Lessons from pilot

The Shelter/NFI group worked autonomously as the facilitator was supporting another group. A facilitator is required, when groups are not familiar with the process and did not have time to read the guidance. This will ensure all criteria are considered, their pros and cons are noted, and scores are included.

Also the FSL group could not be supported by the facilitator, who was working with the WASH representative. As a result, the exercise was not fully understood by the group, as it appears from the list of pros and cons, and the fact that many fields have been left blanked and many criteria have not been scored. The guidance has now been revised to make it more accurate; however, definitions of risk typologies may need to be improved, as it seems the group had not understood what they actually were. For this objective, the "service-related" criteria do not apply and should not have been discussed – they should have been left blank.

Step 7 (optional) Weighted scoring of sector response options

a) Guidance

Objective / output	Weighted ranking of options based on both suitability to objective and operational feasibility
Question to answer	Which response is most suitable and operationally feasible, based on the weighted criteria?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	The weight of each criterion would have been allocated at the onset of Step 6. Previously filled out **Error! Reference source not found.**.

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Available tool	Table 18: Weighted comparison of response options for objective 1 (suitability and operational feasibility) There will be one table per each objective, best if in Excel form, to calculate scores more easily
How to complete the step	1. Write the weight of each criteria (see table below) (columns 2 – 5) 2. Copy down the scores for each criteria and each response option from table 7 above (columns 2 – 5) 3. Multiply the weight by the score (columns 6 –8)
Estimated time required	30 minutes
Notes	This step can be skipped if you believe that all criteria are of equal weight.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 18: Weighted comparison of response options for objective 1 (suitability and operational feasibility)

OBJECTIVE 1 [write objective]											
CRITERIA	**Weight**	**Scores**					**Weighted scores**				
		[write response option]	[write response option]	[write response option	[write response option]	[write response option]	[write response option]	[write response option]	[write response option]	[write response option]	[write response option]
APPROPRIATENESS (TAKEN FROM QUESTION 1)											
Suitability to objectives and target groups *Is the response option appropriate to achieve the objectives, for all intended groups*											
ACCEPTANCE BY LOCAL AND NATIONAL AUTHORITIES											
Acceptance by authorities											

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Is the response option acceptable for the local and national authorities?											
MARKETS AND SERVICES											
Suitability to existing service systems (e.g. education, health, public water system, other essential services) *Do the local public services and infrastructure have the capacity to support the proposed response options?*											
Consequences for the service systems *Will the public service system and its infrastructures be damaged or supported by the proposed response option?*											
Suitability of market conditions *Do the relevant markets have the capacity to respond positively, timely and at scale to the proposed response option?*											
Consequences for relevant markets *Will the market actors (or other parts of the system) be damaged or supported by the proposed response option?*											
IMPLEMENTING AGENCIES' CAPACITY TO OPERATE AT SCALE AND IN A TIMELY MANNER											
Sector members' familiarity with the modality *What portion of the sector members are familiar with the response option (# of experienced organisations out of total # of members)?*											
Capacity to go at scale in a short timeframe (caseload size) *Is it possible for the sector partners to go at scale with the response option, in a short timeframe?*											
Geographic coverage *Which of the response option has the widest geographic coverage (in terms of feasibility)?*											
RISKS											

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Programmatic (quality standards) and protection risks *Which response option offers fewer and more manageable programmatic risks, including protection risks for beneficiaries?*											
Operational and institutional risks *Which response option offers fewer and more manageable operational and institutional risks?*											
Contextual risks *Which response option offers fewer and more manageable contextual risks?*											
COSTS											
Costs for the organisation *Which of the response options has lower costs for the organisation?*											
Costs for the beneficiaries *Which of the response options is most convenient for the beneficiaries (in terms of costs incurred to benefit)?*											
Overall score (maximum = 126)											

d) Lessons from pilot

Nothing to report, as this step was not tried by any of the sectors.

Step 8 Final recommendations on sector response options for targeted groups and locations

a) Guidance

Objective / output	Paragraph(s) articulating the sectoral response package for the targeted population group and locations.
Question to answer	What interventions does the sector intend to implement to address the identified humanitarian needs?
Actors to be involved	• Session facilitator • Sector experts

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	• Information management officers • Cash experts
Required inputs and resources	Outputs of all previous steps
Available tool	Template 1 Template 2
How to complete the step	1. Use the information produced in the previous steps to fill out the empty spaces. The facilitator may assist in carrying out this step.
Estimated time required	30 minutes
Notes	The template may have to be adapted as appropriate.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Template 1 Sector response options (not cash based)

Over the next [period] the [name of sector] sector will provide assistance to [targeted population group/community] in [location]. [estimated number of individuals] across [number of households] households will benefit from this assistance. This is [percentage] % of total households living in these areas. This assistance will help them to [objective statement]. [targeted population group/community] will have [output of the assistance].

Template 2 Sector response options (cash based)

Over the next [period] the [name of sector] sector will provide assistance to [targeted population group/community] in [location]. [estimated number of individuals] across [number of households] households will benefit from this assistance. This is [percentage] % of total households living in these areas. This assistance will help them

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to [objective statement]. [targeted population group/community] will receive [type of cash based transfer and frequency] of [amount / quantity] in [number of instalments] instalment(s) or rounds, [on the condition to …, as applicable].

This assistance package will be delivered over [timeframe]. Risks will be considered in the following way:

a) __________ (mitigation(s) of programmatic risk(s) including protection risks)
b) __________ (mitigation(s) of operational risk(s))
c) __________ (mitigation(s) of contextual risk(s))
d) __________ (mitigation(s) of institutional risk(s))

The total funding required will be [value of funding].

d) Lessons from pilot

Only the WASH group reached this step and completed it, with the support of the facilitator.

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Phase III. Inter-Sector response options analysis

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Step	Participants	Time required
1. Presentation of the sector plans and putting together the assistance package by group/location	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1.5 hours
2. Identification of potential synergies across sectors	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
3. Agreement on appropriateness of MPG for recurrent expenditures	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
4. Estimation of MPG value based on recurrent sector expenditures	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
5. Adjustment of the response options based on agreement of where MPG can be used	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
6. Consideration of cross-sector themes for selected response options	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	2 hours
7. Decision on sectoral one-off transfers, amount and timing	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour
8. Final recommendations	Session facilitator; Sector experts; Information management officers; Cash experts; Protection experts	1 hour

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Step 1 Presentation of the sector plans by each sector and putting together an assistance package by group and LGA

a) Guidance

Objective / output	Overview of multi-sector package of assistance by population group and location
Question to answer	What sector assistance would each population group receive in each location, as per initial plans?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Output of Step 8, Phase II
Available tool	Table 19: Multi-sector assistance package**Error! Reference source not found.**
How to complete the step	Ahead of the face to face working session 1) The facilitator collects output of Step 8, Phase II for each sector 2) They populate Table 19, reproducing it on a large-scale paper sheet. At the face-to-face working session 3) Each sector presents the output of Step 8, Phase II, in plenary. 4) The facilitator summarises the package of assistance that each group would receive, in each location and highlighting the different packages that would be offered in the same location (which may trigger contentious among groups).
Estimated time required	1.5 hours
Notes	NA

b) Session participants

Name	Title	Organisation	Email

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c) Working session output

Table 19: Multi-sector assistance package

	IDPs in collective centres	IDPs in host families	IDPs in informal camps	Residents
Jere				
Konduga				

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MMC				

d) Lessons from pilot

Nothing to report.

Step 2 Identification of potential synergies across sectors

a) Guidance

Objective / output	An integrated, inter-sector assistance package for the targeted population groups.
Question to answer	How can the multi-sector package of assistance be upgraded into an integrated, inter-sectoral assistance package?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts; • Protection experts
Required inputs and resources	Output of Step 1, Phase III
Available tool	Table 20: Integrated, inter-sector response packages
How to complete the step	1) The facilitator moderates a discussion in plenary along these guiding questions, and marks notes on the paper sheet. a) Is the proposed response package complete, considering the context in which the target group lives? Do you think any additional intervention could strengthen the combined outcome?

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	b) Would linking different sector responses chronologically and/or by targeted caseload improve outcomes for this group? *If so, same targeting approach should be agreed upon and applied.* c) Are the interventions consistent or do you foresee any potential negative interactions? 2) The facilitator will annotate where response options could be connected in a way to generate additional beneficial outcomes. 3) They will add any additional response that would improve the outcomes of the already proposed responses. 4) The facilitator will highlight (in a different colour) where response options would be potentially damaging if connected.
Estimated time required	1 hour
Notes	Example of integrated inter-sector interventions: a combined livelihoods and education intervention that provided livelihoods support (e.g. vocational training and start-up grant) and a school-fee voucher to the same households. This integrated intervention would make it more likely that education outcomes are achieved and maintained than if the interventions were conducted independently.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 20: Integrated, inter-sector response packages

	IDPs in collective centres	IDPs in host families	IDPs in informal camps	Residents

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Jere				
Konduga				
MMC				

d) Lessons from pilot

Nothing to report.

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Step 3 Agreement on appropriateness of MPG for recurrent expenditures

a) Guidance

Objective / output	Agreement over appropriateness of MPG.
Question to answer	Would an MPG be an appropriate way of meeting recurrent needs and what should it cover?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Findings of the Basic Needs Assessment • allocation of 10,000 NGN (p. 16) • expenditure gap by sector (p.20)
Available tool	NA
How to complete the step	1) In plenary, the facilitator asks participants to consider all recurrent cash-based responses proposed in each sections of the table above (consider each section separately). They could be highlighted/circled for easier reference. 2) The facilitator asks in plenary if there is a reason why restrictions or conditions are being imposed and if an unconditional, unrestricted cash transfer (an MPG) might be of equal or more benefit. And why this might be? 3) The facilitator will; note down a list of all those response options that can be covered by an MPG.
Estimated time required	1 hour
Notes	NA

b) b) Session participants

Name	Title	Organisation	Email

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c) Working session output

d) Lessons from pilot

Nothing to report.

Step 4 Estimation of MPG value based on recurrent sector expenditures

a) Guidance

Objective / output	Estimated recurrent MPG amount.
Question to answer	What would be the costs of an MPG that meets all sector objectives (or at least those that have been previously identified as being suitably addressed with MPGs)
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Outputs of Step 4 for each sector, Phase II
Available tool	Table 21: Estimated recurrent MPG
How to complete the step	1) Using the expenditure gaps estimated in Step 4, Phase II, for each sector, the facilitator completes the table below with the transfer value that would need to be given to beneficiaries to enable them to meet their sector based needs. If information is disaggregated by location, the MPG amount can be location-specific, otherwise an average will apply. 2) Total this to reach the recurrent MPG amount.
Estimated time required	1 hour
Notes	NA

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b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 21: Estimated recurrent MPG

Sector	Category	Estimated transfer value for Jere	Estimated transfer value for Konduga	Estimated transfer value for MMC	Average estimated transfer value
CCCM / shelter / NFI	Communication				
	Energy				
	Energy				
	Household items				
	Housing				
	Transport				
Education	Education	850	930	1,656	1,145
Food security	Food				
Health	Healthcare	996	1,105	1,136	1,079
Early Recovery	Productive assets				
WASH	Potable water				
	Sanitation/hygiene				
Estimated total MPG transfer value					

d) Lessons from pilot

Nothing to report.

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Step 5 Adjustment of the response options based on agreement of where MPGs can be used

a) Guidance

Objective / output	An integrated, multi-modal (cash and other) inter-sector assistance package for the targeted population groups, inclusive of MPG.
Question to answer	How can the multi-sector package of assistance be upgraded into an integrated and multi-modal assistance package?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Outputs of Step 1 and Step 4, Phase III
Available tool	Table 22: Revised integrated, inter-sector response packages, with MPG
How to complete the step	1) Revise the table above (generated in step 2) marking clearly where MPGs will be used and how it will replace other interventions. 2) Facilitator to advance as much as possible based on output of previous steps.
Estimated time required	1 hour
Notes	NA

b) Session participants

Name	Title	Organisation	Email

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c) Working session output

Table 22: Revised integrated, inter-sector response packages, with MPG

	IDPs in collective centres	IDPs in host families	IDPs in informal camps	Residents
Jere				
Konduga				

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MMC				

d) Lessons from pilot

Nothing to report.

Step 6 Consideration of cross-sector themes (e.g. gender, age, sustainability) for selected response options

a) Guidance

Objective / output	Protection and environmental matters are articulated
Question to answer	• What cross-sectoral themes are to be considered and integrated in the response options, including through dedicated risk mitigation measures?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	Findings of protection assessments
Available tool	Table 23: Cross-sectoral themes
How to complete the step	1) The facilitator will moderate a discussion around the following guiding questions a) Which elements of cross-sectoral themes need to be considered for the selected response options?

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	b) How will these be addressed? Do different sub-groups (e.g. women- / child-headed households) needs different responses? 2) Complete a row in the Table 23 for each sector objective.
Estimated time required	2 hours
Notes	NA

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 23: Cross-sectoral themes

Response option	Cross-sectoral theme issue	Solution

d) Lessons from pilot

Nothing to report.

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Step 7 Decision on sectoral one-off transfers, their amount and their timing

a) Guidance

Objective / output	Calendar of cash transfers (in whichever form they will be proposed)
Question to answer	What additional cash transfer top-ups are required to meet all sector needs? And when should they be delivered?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts
Required inputs and resources	The BNA calendar of expenditures (p.20) A large sheet to be hung on the wall, reproducing on a large scale the calendar, as per Table 24
Available tool	Table 24: Calendar of transfers
How to complete the step	1) In the calendar below (top row), mark over what period the recurrent MPGs should be transferred (not necessarily monthly). E.g. write “monthly MPG” in each cell from March to October, if the MPG will be transferred on a monthly basis starting from March and finishing in October. 2) Sectors add in any cash transfer top-ups that are required to meet seasonal changes in needs. These must be disaggregated by: a) unconditional & unrestricted top-ups which address seasonal variations across the board (in the top row, togethjer with MPG, as they will most likely be transferred as one) b) restricted or conditional top-ups that are limited to outcomes for one sector (which should be noted in the subsequent sector specific rows underneath the MPG/unrestricted one). 3) For all interventions specify the recipient group. 4) The facilitator will moderate a discussion around cost implications of the frequency of transfers. Is this set-up cost-efficient? Can some efficiency gains be achieved by clubbing some transfers together? 5) The facilitator moderates a discussion around the possible interactions between these cash-based interventions and the possible need to sequence them. Would there be any implication in terms of households’ expenditure choices, given this calendar of transfers and the seasonal trend of expenditures within households?
Estimated time required	1 hour
Notes	NA

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b) Session participants

Name	Title	Organisation	Email

c) Working session output

Table 24: Calendar of transfers

Category of expenditure	January	February	March	April	May	June	July	August	September	October	November	December
MPG & unrestricted top-ups												
Sectoral top-ups												
CCCM / shelter / NFI												
Education												
Food security												

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Health												
Early Recovery												
WASH												
Other												

d) Lessons from pilot

Nothing to report.

Step 8 Final recommendations on inter-sector assistance packages, quantity and timing for targeted groups and locations

a) Guidance

Objective / output	Paragraph(s) articulating the sectoral response package for the targeted population group and locations. Paragraph(s) articulating the multipurpose grant package (including unrestricted cash assistance top-ups).
Question to answer	What interventions will the sector implement to address the identified humanitarian needs, and in light of other sectors' interventions? What multipurpose grant package will be combined to the sectoral interventions?
Actors to be involved	• Session facilitator • Sector experts • Information management officers • Cash experts • Protection experts

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Required inputs and resources	Outputs of previous steps
Available tool	0 Template 4 Template 5 Template 6
How to complete the step	1) In sectoral groups, participants complete 390 and Template 4 and handover the final output to the facilitator 2) In plenary, the facilitator moderates a discussion to fill out Template 5 and Template 6
Estimated time required	1 hour
Notes	The templates may have to be adapted as appropriate.

b) Session participants

Name	Title	Organisation	Email

c) Working session output

Template 3 Sector-specific in-kind or service assistance

Over the next __________ (timeframe) the __________ (sector) will provide assistance to __________ (group) in __________ (location). __________ (number of people) across __________ (number of households) will receive assistance. This is __________ (% of total households). This assistance will help them __________ (SMART objective). They will receive a package consisting of a __________ (frequency) __________ (in kind items / services) of __________ (amount / quantity) in __________ (number) of instalment(s) or rounds.

Template 4 Sector-specific cash top-ups

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Additional assistance will be required to meet __________ (sector) needs created by seasonal expenditure variations. This will involve __________ (services / in-kind / top-up transfers) will be required to be provided to __________ (group) in ________ (location). __________ (number of people) across __________ (number of households) will receive assistance. This assistance will help them __________ (SMART objective). They will receive a package consisting of a restricted or conditional cash transfer of __________ (amount / quantity) in __________ (number) of instalment(s) or rounds during __________ (timeframe).

Risks will be considered in the following way:

a) __________ (mitigation(s) of programmatic risk(s) including protection risks)
b) __________ (mitigation(s) of operational risk(s))
c) __________ (mitigation(s) of contextual risk(s))
d) __________ (mitigation(s) of institutional risk(s))

Template 5 Multipurpose grant

Over the next __________ (timeframe) the sectors will provide assistance to __________ (group) in __________ (location). __________ (number of people) across __________ (number of households) will receive assistance. This assistance will help them __________ (SMART objective). They will receive a package consisting of a __________ (frequency) MPG of __________ (amount / quantity) in __________ (number) of instalment(s) or rounds.

Template 6 Unrestricted cash top-ups

Additional cash assistance will be required to meet households' needs created by seasonal expenditure variations. Top-up transfers will provided to __________ (group) in ________ (location). __________ (number of people) across __________ (number of households) will receive assistance. They will receive a package consisting of an MPG of __________ (amount / quantity) in __________ (number) of instalment(s) or rounds during __________ (timeframe).

The total funding required will be __________ (value of funding).

d) Lessons from pilot

Allocate enough time; the process and timing has been adjusted accordingly in the guidance.

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Annex 1: Terms of Reference: Task Team for Basic-needs Focused Response Option Analysis

(covering Jere, Konduga and MMC)

Background

The Task Team for Response Analysis (hereinafter the Task Team) aims to draw together all the various elements of the ECHO's Enhanced Response Capacity (ERC) funded pilot for the uptake of quality, collaborative Multipurpose Grants (hereinafter MPGs) in Nigeria. This work is led by a Consortium consisting of CaLP, the Danish Refugee Council (DRC), Mercy Corps, OCHA and Save the Children.

In March 2017, the Consortium began the pilot in Nigeria with the aim of providing technical and strategic support to country-based humanitarian organisations, enabling them to engage in collaborative assessments and decision making. Whilst the Consortium has not been conceived to provide direct assistance to crisis-affected populations, it is intended to have an indirect, positive impact on their lives, by means of influencing humanitarian actors to design better quality and more collaborative MPG programmes. As such, it supports and is line with the commitments made by donors and humanitarian partners as part of the Grand Bargain.

The pilot project provides information and analysis for selected LGAs in Borno State:

- Basic needs of crisis-affected people, through the Basic Needs Assessment (BNA)
- Minimum expenditure basket (MEB)
- Market functionality and related feasibility of CTP, through the Multi-Sector Market Assessment (MSMA)
- Payment mechanisms and financial service providers
- Partners' and government's capacity to implement Cash Transfer Programming (CTP)
- Effectiveness of MPG, based on existing experiences

Ultimately, it is hoped that the Consortium's approach will lead to response analysis that is better structured, and more robust, transparent and people-centred. It will consider cash (in its various forms) and in combination and combined with other modalities (in-kind, cash, services, technical assistance, a combination of these) from the start.

Assessment and decision-making tools, their findings (including the recommendations resulting from the response analysis workshop), and learning on the efficiency and effectiveness of collaborative MPGs will be shared with the country-level members of the Consortium, relevant IASC Clusters/Sectors, Cash Working Groups in country, and Cash Consortia (if any), as well as other key stakeholders in the pilot context. The pilot will help the humanitarian community make more effective and wider use of MPGs, if and when appropriate and feasible.

To do this, the Task team will play a key role in linking the information generated by the Consortium to the response analysis and linking it to the broader and multi-year Humanitarian Response Planning (HRP) process for North-east Nigeria, which will take place between end of August and October 2017.

Objectives and Expected Deliverables

The Task Team will identify possible response options based on needs and feasibility utilising the information collected through the Consortium's assessments, with a focus on the areas targeted by the pilot in Borno state (Jere, Konduga, MMC). Because of this geographic coverage, the Task Team will be based in Maiduguri.

The key deliverables will be:

- Additional analysis of the raw data from the Basic Needs Assessment, by sector
- A note validating the findings of the Basic Needs Assessment which will feed into the Humanitarian Needs Overview (HNO)
- A note validating the findings of the Consortium's other assessments (MSMA, payment mechanisms assessment, Partners' and government's capacity to implement CTP)
- A note on concrete recommendations to OISWG for priority interventions to be implemented in the short and medium term to address basic needs of specific groups of affected people.[2]

Timeline and Workplan

The Task Team will be established in early September. Initial activities relating to the review of assessment outcomes will be followed by a response analysis workshop at the end of September (exact dates tbc), in order for the Task Team's outputs to feed into the Nigeria HNO Needs Validation and HRP Response Analysis Workshop in at the end of September / early October. Depending on the final dates of those processes, the timeline may need to be adjusted. After reporting to the OISWG the Task team will be disbanded.

When	Action	Location and details	Deliverable	Focal point
28th August – 1st September	One-to-one consultations with sector leads **in Abuja**	Abuja	Buy-in from sector leads at Abuja level	Francesca Battistin (Save the Children)
6th September	Formation of task team at the joint OISWG/CWG meeting	Maiduguri Meeting invite sent by Ibrahima Barry	• TORs of Task Team validated • Task Team composition	Ayo and Ibrahima (OCHA), **Maiduguri**
11th – 15th September	One-on-one working sessions with Sector representatives in Task Team for: (1) validation of the Basic Needs Assessment findings; (2) presentation of key findings from other assessments run by the consortium by	Maiduguri **One working session of 3-4 hours** with each sector group	• Assessment findings validated by each sector (discarded the non-plausible ones, added complementary information, confirmed plausible findings) • Sector HH expenditure figures • Profile and size of groups in need • Assistance objectives by group	Nathalie Cissoko (CaLP)

[2] The key strategic, programmatic and technical decisions that would result from this process will include: Priority population groups in each area (HNO); Priority needs of each population group (HNO); Operational Environment/Feasibility; Critical markets to be supported or to operate through Critical **systems of service provision** to be supported or to operate through; Response options / assistance modalities (cash transfers, in-kind, services/technical assistance, combinations); If In-kind: what items; If services provision: what services or technical assistance; If Cash transfers: sector-specific (one or more sectors) or multipurpose; If Cash transfers: what modality; If Cash transfers: what amount; If Cash transfers: what transfer mechanism; Which aid delivery organizations, where, when; Beneficiary targeting approach and mechanism.

	consortium representative; (3) presentation of other findings by the sector; (4) definition of groups & objectives (**in Maiduguri**)			
18th – 22nd September	Review (reading) of assessments reports by Task Team; additional analysis of BNA raw data	**No meetings**, this is desk review work by the groups	• Additional analysis of BNA raw data • Good grasp of all assessment findings • Questions and observations	Task Team
25th – 28th September	One-on-one working sessions with Sector representatives in Task Team for identification and comparative analysis of response options **in Maiduguri**	Maiduguri **One working session of 3-4 hours** with each sector group	• Response options for each sector objective • Comparative analysis of response options (operational risks, programmatic risks, costs, market feasibility, FSP, etc.)	Francesca Battistin (Save the Children)
29th September	One day workshop with Task Team **in Maiduguri**	**One day workshop** with the Task Team in plenary	• Integrated response plan (any linkages among sectors) • Decision: a state or an LGA-based MPG value? • Composition of MPG and tentative value(s)	Francesca Battistin (Save the Children)

Composition

The Task Team is a sub-group of the Operational Inter-Sector Working Group (OISWG), coordinated by OCHA in Maiduguri and with the technical support of ERC Consortium Members. More specifically, the Task Team will be led by the OISWG Coordinator and the CWG Coordinator, who will also act as co-spokesperson on behalf of the group.

The Task Team will include two-three representatives from each sector of the humanitarian response (the sector lead based in Maiduguri or a sector specialist with decision making power/influence in the sector, and Information Management Officers), as well as cash experts from the Maiduguri Cash Working Group (CWG). The former will validate the priority needs and consider interventions, whereas the latter will provide expert advice on if and how cash can be used to address priority needs.

Membership is voluntary but it will be strongly encouraged as participation will provide active partners and sectors with in-depth information and guidance on how to prioritise multi-modality interventions, in line with the commitments of the Grand Bargain. This will be an advantage to both individual actors and the sectors they represent.

Roles and Responsibilities

The Task Team will

– Contribute suggestions on how best to formulate this workshop based on the task teams' experience between now and then

– Undertake a desk review of the findings of the ERC Consortium's assessments, distilling the most relevant ones

– Conduct additional analysis on the raw data of the BNA

– Make available additional assessment findings to complement those of the ERC Consortium

– Establish and estimate size of the groups in need in the three LGAs; establish assistance objectives for the identified groups

- Identify possible response options based on the established objectives
- Make a final recommendation on response options based on operational feasibility, in a workshop to be organized and facilitated by the Consortium at the end of September

Within the Task Team, the sector representatives and the cash experts will bring their respective expertise.

The Task Team Coordinators will

- form and initiate the Task Team, raising awareness on the Consortium's work and collecting expressions of interest.
- represent the group to the OISWG (when the group report on their response analysis recommendations) and will also likely chair meetings and ensure decisions are made on time and in an effective manner, and that are effectively documented.
- will participate in the wider HNO process and present the BNA and other findings validated by the Task Team during the HNO validation of state-level needs.
- will document the results of all the work undertaken by the Task Team, with the support of the Consortium members.
- will advocate for the Task Team's recommendations to be reflected in the HRP to the extent that is appropriate and possible.

The Consortium members will provide technical support and facilitation of a structured approach to identify response options. Each partner will provide the technical guidance for the data produced by their tool and Save the Children, in its capacity of Consortium lead, will provide additional coordination support in the preparatory phase (by preparing, as necessary, the workshop concept note, the agenda and presentation power points). OCHA will ensure either adequate agenda time has been provided at a regular OISWG, or dedicate a specific meeting to this (depending on how much time is required). Any feedback or follow up from sectors would also be collated by OCHA.