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Facilitator's Guide for Inter-sector
Response Options Analysis & Planning

Final version

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Preface

The genesis of the ROAP

This Facilitator's Guide for inter-sector Response Options Analysis and Planning (ROAP) has been developed within the broader framework of the Consortium for the uptake of quality, collaborative multipurpose cash grants (MPC) funded by the Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO) through its Enhanced Response Capacity (ERC) budget line (hereinafter, referred to as the ERC Consortium). The Consortium was operative from May 2016 until April 2018 and was 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 ROAP was specifically drafted to assist the ERC Consortium in facilitating a pilot inter-sector, response option analysis in Borno state, North-east Nigeria (September 2017) and in Fafan zone, Somali region of Ethiopia (March 2018). In both locations, the ROAP was facilitated by Save the Children staff. In February 2018, CaLP delivered a three-day training on Response Analysis, in which several sessions were based on the ROAP and the Basic Needs Assessment (BNA).[1]

The first version of the Facilitator's Guide, which was tested in Borno state, was very basic and significantly different from this document. Learning from the experience in Borno informed a first review of the Facilitator's Guide, and a second iteration was applied in Ethiopia with multiple changes along the way. This current version incorporates the learning from the second pilot, recommendations gathered at the final ERC Consortium's symposium held in Addis Ababa in April 2018,[2] and insights gathered at the inter-agency workshop for strengthened inter-sector response analysis, within the framework of the Humanitarian Programme Cycle (HPC) review.[3]

Organisations interested in using the Guide and people who wish to know more about its practice and lessons from the first two pilots, are encouraged to contact the project manager, Francesca Battistin at Save the Children UK (f.battistin@savethechildren.org.uk).

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[1] ERC Consortium for the Uptake of MPG. Basic Needs Assessment (BNA) Guidance and Toolbox. (2018). Available at: *http://www.cashlearning.org/resources/library/1238-basic-needs-assessment-guidance-and-toolbox-part-1-background-and-concepts*

[2] Source: ERC Consortium for the Uptake of MPG (2018) *Learning and Way Forward from the Final Symposium. Available at: http://www.cashlearning.org/downloads/mpg-toolkit-pdfs/symposiumreport20180601.pdf*

[3] The workshop was hosted by UNOCHA in Geneva, on 11th July 2018.

This Facilitator's Guide can be downloaded from http://pqtoolbox.cashlearning.org/ and http://www.cashlearning.org/resources/library/1129-facilitators-guide-for-the-basic-needs-based-response-options-analysis-and-planning?keywords=&region=all&country=all&year=all&organisation=all&sector=all&modality=all&language=all&payment_method=all&document_type=all&searched=1.

A work in progress[4]

Two pilots do not constitute practice and more experience must be gained to improve the ROAP and increase the humanitarian community's familiarity with it.

For example, one issue that has not yet been tested is whether the ROAP would be a useful and appropriate approach in a sudden onset crisis - the crises in both Nigeria and Ethiopia are protracted situations. However, it is likely that the time requirement would weigh particularly heavily in such a situation.

Tool revisions and further piloting should be conducted in an iterative manner until a tool is developed that is fully applicable in a wide range of contexts although it should be noted that the ROAP will always require a small amount of contextualisation wherever it is used. Specifically, the pilots:

- Will show evidence of value-add. Participation in the ROAP pilots should be open to a wide range of participants and reports and recommended revisions to the tool should be made available to all interested parties. These can be used to inform programming and, if the process has been fruitful, to advocate for greater use of the tool.
- Could be done collaboratively with country level clusters to improve the tools themselves and ownership of them. As with the clusters in Nigeria and Ethiopia, which piloted the tools and contributed to their development, inter-cluster groups need to test the tool before they can recommend improvements. A theoretical revision would not be as effective.
- Will determine if the ROAP can be used on a large scale i.e. to produce a crisis-wide response plan. In Nigeria the ROAP covered three Local Government Authorities and in Ethiopia it covered four woredas.[5]

A note on the ROAP uptake and ownership[6]

As a paradigm challenging tool that cuts across the sector-based approach it is particularly important that the ROAP should have, across a range of levels within the humanitarian sector, champions as well as those who are able to facilitate, lead, and finance the process. However, by the end of the project that delivered this Facilitator's Guide, no conclusive decision was reached about how this could be best achieved. It was agreed that it was important to develop an advocacy strategy to create strategic

[4] Source: ERC Consortium for the Uptake of MPG (2018) *Learning and Way Forward from the Final Symposium.*
[5] In Nigeria the pilot looked at Jere, Konduga, and Maiduguri Metropolitan Council (MMC) LGAs in Borno State. In Ethiopia the pilot covered Babile, Hareshen, Kebribeyah, and Tuliguled woredas in Fafan Zone in the Somali Region.
[6] Source: ERC Consortium for the Uptake of MPG (2018) *Learning and Way Forward from the Final Symposium.*

ownership (who should do or be the target of this was not clarified, although government buy-in was agreed to be necessary); and deliver training – capitalising on the recently revised CaLP training course on response analysis - to build technical ownership (although, as with the BNA, whether this expertise should sit with a global roster of experts, designated experts within country ICWGs, or elsewhere was not agreed).

At the global level, one possible locus of strategic ownership is the global clusters who, under OCHA's coordination, could play a key role in ensuring the ROAP is adopted and further piloted. In this regard, a concrete point of entry is the ongoing adjustment of key areas of the Humanitarian Programme Cycle (HPC) process, led by OCHA in Geneva with the participation of global clusters and key UN agencies. More specifically, the relevant workstream would be that tasked with strengthening inter-sector needs and response analysis.

Many within this group are already part of a 'coalition of the willing' when it comes to the importance of strengthening response analysis, including within the ongoing adjustment of the HPC. Key members of this group have been directly involved in developing or piloting the ROAP and as such will be well placed to judge the relevance of the ROAP as a potential model for the Humanitarian Response Plan (HRP) within the HPC. Whilst it is not possible to be prescriptive as to use of the ROAP, country teams will be informed of the existence of this approach and will adopt it (or not) and adjust it as appropriate to the context.

Dissemination and uptake will also be supported by including the ROAP Facilitator's Guide in CaLP's Programme Quality Toolbox (PQT), as well as by promoting the delivery of CaLP's Response Analysis training course in which the ROAP is already included.

Finally, one of the steps proposed in the ROAP, i.e. the estimation of the MEB, should be implemented jointly with national or sub-national CWGs. While Save the Children were rolling out the ROAP in Ethiopia the national CWG was, in a parallel process, calculating the MEB, which was then challenging to reconcile with the relevant steps followed in the ROAP. Ideally, the MEB estimation guidance contained in the ROAP should be made available, adapted as necessary, and officially adopted by the country-level CWG. Where the ROAP process is taking place, the MEB estimation would be part of it, with inputs or leadership from the CWG, as long as clusters are engaged. At present, no official and harmonised guidance on how to calculate an MEB exists. In cases where the MEB has already been estimated, the guidance contained in the ROAP could be applied at revision stage, or to triangulate and double check the accuracy of the first estimation.

Acronyms

BNA	Basic Needs Assessment
CaLP	Cash Learning Partnership
CCCM	Camp Coordination and Camp Management
CTP	Cash Transfer Programming
CVA	Cash and Voucher Assistance
CWG	Cash Working Group
DRC	Danish Refugee Council

ECHO	Directorate-General for European Commission's Civil Protection and Humanitarian Aid Operations
ERC	Enhanced Response Capacity
ES/NFI	Emergency Shelter / Non-food Items
FAO	Food and Agriculture Organisation
FSL	Food Security and Livelihoods
FSP	Financial Service Provider
GCCG	Global Cluster Coordination Group
HCT	Humanitarian Country Team
HESPER	Humanitarian Emergency Settings Perceived Needs Scale
HNO	Humanitarian Needs Overview
HPC	Humanitarian Programme Cycle
HRP	Humanitarian Response Plan
ICWG	Inter-cluster Working Group
IOM	International Organization for Migration
ISWG	Inter-sector Working Group
JIAG	Joint Inter-sector Analysis Group
M&E	Monitoring and Evaluation
MEB	Minimum Expenditure Basket
MIRA	Multi-sector Initial Rapid Assessment
MPC	Multipurpose Cash
MPG	Multipurpose Grants (used interchangeably with Multipurpose Cash, MPC)
MSMA	Multi-Sector Market Assessment
MSRAF	Multi-Sector Response Analysis Framework
NRC	Norwegian Refugee Council
PDNA	Post-disaster Needs Assessment
PiN	People in Need
PLW	Pregnant and Lactating Women
PQT	Programme Quality Toolbox
ROAP	Response Options Analysis and Planning
RPBA	Recovery and Peacebuilding Assessments
SDA	Secondary Data Analysis
UN OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNHCR	United Nations High Commissioner for Refugees
VAF	Vulnerability Assessment Framework

WASH	Water Sanitation and Hygiene
WFP	World Food Programme

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CHAPTER 1: INTRODUCTION TO THE ROAP AND THE GUIDE

What are the ROAP and the Facilitator's Guide?

The basic-needs based Response Options Analysis and Planning (ROAP) is intended as a structured sector and inter-sector decision-making process, which brings together and draws from the information generated through a multitude of needs and operational environment assessments (see *CHAPTER 2: SOURCING INFORMATION FOR THE ROAP*).

The ROAP ultimately leads to the selection of the most appropriate, operationally feasible, and cost-efficient response options to achieve sector and inter-sector objectives for specific target groups and geographic areas. It considers in-kind transfers, direct service delivery, vouchers, cash transfers, and combinations of those.

Since the ROAP is conceived to be informed by situation analysis, on occasions this Facilitator Guide makes explicit reference to specific assessment methodologies, such as the Basic Needs Assessment (BNA) (see the section '

Overview of assessment methodologies for situation analysis', in chapter 2).

The Facilitator's Guide is a customisable step-by-step guide comprising tools and templates to facilitate the ROAP process, in a sudden-onset or protracted emergency. It is expected to assist in analysing data from different sources - including humanitarian staff knowledge and experience of the sector, cash, protection matters - to come up with response decisions.

The ROAP took inspiration from the 2015 Multi-Sector Response Analysis Framework (MSRAF) draft guidance[7] and Urban Response Analysis Framework (2017).[8] The overarching basic needs approach took inspiration from ECHO's Basic Needs Framework for Integrated Response.

Why the ROAP Facilitator's Guide

At the heart of the ROAP approach are three of the Grand Bargain goals[9] that have been agreed by the sector's biggest donors and providers. These key goals are to:

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

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

The ongoing work by the Joint Inter-sectoral Analysis Group (JIAG) will produce a needs analysis framework, which would inform most of the strategic decisions covered in the ROAP. On the other hand - at the time of writing this Facilitator's Guide – the framework does not look at the operational environment where needs are unfolding (e.g. the markets, the service providers, the capacities of humanitarian actors) and does not explore acceptance and appropriateness of response options; hence it is not designed to inform programmatic and operational decisions.

The ROAP aims not only to fill this gap but the provide a tool that identifies and assesses response options that are first and foremost suitable to the response objectives and informed by an understanding of the immediate causes of unmet needs, as well as affected groups' assistance modality preferences. Generally, humanitarian needs assessments do not investigate these aspects and consequently the choice of modality (in-kind, direct service delivery, cash transfers, vouchers, a combination) is not people centred. To address this gap, the ROAP is closely linked to and is implemented after rolling-out the BNA, or other needs assessment (or analysis) that explores similar variables.

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[7] The MSRAF was initially conceived to go with the Operational Guidance and Toolkit for Multipurpose Cash Grants. It has not been publicly released, but parts of it have been used in this Facilitator's Guide.

[8] Iied, International Rescue Committee, Norwegian Refugee Council, & World Vision. (2017) Urban Response Analysis Framework (URAF) Guidance Note for Humanitarian Practitioners. Available at: http://pubs.iied.org/pdfs/10824IIED.pdf

[9] 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 own needs, and routinely interact with markets or (public/semi-public) service providers to satisfy these needs. 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 full spectrum of beneficiaries' 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 puts people at the centre.

Another consideration that triggered the development of this Facilitator's Guide is that clusters/sectors apply their own approaches to assess response options, but their ability to systematically consider cash and voucher assistance (CVA) varies significantly. The results are cluster/sector plans that tend to propose interventions that clusters/sectors are traditionally familiar with, and that fail to recognise and exploit the potential of mixed modalities.

Finally, response options are frequently considered in the context of cluster/sector silos, not allowing for synergies and integration of sector responses, or the identification of multi-sector interventions such as multi-purpose cash grants (MPC). The result is a patchwork of sector-specific plans with limited 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 MPC 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 their interventions on households that receive different combinations of assistance, in different sequencing and timing.

Who should use it

The primary intended users of the Facilitator's Guide are experienced facilitators, possibly with previous experience in participatory planning processes, and 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 of multi-sector response planning, 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.

Ideally, the process should be carried out with an inter-sector and inter-disciplinary Task Team, formed of sector-specific sub-groups who would bring their specific expertise and knowledge. 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. This Facilitator's Guide can be explored and referred to by these Task Team members (country-level sector experts, cash transfer programming experts and protection experts) when they are called to participate in the process. A sample Terms of Reference for the Task Team, as they were drafted for the ERC-MPC pilot in Nigeria, is provided in Annex 1: Example Terms of Reference: Task Team for Basic-needs Focused Response Option Analysis.

For its successful uptake, the process and result of the ROAP should be known and endorsed by clusters/sectors at the country level.

The purpose of the ROAP and the Facilitator’s Guide

The ROAP aims to provide inter-sector processes, tools and templates to enhance joint and evidence based strategic and programmatic decisions on appropriate, operationally feasible and cost-efficient assistance modalities (i.e. in-kind aid, direct service provision, cash transfers, vouchers, a combination).

The ROAP is designed to support the making of sectoral and inter-sectoral strategic and programmatic decisions, including goal settings, response modalities transfer mechanisms, quantity/amount of assistance, assistance sequencing, 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, where, and how it is appropriate to use it

The ROAP can be used in both sudden onset and protracted crises, when the Humanitarian Country Team (HCT) agrees to engage in a new humanitarian response planning process or a revision of a previously existing humanitarian response plan (HRP). This process becomes necessary when the situation is such that strategic and operational decisions must be taken by clusters 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.

A ROAP must be preceded by a full-fledged situation analysis, including an inter-sectoral analysis of the needs (i.e. the ongoing work of the JIAG) and an analysis of the operational environment. Exactly how the ROAP is used will depend on context:

The guidance contained in this Facilitator’s Guide is **not meant to be followed slavishly**!
On the contrary, ROAP facilitators are encouraged to kick-off the process by drawing up a plan of action that sets out the scope of work, the expected outputs, the steps to be followed, and the composition, roles and responsibilities of the task team. Steps and tools proposed in this can be lumped, split, simplified, and amended as appropriate to the context and in line with the time and human resources are available for the task. The sequencing can also be re-arranged, and some steps can be carried out simultaneously.
For instance, a possible way of simplifying the step related to the comparative analysis of response options, would consist of reducing the number of criteria guiding the analysis and/or avoiding to scoring the response options against them.

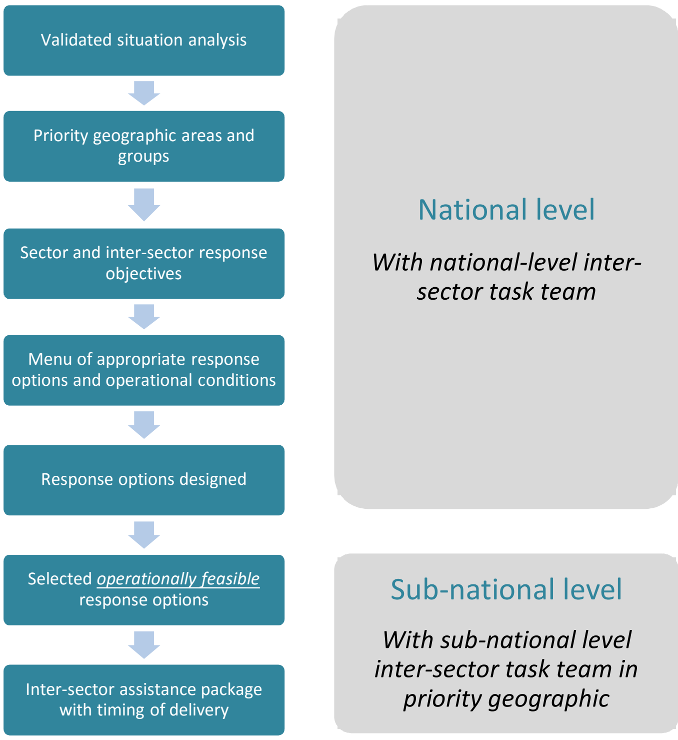
- With adequate preparedness and facilitation, and provided that the necessary assessments have been carried out to analyse the situation, the process can be implemented in the first quarter following a sudden-onset crisis. In these contexts, it can support Revised Flash Appeals.

- In protracted crises, the approach can be used to inform the HRP 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 there will be opportunity for a sustained response.

Across sectors

The ROAP creates a uniquely inter-sectoral working environment as it requires true collaboration during its use. Representatives of all Clusters/Sectors – both those directly the target of interventions and protection (which should be mainstreamed) - should attend and where appropriate they should be from the sub-national clusters in the prioritised geographic areas. In the pilots the inter-sector nature of the work was felt to be a strong advantage of the approach, creating a novel space for inter-sector dialogue that uncovered shared issues and the possibility for synergistic solutions.

Across levels



The ROAP can be used at different levels, but, as of its release in August 2018, it has never been tried nation-wide as a replacement to the HRP.

The necessity to dive into lower administrative levels is determined by the diversity of the humanitarian crisis and context across the country. The level at which stakeholders should be engaged (national, regional, district) is to be decided before starting the situation analysis. For each decision (and ROAP output) to be sound and enforced by agencies, buy-in and engagement from sub-national experts and decision makers is essential. It is assumed that strategic-level decisions would be made by clusters at the national level and would be part of an HRP while programmatic decisions are most suitably taken at the sub-national level and are specific to a certain geographic area. 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 and constraints.

Preferably the ROAP should not be rolled out by single agencies unless they are multi-sectoral and have (or plan) large-scale operations in the targeted area. This is recommended for two key reasons: firstly, the process is best undertaken by groups of at least two or three experts per sector, which would be hard to find within one single agency; and secondly, the ROAP is intended to encourage harmonisation of responses and approaches which can be achieved only when the main elements of humanitarian programmes are defined and agreed upon by groups of agencies.

What is the structure of this guide

This Guidance is structured in three chapters: (1) introduction to the ROAP and the Facilitator's Guide; (2) sourcing information for the ROAP; and (3) implementing the ROAP.

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

Chapter 2, the "Sourcing information for the ROAP", allows the readers to situate the ROAP in the broader Humanitarian Programme Cycle, and in particular, its relation to the previous situation analysis phase. This chapter provides an overview of the assessment methodologies promoted by clusters and other actors to assess needs and vulnerabilities, as well as the operational environment of a proposed humanitarian response. In addition, this chapter maps the strategic and programmatic decisions that these assessment methodologies contribute to, highlighting possible gaps in information.

Chapter 3, the "Implementation of the ROAP" is the "how to" section of this document. It explains how the process unfolds, describing resource requirements, roles and responsibilities for each step, and the competencies that need to be mobilised for a successful assessment. The process (and most of the chapter) is structured along the key outputs that the ROAP aims to deliver.

> The "outputs" could be seen as sequential, with one feeding into the other, but the "actions" for which guidance is provided do not always have to be carried out in the exact sequence in which they are presented. The process can and should be customised and the sequencing of actions decided by the facilitators.

The chapter provides customisable, step-by-step guidance on how to:

- Make strategic decisions on 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, based on their suitability to the selected objectives, operational feasibility and cost-efficiency (Phase II).
- Review sector plans from an inter-sector standpoint to build synergies and ensure integration; identify multi-sector interventions, such as the MPC; 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 the pilots in Borno State (Nigeria) and the Somali region of Ethiopia.

How to read the icons

Icon	Description
	Output: indicates that you are reading about the deliverable or product resulting from a specific step or activity.

Attention!: Text tagged with this icon conveys particularly important messages or ideas, that readers are encouraged to pay attention to.

Reading materials: in boxes tagged with this icon, you will find references to relevant reading materials. Links are provided wherever the reading material is available online.

Lessons learned: flags lessons and recommendations stemming from the pilots in Borno State (North-East Nigeria) and Fafan zone (Somali region, Ethiopia).

Keep it simple and short: in boxes tagged with this icon, you will be reminded and/or given tips on how to keep the approach as simple as necessary, for a good-enough result and being mindful of the typical shortage of time and resources with which we are faced in humanitarian responses.

Key concepts and definitions[10]

Basic needs

This concept is used throughout this Guide, hence its importance.

The concept of basic needs refers to:

- the essential goods, utilities, services or resources
- required on a regular, seasonal, or exceptional basis
- by households
- to ensure survival and minimum living standards,
- without resort to negative coping mechanisms or compromising health, dignity and essential livelihood assets.

The above concept takes inspiration from the Basic Needs Approach of the International Labour Organization (ILO, 1976), one of the most significant approaches to the measurement of absolute poverty. The ILO's Basic Needs Approach 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 ILO Basic Needs Approach fails to connect deprivation with people's values, aspirations and the result (well-being). The Capability

[10] This section is drawn from the Guidance and Toolbox for Basic Needs Assessment (2018).

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.

> The basic needs concept is mostly used when calculating the amount of cash/voucher that should be transferred based on a list of basic commodities and services to be determined. See "*Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred*".

According to article 25 of the United Nations' Universal Declaration of Human Rights (1948), *'everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services'*. It is undeniable that this should be the case also in times of crisis.

Basic Needs Basket

The Basic Needs Basket is the list of basic commodities, services, and facilities that households should consume/utilise to attain minimum living standards and live in health and with dignity, without resorting to negative coping mechanisms. Since there is no universal agreement on 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.

In humanitarian responses, Clusters/Sectors translate the concept of basic basket into "kits", which are standard packages of food and non-food items normally distributed to affected populations in kind.

In the BNA methodology, these needs have been organised in sixteen categories (see Table 1). They were selected based on a meta-review of existing Minimum Expenditure Baskets and then refined based on testing the information for programmatic purposes.

Table 1: List of basic needs according to a right-based approach

The right of every child to learning and personal development	School supplies (uniforms, shoes, stationary, books, etc.)
	Transport services to school
	Education services and facilities (tuition fees, teachers, canteen, school premises etc.)
The right to decent living conditions and to a safe, clean and healthy space	Energy commodities and utilities for heating, cooking, lightning, and charging (excludes fuel for vehicles, which is classified under transport services)
	Shelter and housing (rent of a house, land rent/purchase, building materials, construction services, permissions, etc.)
	Household items (utensils, mats, blankets, mosquito nets, cooking sets, furniture, household appliances, etc.)
	Sanitation facilities and services (toilets, shower, bath, sewage system, repair and construction services, etc.)
The right to the highest attainable standards of physical and mental health	Food (staples, fresh vegetables and fruits, meat, etc.)
	Medicines and other healthcare products (pharmaceuticals, medical devices, etc.)
	Healthcare services (doctors, nurses, health centres, vaccination campaigns, laboratory tests, emergency services, surgeries, hospitalisation, etc.)
	Transport services to healthcare providers
	Potable water (water, treatment, water points, etc.)

	Hygiene items (clothing, cleaning products, soap, toothbrush, sanitary pads, diapers, etc.)
The right to work and to have a productive and socially engaged life	Productive assets and inputs for agricultural and/or non-agricultural activities (seeds, fertilisers, livestock, fodder, vehicles, machines, devices, stock for a shop, etc.)
	Transport services (for all purposes except going to school or healthcare provider, i.e. to work, markets, etc.; includes fuel)
	Communication services and supplies (phone devices, phone credit/bills, internet, service providers, towers, network, repair services etc.)

Average expenditure basket

The average expenditure basket is the average amount spent by an average household, reported by categories of commodities and services. Average expenditures are estimated for a given month, with the figure varying month by month, as some purchases/spending occurrs either on a seasonal or on an exceptional basis (see definition below).

> This concept is mostly used when calculating the amount of cash/voucher (including MPC) that should be transferred based on a list of basic commodities and services to be determined. See "*Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred*".

Expenditures reference period

The reference period refers to the frequency of expenditures, which in turn reflects the interval at which the commodity or service must be repurchased. Consumption and utilization of basic goods and services can vary from one month to the other. Some goods or services, once they have been utilised, must be repurchased whilst others can be reused multiple times or have a specific window/timeframe for utilisation. Based on their frequency, expenditures can be:

> This concept is mostly used when deciding the timing and sequencing of transfers as part of the *Key output: Design of sector-specific response options* and the *Key output: Calendar of sector and inter-sector assistance by group and location.*

- **Recurrent expenditures** are repeated over time, as the commodity or service is consumed and must be repurchased on a regular basis (e.g. daily, weekly). As a convention in the BNA, the maximum reference period for an expenditure to be defined as "recurrent" is the quarter. The most common recurrent expenditures within a household are on food, water, and hygiene items. In practical terms, when the response is cash-based, the recurrent costs can be covered in several ways, including labelled cash transfers, vouchers, or by an MPC that are transferred on a regular basis.

- **One-off expenditures** are non-frequent expenditures; they relate to commodities or services that are purchased on a seasonal or an exceptional basis.

- **Seasonal expenditures** occur on a regular but non-frequent basis, at specific times of the year, and at intervals that are longer than a quarter (as a convention in the BNA). Examples of seasonal expenditures are school fees and school supplies at the start of the academic year, or the purchase of agricultural inputs ahead of the sowing/planting season.

- **Exceptional expenditures** are of a varied nature and may also arise from the emergency itself. Examples include: the deposit for accommodation rental; the cost of repairing a house or purchasing furniture; medical costs to treat an injury; fees to register a business. In practical terms, when the response is cash-based, one-off costs can be covered by sectoral top-ups to an MPC, in the form of cash transfers or vouchers.

Minimum Expenditure Basket

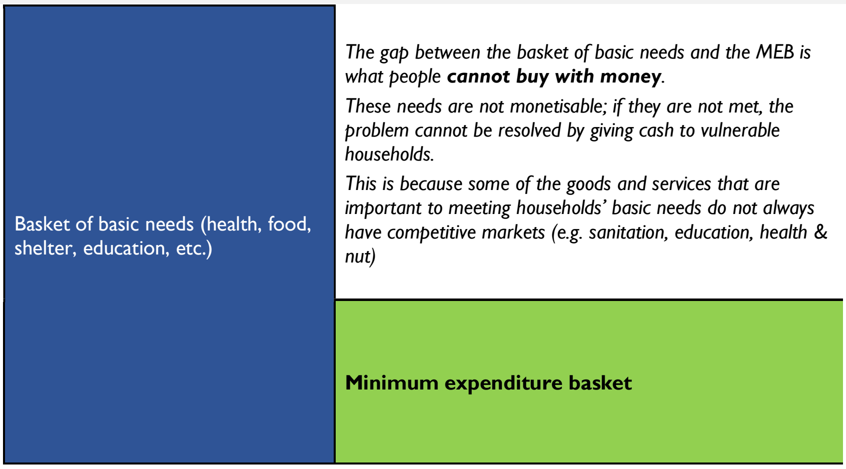
> This concept is mostly used when calculating the value of cash/voucher (including MPC) that should be transferred based on a list of basic commodities and services to be determined. See "*Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred*".

The Minimum Expenditure Basket (MEB) is the minimum amount of money required for a household to buy the appropriate quantity and quality of goods and services which will help them meet (some of) their basic needs, on a regular or seasonal basis. In other words, it is the monetary value of the (monetizable /purchasable portion) of the basic needs basket. It is based on the average cost of all these items. As explained in Box 1, the MEB is not necessarily the same as the basic needs basket. MEBs, which can be calculated for various sizes of households, allow users to estimate an expenditure gap as well as the impact suffered by various household groups. The expenditure gap is the difference between MEB and average households' expenditures.

Box 1: Basic needs basket vs. MEB and average households' expenditures vs. consumption

Basic needs basket ≠ Minimum Expenditure Basket

It is important to note that, although a good-enough approximation, the MEB does not necessarily coincide with the monetary value of the basic needs basket. In fact, some needs are not *monetizable* i.e. the value of the commodities, services, and facilities that would have to be consumed or utilised by a household as a basic requirement, cannot always be expressed in currency, for a number of reasons. For instance, there may not be a competitive market for the related goods, services, or facilities; or the whole or part is offered free of cost or at subsidised price. A typical case is that of therapeutic food: it is not available in local markets and is provided free of cost by specialised entities to patients diagnosed with malnutrition. Therapeutic food is a basic need for these families, but not expressed in their MEB.

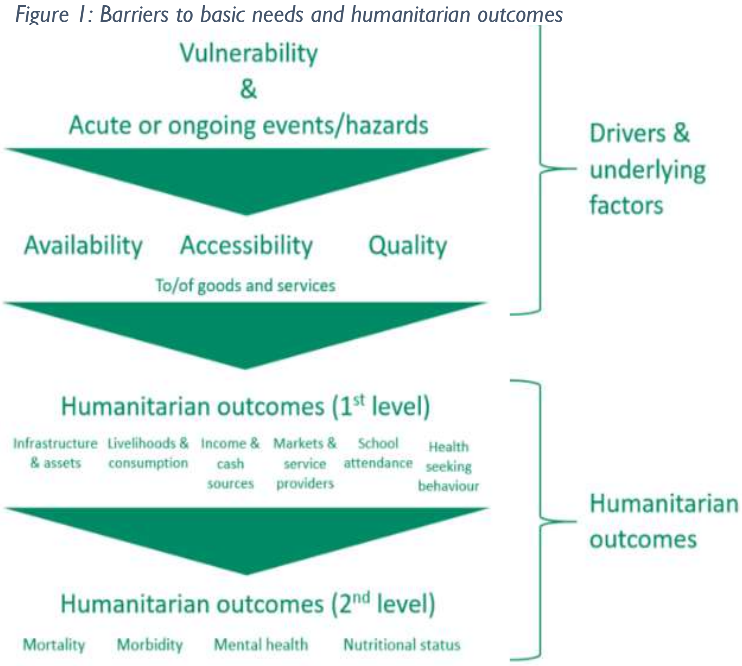


In addition to the above, we have to bear in mind that…

Consumption ≠ Average household's expenditures

Although a good approximation of consumption, average household's expenditures do not exactly match the monetary value of the commodities and services actually consumed and utilised by the household (if the value of those food items was hypothetically monetised). For example, some goods consumed by a household may be produced by the household itself. This is the typical case with food items which can be produced through farming. When this happens, food expenditures do not actually reflect actual consumption. The Household Economy Approach[11] offers a well-thought through methodology to that purpose.

Figure 1: Barriers to basic needs and humanitarian outcomes



Barriers to basic needs

In the BNA methodology, **barriers** refer to the set of factors (deficiencies or mechanisms) related to access to, availability of, and quality of essential goods or services, which contribute directly or indirectly to unmet needs and consequent humanitarian outcomes.

For instance, increased food insecurity can be the result of lack of food within markets or insufficient income to purchase food, or a combination of these. Identifying the *barriers* to meeting basic needs is essential to design programmes that are relevant and address the causes of identified humanitarian issues.[12]

When a shock/hazard occurs, we generally observe disruption affecting the access, quality, availability, awareness, or utilisation of critical goods and services (see Box 2 below for a more detailed description). In other words, affected people' consumption of necessary goods and services is constrained by one or a combination of these issues.

As a result, the satisfaction or degree of fulfilment of basic needs decreases and the affected population experiences *unmet basic needs*. **Unmet basic needs** are the actual difference between a preferred state or condition, and the actual one. This

> This concept is mostly used in the Guided activities within Key output: Sector and inter-sector response objectives, which focuses on the sector-specific and inter-sector causal analysis. In particular, see: *Guided sector-level activity: Sector-level causal analysis*

[11] Save the Children & Food Economy Group. (2000). Household Economy Approach (Practitioners Guide). Available at: https://www.spring-nutrition.org/publications/tool-summaries/household-economy-approach-practitioners-guide

[12] An example of a non-pertinent response would be offering cash assistance to achieve food security when the underlying factor is not related to insufficient income to buy food, but to the actual unavailability of food in local markets.

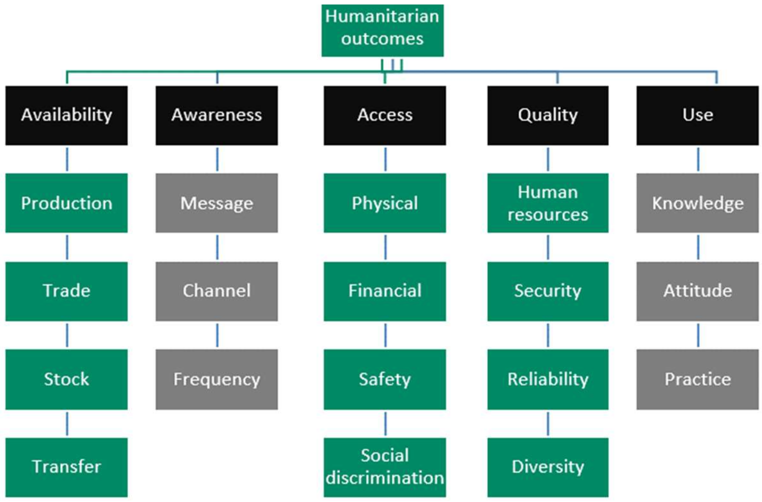
discrepancy might in turn create further negative, harmful of undesirable outcomes, such as fear, physical and/or mental health issues.

Figure 1 above shows the cause and effect chain leading to different levels of humanitarian outcomes. Pre-existing conditions and problems may also exacerbate humanitarian outcomes. In fact, there may be different levels of problems or underlying factors. While some needs assessment methodologies (e.g. the BNA) may collect data on barriers, humanitarian aid providers should deepen the causal analysis further by identifying links between causes. This guide provides guidance on how to conduct the causal analysis, both within single sectors and at the inter-sector level.

Box 2: Categories and subcategories of barriers experienced by the population

Figure 2 shows the five categories of barriers that can typically cause humanitarian outcomes, as well as their respective sub-categories, as conceptualised and put in practice in the BNA Guidebook and Toolbox (*note: the BNA covers only the green barriers*).

Figure 2: Categories of barriers experienced by the population



Availability refers to the actual presence of goods, services, facilities, and infrastructures in the location of concern through all forms of domestic production (e.g. farming), trade (e.g. commercial imports), stock (e.g. food reserve, contingency stocks), and transfer (aid or subsidies or free services) by a third party (the national government, local authorities or humanitarian actors).

Awareness is the result of actions aimed at improving people's use and consumption of the goods, services, and facilities that are deemed important for meeting basic needs (i.e. their behaviours). Barriers constraining the effectiveness of awareness raising relate to the message, the channel through which this is imparted, and the frequency.

Accessibility refers to people's ability to obtain and benefit from goods and services, including those offered by humanitarian agencies. It often concerns the physical location of services (distance, road access, bridges, etc.), but can also be influenced by purchasing power (a financial factor), social discrimination, special vulnerabilities, or security issues that constrain movements.

Quality refers to the degree of excellence, benefits or satisfaction that 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 the reliability (consistency of quality over time), diversity and safety of the provided service or good (i.e. water quality, sterilization of medical tools, pharmaceuticals, etc.). It is important to stress that affected populations and humanitarian agencies may have different perceptions of quality.

Use/consumption of specific goods, services, and facilities is about people's behavior. It is a product of people's knowledge about the existence and importance of these good, services, and facitlities, their attitudes toward them (which are driven by the value they attach to them), and the appropriateness of the practices they enact when consuming / utilising such goods, services, and facilities.

Humanitarian outcomes

Humanitarian outcomes refer to negative consequences experienced by a group of people affected by a crisis. They result from issues related to the five barriers outlines above. They can be divided into two levels of outcomes; the first focusing on changes in key aspects of life, such as consumption, livelihoods, income, health seeking behaviour, learning, etc.; and the second and ultimate level of humanitarian outcome focusing on physical and mental consequences, such as excess morbidity or mortality, mental health, nutritional status, etc.

> ! This concept is most useful when validating assessment findings (Key output: Validated situation analysis), as well as when setting sector and inter-sector response objectives (Key output: Sector and inter-sector response objectives).

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 with confirmed or potential humanitarian outcomes. Understanding cause-effect relationships is central to the ROAP and has several advantages. It can:

- Identify the deficiencies or mechanisms that contribute directly or indirectly to humanitarian outcomes.
- Understand the causal mechanisms that contribute the most to unmet needs.
- Separate causes and effects to allow for 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.

Criticality of needs

There is no universal list of basic needs, and basic needs will vary based on context (see above). Similarly, and depending on the situation, not all basic needs have the same importance or contribute the same way to living standards. For instance, shelter and clothes will be considered as critical in cold contexts, energy less important in hot areas, and so on. In a people-centred approach, affected people's prioritisation should be at the core of humanitarian response strategies.

> ! This concept is mostly useful when validating assessment findings (Key output: Validated situation analysis), as well as when identifying priority geographic areas and groups (Guided sector-level activity: Identification and profiling of the most affected groups by).

Response options

In this Guide response options, also referred to as aid modalities, are types of interventions that humanitarian actors design and implement to deliver assistance to crisis-affected communities, households, and individuals. They are a means to an end, where the end is the expected outcome of the intervention (e.g. securing access to school, improving food security status, reducing morbidity and/or mortality from a certain medical condition). In other words, they are solution to a particular problem that the target population is facing (see *Barriers to basic needs*). Response options can be of four types, each providing something different to the recipients, and requiring different operational efforts and programmatic design considerations from the implementer. The four types referred to in this Guide are: *In-kind assistance*, *Direct service delivery*, *Cash transfer*, and *Vouchers*. Combinations of response options are also possible and, in fact desired, when a specific objective can only be attained by addressing multiple barriers faced by the target population (see *Barriers to basic needs*).

- **In-kind assistance** is provided in the form of tangible objects: goods, commodities, or products for immediate use or consumption (e.g. food, tents, shelter materials, school supplies, hygiene kits, NFI kits, dignity kits, medicines).
- **Direct service delivery** is assistance provided in the form of services (e.g. secondment of staff, primary healthcare, alternative schooling, case management, technical assistance throughout shelter repairs/rebuilding, training, awareness raising sessions). The term 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.
- **Cash transfer** are assistance provided in the form of money (either physical currency or e-cash) to beneficiaries (individuals, households, or communities). Like vouchers, cash transfers are aimed at increasing the recipients' purchasing power. Cash transfers are by definition unrestricted in terms of use and distinct from restricted modalities including vouchers and in-kind assistance.[13] However, the implementing agency can give some suggestions and nudges to direct recipients' expenditure choices in specific directions (e.g. for food, for healthcare of household members with medical conditions, for children's wellbeing, their health and education). As such, they can be proposed as sectoral or multi-sectoral transfers, when the transfer is accompanied by recommendations to buy goods and services that fall within one sector only or multiple sectors, respectively. Recipients can also decide not to spend part of the transfer and may set aside some as savings or pay back debts.
- **Vouchers** are a paper, token or e-voucher that can be exchanged for a set quantity or value of goods, denominated either as a cash value (e.g. $15) or predetermined commodities (e.g. 5kg of maize) or services (e.g. milling of 5kg of maize), or a combination of value and commodities. Vouchers are restricted by default, although the degree of restriction will vary based on the programme design and type of voucher. They are redeemable with preselected vendors or in 'fairs' created by the agency. The terms vouchers, stamps, or coupons are often used interchangeably".[14] Vouchers can be sectoral or multi-sectoral, when the basket of allowed commodities relates to a specific sector, or to multiple sectors respectively.

[13] See CaLP's glossary at this link http://www.cashlearning.org/resources/glossary
[14] Ibid

Box 3: Other key terms used in cash transfer programming

Cash transfers and vouchers are defined by the application or absence of conditionalities, the delivery mechanism, the type of cash transfer, and the transfer value:[15]

Conditionality refers to prerequisite activities or obligations that a recipient must fulfil in order to receive assistance. Conditions can in principle be used with any kind of transfer (cash, vouchers, in-kind, service delivery) depending on the intervention design and objectives. Types of condition include attending school, building a shelter, attending nutrition screenings, undertaking work, training, etc. Cash for work/assets/training are all forms of conditional transfer.

Delivery mechanisms are the means of delivering a cash or voucher transfer: e.g. cash in hand, mobile money transfer, 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. Vouchers can be sector-specific or multi-sector; their purpose is defined by the range of products that recipients are allowed to procure through them.

Transfer value refers to the amount of cash or value of the voucher to be transferred.

Programmatic risks

Programmatic risks are inherent in the design features of the cash or voucher intervention, including the choice of modality, the targeting approach, the amount, the duration and frequency of the transfers, the choice of vendors in a voucher programme. They may have a negative impact on the achievement of programme objectives or cause side effects on the context itself. They include: recipients purchasing substandard quality commodities and services, 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 used for intended purposes (e.g. in-kind or vouchers sold, vouchers redeemed for items not included in the list); negative environmental impact.

A type of programmatic risks that deserves special focus and analysis are the protection risks. These affect beneficiaries by directly doing harm to them. They include security risks, harmful intra-household and community dynamics (e.g. between recipients and no-recipients), undue taxation, theft, exploitation.

Operational risks

Operational risks are inherent in the operational set-up and procedures governing the CVA, such as the controls, delivery mechanism, the financial service provider, the supporting services, as well as the implementing capacities and reputation of partners and providers. These risks negatively affect the timely delivery of assistance, the quality and consistency of the service provided, the safety of implementing staff and beneficiaries, the reputation and finances of the implementing agency and donor.

[15] Ibid.

Implications may include disallowances from donors. Examples include: delays in delivery, service disruptions, diversion of assistance, theft, corruption, fraud, security risks for staff.

Contextual risks

Contextual risks refer to all risks that are inherent in the context where CVA is implemented. There may be contextual risks that would undermine an intervention regardless of the response modality, and there are contextual risks that mostly affect CVA. The former includes the climate (floods, droughts), conflicts and displacements, political instability and social unrest, global financial crises, price increases due to global/national inflation. CVA may be particularly vulnerable to risks associated with price changes, the security context, etc.

CHAPTER 2: SOURCING INFORMATION FOR THE ROAP

The purpose of this chapter is to clarify where the ROAP is situated within the Humanitarian Programme Cycle (HPC), and to present a basic mapping of key information sources and their respective assessment methodologies that can be used to inform situation analysis and, eventually, the ROAP. The assessment methodologies were identified through a rapid stock-taking exercise conducted in consultation with global clusters and classified based on the focus and the stage of the HPC to which they are designed to contribute.

In addition, this chapter presents a more detailed analysis of these information sources, looking at potential overlaps and gaps, relational aspects including complementarity and sequencing, and how the results of the different assessments can inform strategic and programmatic decisions related to response analysis.

Situating the ROAP within the Humanitarian Project Cycle

Within the HPC, the ROAP is preceded by the situation analysis, which consists of needs and vulnerability analysis, and operational environment analysis. These steps are described below.

Situation analysis

To provide all information required for a rigorous analysis of response options this step involves both a needs and vulnerability analysis AND an understanding of the operational environment. The term *situation analysis* and *needs analysis* are often conflated but in this Guide, they are not considered interchangeable; the former contains needs analysis but also has a wider scope.

Needs and vulnerability analysis is the process designed to estimate or provide informed opinions about the needs and vulnerabilities of crisis affected populations. It entails a systematic set of procedures and the use of specific lines of inquiry to determine current and forecasted priority needs.[16] The methodologies used to generate information around humanitarian needs and vulnerabilities are many, and the Basic Needs Assessment (BNA) is one of them. The BNA is a multi-sector needs assessment methodology, with an added value, compared to other methodologies, of producing a ranking of priorities for assistance based on population perceptions. It informs users of the access, availability, and quality-related constraints faced by people in securing what they need from local service providers and markets, and the perceived severity of related humanitarian consequences. The BNA can inform response programmes in all humanitarian sectors; however, its findings are best complemented through local experts' knowledge of the context and in-depth assessments that sectors may require. The BNA uses both secondary and primary data; the latter is collected in the field using two main data collection techniques, Community Group Discussions (CGDs) and Household Interviews (HHIs). Its analysis method requires findings to be interpreted and validated with sector

[16] Adapted from ACAPS 2014, Witkin & Altschuld, 1995.

experts. Interested readers and potential users are encouraged to refer to the BNA Guidance and Toolbox.

Operational environment analysis focuses on the context where the humanitarian crisis and the related response are taking place, as opposed to the people in need. It outlines humanitarian access to affected populations; local and national authorities' acceptance of possible interventions (not only 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 at subsidised rates; 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.

Response options analysis

Response options 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 prioritised population groups (targeting) and response objectives. 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. 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.[17] 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 as solutions to a particular problem. For the purpose of this document, response options are categorized as in-kind aid, direct service provision, cash transfers, vouchers, 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) (see definitions in *Key concepts and definitions*: *Response options, In-kind assistance*, *Direct service delivery*, *Cash transfer*, *Vouchers*) .

At the response analysis stage, it will be necessary to define and compare different modalities and transfer mechanisms, as these two dimensions are associated with different programmatic, protection and operational risks, as well as costs for the implementing agency and the recipients of aid. Acceptance by local and national authorities may vary across modalities and transfer mechanisms, due to political

[17] Adapted FAO 2011, Maxwell et al 2013)

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.

Response planning

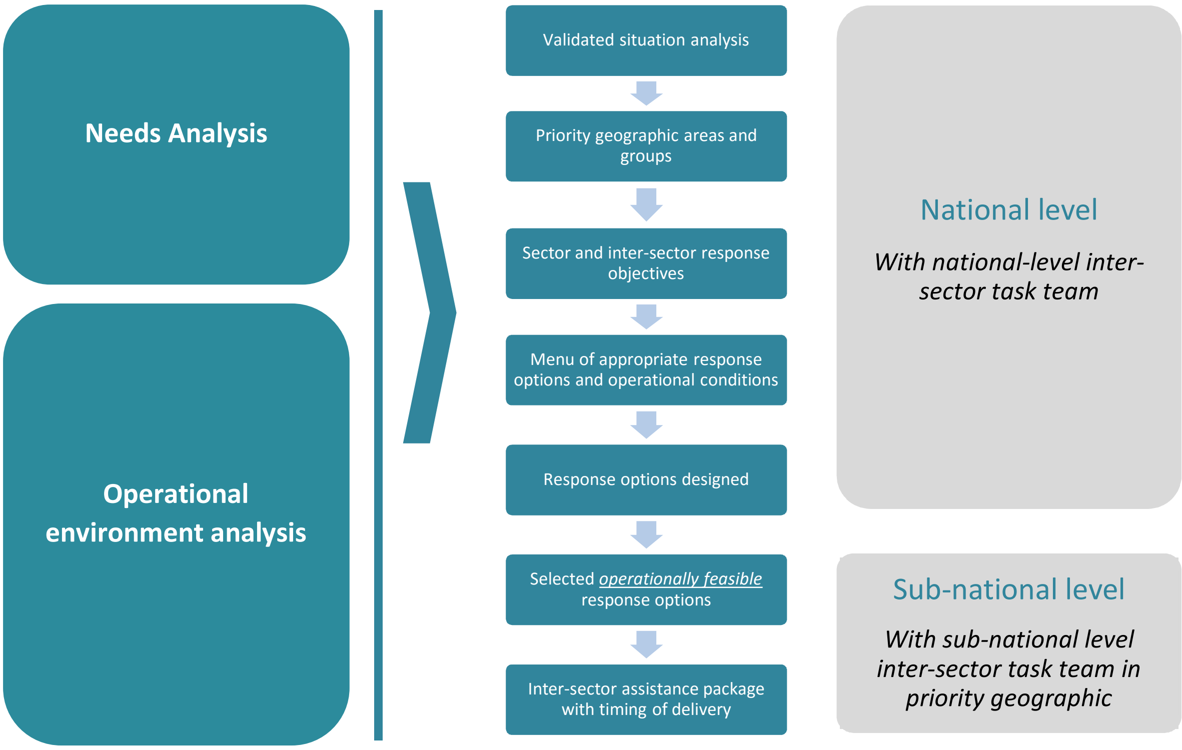
Response planning involves sectors getting together and planning their respective responses in the light of other sectors' plans. Through this process sector-specific response options are reviewed to avoid duplications, and to ensure inter-sector synergies, consistency and integration, and that multi-sector interventions - such as MPC 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 provides 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 is chosen, 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 the most suitable type of cash transfer (if sector specific or multipurpose, and how to combine different CVA), 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 proposed, including by adjusting the response plan.

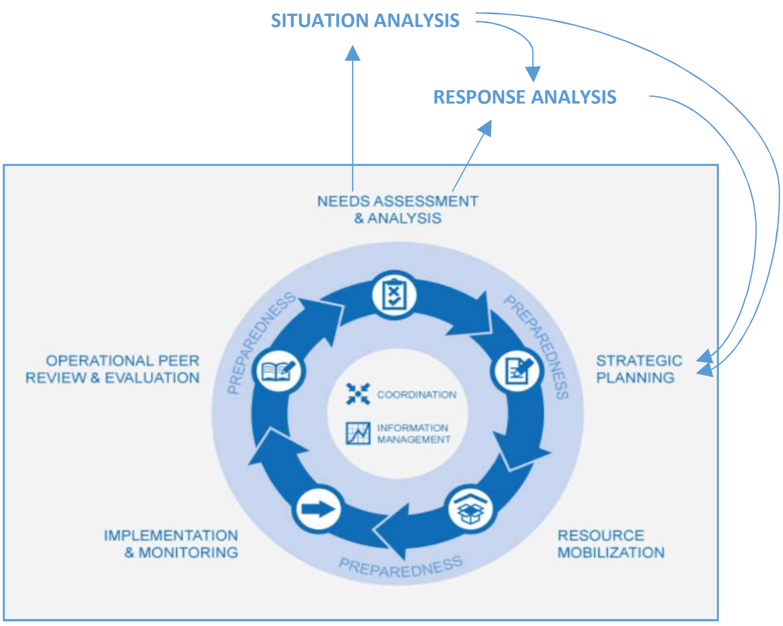
Figure 3: Situation analysis and response option analysis and planning



Overview of assessment methodologies for situation analysis

The ROAP is informed by a wide range of information that clusters and their partners generate and/or use to analyse the humanitarian situation. Specific assessment methodologies exist to produce such information and this section presents those that global clusters indicated as being the most important and frequently used. It also attempts to identify relationships, overlaps and gaps.[18]

Figure 4: The Humanitarian Programme Cycle[19]



Assessment methodologies are classified by the stage of the HPC to which they contribute, and the programmatic focus of the assessment. In particular, they are classified into the stages of Needs Assessment and Analysis and Strategic Planning, as per Figure 4. To enable more detailed analysis, the Needs Assessment and Analysis Stage was split, with needs assessment being incorporated under the broader umbrella of Situation Analysis, and Analysis being more precisely defined as Response Analysis which is informed by data from the Situation Analysis.

For the purposes of this mapping, Situation Analysis includes assessment of two complementary topics:

- the **operational environment**, which is the context where the humanitarian crisis and related response are taking place. It includes humanitarian agencies' capacity, essential services, support services, markets and risk related to supporting **supply** of critical goods, commodities and services to enable the affected population to meet their immediate humanitarian and/or recovery needs;
- the **needs of the affected population resulting from the crisis** including their vulnerabilities and rights which informs the critical goods, commodities and services in **demand and/or required by** the affected population to enable them to meet their immediate humanitarian and/or recovery needs.

The programmatic focus of the assessments can be:

[18] A note on the methodology: representatives from different clusters and themes were invited to populate an analytical framework with information about the assessment methodologies and tools they promote and the types of information these tools provide. Key informant interviews were held with cluster representatives where required for clarification purposes.
[19] Adapted from OCHA (2018) https://www.humanitarianresponse.info/programme-cycle

- **Single-sector**, when the assessment is aimed at a specific programmatic area or theme. Typically, these methodologies are intended to be used by sector experts and the outputs to inform strategic and/or programmatic decisions around a certain thematic area.
- **Multi-sector**, when the methodology explicitly mentions and collects data related to more than one programmatic area or theme, and/or when it is suitable for and/or adaptable to inform a range of programmatic areas. Examples of multi-sector assessment methodologies are the BNA and the Multi-Sector Initial Rapid Assessment (MIRA).
- **Sector neutral**, when the assessment is overarching and the information gathered does not allow inferences to be made for any specific programmatic area or theme. Examples of sector neutral assessment methodologies are the Recovery and Peacebuilding Assessment (RPBA) promoted by the Early Recovery Cluster, and all cash feasibility assessment tools. The latter include, among others, all the methodologies to assess partners' capacity to implement cash transfer programmes, existing payment mechanisms, as well as marketplaces and market systems.

The mapping, which includes 38 assessment methodologies and tools, is not exhaustive, as the response and inputs received from global clusters varied and is likely not to be fully reflective of the available offer. It is expected that the Food Security Cluster and the Protection Cluster may have additional assessment methodologies that have not been covered in this chapter; in addition, the market assessments methodologies may not be exhaustive. Further work is required to complete the inventory and ensure all critical assessments are adequately mapped.

Among the 38 assessment methodologies and tools included in the mapping (see Table 2 for the full list), those focusing on a **single sector** are most common, followed by sector-neutral assessments and **multi-sector** assessments (see Figure 5). The breakdown is as follows:[20]

- Eighteen single sector assessment methodologies and tools designed to inform specific programmes promoted by the Child Protection, Early Recovery, Education, Food Security and Livelihoods (FSL), Health, Nutrition, Shelter, and Water Sanitation and Hygiene (WASH) Clusters;
- Fourteen sector-neutral methodologies and tools: eleven inform the feasibility of cash and voucher interventions (the Partner Capacity and Payment Mechanism Assessments and nine market assessment tools)[21] the Early Recovery Cluster Humanitarian Indicator Registry & Associated Question Bank for the Recovery and Peacebuilding Assessments (RPBA) promoted by the Early Recovery Cluster; and IOM's Displacement Tracking Matrix promoted by CCCM.
- Six multi-sector methodologies and tools, including the MIRA; the BNA; the ROAP; the Vulnerability Assessment Framework (VAF) promoted by the Protection Cluster; the Humanitarian Emergency Settings Perceived Needs Scale (HESPER) promoted by the Health Cluster; and the Post Disaster Needs Assessment (PDNA) promoted by the Early Recovery Cluster.

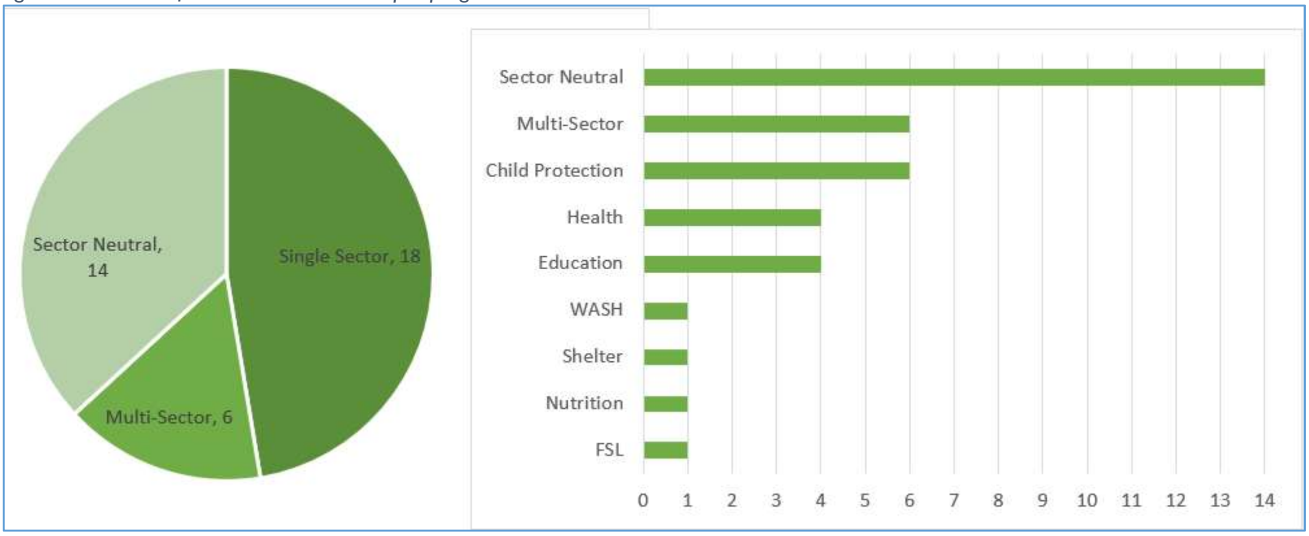
Table 2 below lists the assessments included in the mapping by stage of the HPC to which they contribute and their programmatic focus.

[20] Limitations of this mapping: no assessment methodologies were shared by the Nutrition, GBV or FSL clusters. The nutrition assessment included in the mapping was shared by the Health Cluster and the HEA was shared by Save the Children who commissioned this mapping.
[21] These tools were utilised by the ERC-funded Consortium for the uptake of MPC.

Table 2. Assessment methodologies / tools included in the mapping

	HPC stage			Focus		
	Situation analysis					
Name of assessment methodology	**Operational environment**	**Needs, vulnerabilities and rights**	**Response analysis**	**Single sector**	**Multi-sector**	**Sector neutral**
IOM- Displacement Tracking Matrix (DTM)		✓				✓
Child protection initial assessment	✓	✓		Child protection		
Child protection situation and response monitoring toolkit	✓	✓		Child protection		
Child protection rapid assessment (CPRA) toolkit	✓	✓	✓	Child protection		
Child protection site specific assessment	✓			Child protection		
Guidelines on Integration of Child Protection Issues in Multi-sectorial and other Humanitarian Assessments	✓	✓		Child protection		
Child right situation analysis	✓	✓		Child protection		
Early Recovery Cluster Humanitarian Indicator Registry & Associated Question Bank	✓	✓	✓			✓
Recovery and Peacebuilding Assessments (RPBA) [formerly (PCNA)]	✓	✓	✓			✓
Joint rapid education needs assessment (JRENA)	✓	✓	✓	Education		
Out of school child mapping		✓		Education		
Participatory School Disaster Management Toolkit	✓			Education		
Community capacity assessment	✓		✓	Education		
Household Economic Approach Assessment	✓	✓	✓	FSL		
Public health information for needs assessment and analysis	✓	✓	✓	Health		
Rapid Health Assessment (RHA) Tool	✓	✓	✓	Health		
Initial Rapid Assessment for Adolescent Sexual and Reproductive Health in Emergency Setting	✓	✓		Health		
Outbreak Surveillance - Communicable disease transmission risk assessment in humanitarian emergency settings (Appendix 1)	✓	✓	✓	Health		
SMART - Standardised Monitoring and Assessment for Relief and Transitions		✓	✓	Nutrition		
Shelter Cluster Joint Assessment		✓	✓	Shelter		
Commonly implemented large scale HH/KI assessments (no official name)	✓	✓	✓	WASH		
Basic Needs Assessment (BNA)		✓	✓		✓	
MIRA	✓	✓	✓		✓	
Post Disaster Needs Assessment (PDNA)	✓	✓	✓		✓	
Response Options Analysis and Planning Guide (ROAP)			✓		✓	
Vulnerability Assessment Framework (VAF) promoted by Protection Cluster		✓	✓		✓	
Humanitarian Emergency Settings Perceived Needs Scale (HESPER)		✓			✓	
Payment mechanisms assessment (payments landscape)	✓		✓			
Partner Capacity Assessment (Cash Feasibility Study)	✓		✓			✓
Multi-sector market assessment companion guide and toolkit (UNHCR)	✓		✓			✓
Pre-Crisis Market Mapping and Analysis (PCMMA)	✓		✓			✓
Emergency Market Mapping Analysis (EMMA)	✓		✓			✓
Rapid Assessment for Markets (RAM)	✓		✓			✓
Market Analysis Guidance (MAG)	✓		✓			✓
Market information and food insecurity response analysis (MIFIRA)	✓		✓			✓
MARKit	✓		✓			✓
48 Hs tools	✓		✓			✓
Vulnerability Analysis and Mapping (VAM) WFP tool	✓		✓			✓

Figure 5: Number of assessments reviewed per programmatic area / theme



Complementarity of the assessment methods and tools

This section analyses the:

- complementarity of the assessment methods and tools in terms of situation analysis topics and modality of aid delivery covered by the assessments;
- the sequencing of the assessments.

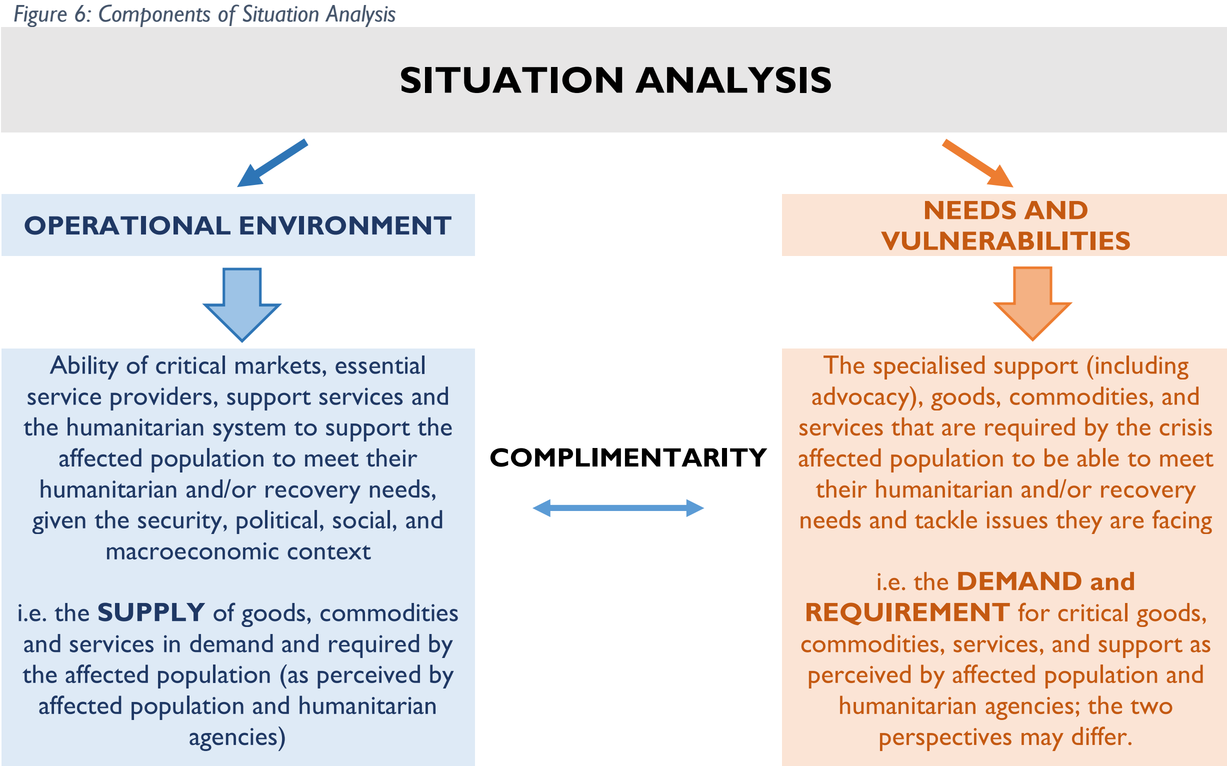
The purpose is to get a sense of possible gaps, where no or very few assessments methods exist to support certain decisions, especially those related to the choice of the most appropriate and operationally feasible response option and the modality of aid delivery.

The relationship between the two components of situation analysis is shown in Figure 6.

The operational environment component focuses on the supply of goods, commodities, services and – more generally - support required by the affected population to tackle the issues affecting them and to help them meet their immediate humanitarian and/or recovery needs. Assessments related to this component explore the ability of markets, essential service providers, support services and the humanitarian system to support the affected population, given the security, political, social, legislative, and macroeconomic context in which the humanitarian response is taking place. The context defines how operationally feasible, fair, and cost-efficient is the flow of these goods, commodities, services, and support from the suppliers to the people in need. Humanitarian aid providers have an interest in understanding the operational environment because it affects – in a positive or negative way – their work and because it determines where their inputs add the most value.

The component focusing on the needs of the affected population resulting from the crisis looks at the demand and requirement for critical goods, commodities, services and – more broadly – support required to enable them to meet their humanitarian and/or recovery needs. The demand for commodities, services, and support can be influenced by many factors, including; households' purchasing power, which is of most relevance when commodities and services are offered at a cost; social and cultural factors such as the level of education and the status of a household within a community. These factors ultimately define the level of importance, value, and urgency households attribute to the specific needs, or even the access to what is required to meet them. There may be a discrepancy between households' demand (i.e. their desire) for certain goods, services, and support, and humanitarian agencies' assessment of what households require and should have access to in order to meet international humanitarian quality standards e.g. Sphere Standards. Assessments of this component would have to explain both these perspectives.

Figure 6: Components of Situation Analysis



Situation analysis topics

Error! Reference source not found. shows which of the assessments cover the different sub-topics of the two components of situation analysis. As the table shows, analysis of **people's needs and vulnerabilities** is well covered by the assessments promoted by different global Clusters, particularly needs and population profiling which is included in 21 of the methods and tools presented in this chapter.

On the other hand, the other component of situation analysis, i.e. the **operational environment analysis**, is less systematically covered, with fewer assessment methods being designed to generate related information. Operational environment analysis is informed through assessments that focus on:

- Essential services: Child protection, Education, Health and WASH each have at least one method / tool to collect this type of information; in addition, the mapping shows that there is at least one multi-sector and sector-neutral method / tool to assess essential services. None of the methods and tools focusing on FSL, Nutrition or Shelter/NFI is geared to assess essential services. For FSL, this could be explained by the fact that the humanitarian work in this programmatic area is mostly concerned with commodity markets. When it comes to Shelter/NFI, it is also possible that the reported absence of methods and tools to assess essential services is consistent with the nature of this programmatic area; however, one may argue that utilities such as electricity and heating fall under Shelter/NFI, in which case a potential critical information gap appears. Any gaps may affect the comprehensiveness and validity of the sector-specific response analysis.

- Markets are well covered by nine sector-neutral and two sector-specific (for WASH and FSL) market assessment tools. As one would expect, there are no specific market assessments for child protection, a thematic area that does not particularly rely on any market. However, the absence of methods and tools specific to Shelter/NFI, and particularly to assess the housing rental market or the construction labour market, may indicate a gap in information on this subject, as existing tools may be ill-suited to gather this important information. Similarly, although pharmaceuticals are part of a commodity market, existing tools may not be fit for purpose, because of its specificities; for instance, the system involves both private and public-sector actors, and certain pharmaceuticals may (or should) be provided free of cost through the public healthcare system.
- Support services[22]: only the multi-sector Post-Disaster Needs Assessment (PDNA), a WASH assessment and the sector-neutral payment mechanisms assessment and cash and vouchers feasibility tools cover support services. This implies that there could be gaps in data required to inform the analysis of the capacity of support services to support aid delivery requirements of the other programmatic areas / themes, such as transportation and communication.
- Fewer tools explicitly include assessment of risk[23] and humanitarian capacity than other sub-topics of the operational environment.

Table 3: Overview of assessments that contribute towards situation analysis and response analysis

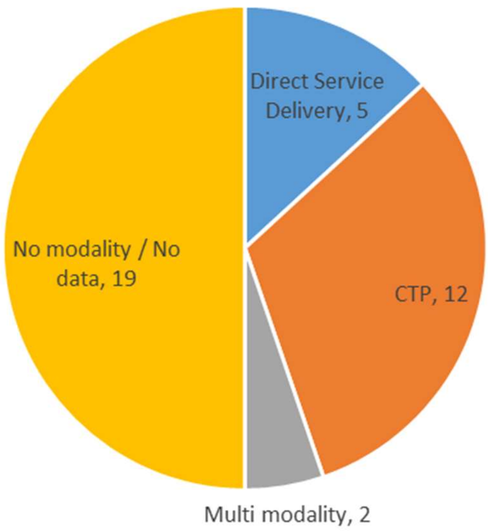
	Situation Analysis							
	Operational environment					Needs and vulnerability analysis		
Sector / Theme	**Humanitarian Capacity**	**Essential Services**	**Support Services**	**Markets**	**Risk**	**Needs and population profiling**	**Vulnerability and Rights**	**Total # assessments**
Child Protection		●●●● ●●			●	●●●●	●●	6
Education	●	●			●	●●	●	4
FSL				●		●		1
Health		●●●●				●●●●	●●●	4
Nutrition						●	●	1
Shelter / NFI						●	●	1
WASH		●	●	●		●		1
Multi-Sector	●●	●	●	●	●	●●●● ●	●●●	6
Sector Neutral	●●	●●	●●●	●●●● ●●●● ●●●		●●		14[24]

[22] support services include but are not limited to transport, telecommunications, and warehousing.
[23] including risks to the affected population, contextual risks and institutional / reputational risks related to delivery of aid.
[24] 2 tools promoted by ERC, 1 promoted by CCCM, 2 CTP feasibility tools and 9 market assessment tools

Modality of aid delivery

Assessment methodologies can also be considered in light of their suitability to inform the choice and design of specific response option (or aid modality), see Figure 7. Modalities of aid delivery are defined as: in-kind (e.g. distributions of materials, commodities, devices); direct service delivery (e.g. mobile health units; alternative schooling; case management; child-friendly spaces and activities); cash transfers and vouchers (CTP in *Figure 7*); multi-modality (e.g. a combination of cash transfers and therapeutic feeding) or no modality / no data.

Figure 7: Modality of aid delivery that the different assessment methods and tools focus on



Half the methodologies mapped here are not designed to provide information that could be used to compare response options or inform preferences, or to support the programmatic design of the chosen modality (e.g. composition of the assistance package, how much, how to be delivered, how often).

Five assessments, all of which focus on child protection programming, were found to focus on direct service delivery. Twelve methods and tools that focus on cash and vouchers incorporate an analysis of the modalities of aid delivery, i.e. the VAF, nine market assessment tools (see Table 2 for details), the payment mechanism and partner capacity assessments. The VAF is multi-sector and the remaining eleven cash-and-vouchers focused tool are sector neutral, indicating that the results from these assessments could be used to inform the consideration of cash and vouchers across all or multiple sectors[25].

Finally, only two method and tools are designed to explicitly assess and consider multi-modality approaches to aid delivery, i.e. the BNA and the ROAP.

Sequencing of the assessment methods and tools

An additional dimension that is important to explore around the existing assessment methodologies is their sequencing throughout the humanitarian response cycle. In other words, from a user's perspective, it is useful to know at what stage they should be used and when they can best add value to the decision-making process. Figure 8 attempts to map the sequencing of the assessment methods and tools per sector/theme.[26] From left to right it shows:

- The **pre-disaster assessment methods and tools** designed to be undertaken in normal times (or times of non-crisis), to help inform preparedness and contingency planning, as well as the secondary data review that is generally conducted during initial rapid assessments that follow a shock or crisis event.

[25] nine of these eleven CTP focused on market assessment

[26] N.B. the 9 market assessment tools reviewed have been included as a single entry in Figure 7 in order to make the diagram easier to read.

- The **initial rapid joint and multi-sector assessments** designed to be undertaken in the first few weeks following a crisis event or significant change in the humanitarian situation to inform response analysis and strategic decision making with immediate, usually short-term, effect.
- The **more detailed and specific assessments**, which are informed and prompted by the results of the initial rapid joint and multi-programmatic area assessments (thus being rolled out after them). They are designed to provide more detailed and specific information to refine and make more robust strategic and programmatic decisions.
- The **response option analysis a**nd strategic decision-making processes and outputs at national and regional level, namely the Humanitarian Needs Overview (HNO), the Humanitarian Response Plan (HRP), Cluster Strategic Plans and the ROAP. These define the direction of travel of the humanitarian response.
- **Specific assessments** undertaken at district or lower administrative level which are informed by the results of the strategic decision-making processes and ROAP;
- The specific assessments mentioned above are intended to inform **programmatic and operational decisions** that are made at district or lower administrative level.

Figure 8: Sequencing of the assessment methods and tools and the decisions making processes they can inform

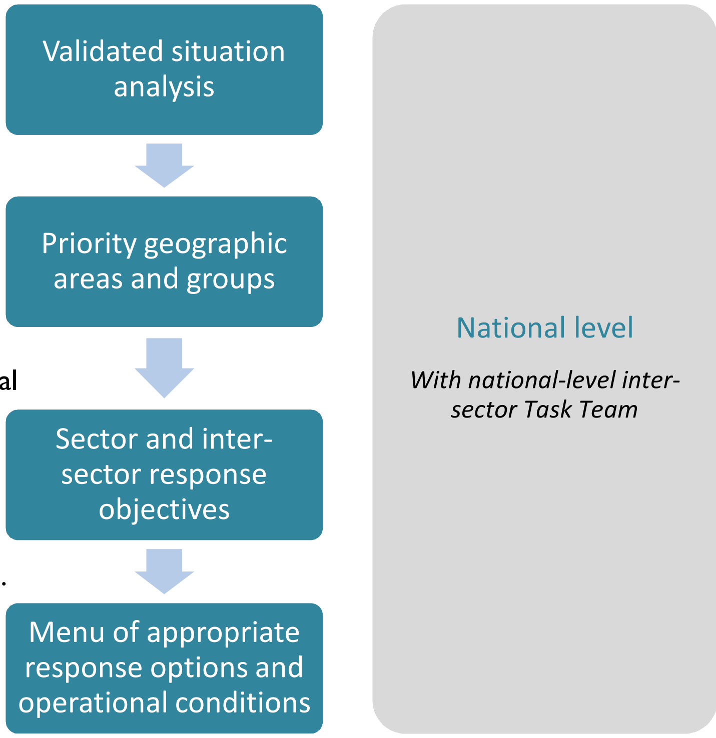
TIME

CRISIS / CHANGE IN THE SITUATION

	PRE-DISASTER	POST CRISIS / CHANGE IN SITUATION INTIAL RAPID JOINT / MULTI-SECTOR ASSESSMENT	MORE DETAILED/ SPECIFIC ASSESSMENTS THAT BUILD ON THE RESULTS OF THE INTIAL RAPID ASSESSMENTS	STRATEGIC DECISIONS	SPECIFIC ASSESSMENTS AT DISTRICT & SUB-DISTRICT LEVEL	PROGRAMME AND OPERATIONAL DECISIONS
CHILD PROTECTION	Child Rights Situation Analysis (CRSA)	Child protection initial assessment Guidelines on Integration of Child Protection Issues in Multi-sectorial and other Humanitarian Assessments Child Protection Rapid Assessment (CPRA)	Child protection situation and response monitoring toolkit	**NATIONAL & REGIONAL LEVEL: Humanitarian Needs Overview, Humanitarian Response Plan, Cluster Strategic Plans** **DISTRICT LEVEL: Response Options Analysis and Planning (ROAP)**	Child protection site specific assessment	**DISTRICT AND LOWER ADMINISTRATIVE LEVEL: Detailed Programme / Project Design and Implementation**
EDUCATION	School Disaster Management Toolkit	Joint Rapid Education Needs Assessment (JRENA)	Out of school child mapping		Community Capacity Assessment	
HEALTH	Public health information for needs assessment and analysis	Rapid Health Assessment Tool (RHA)	Initial Rapid Assessment for Adolescent Sexual and Reproductive Health in Emergency Setting Outbreak Surveillance - Communicable disease transmission risk assessment in humanitarian emergency settings		SMART - Standardised Monitoring and Assessment for Relief and Transitions	
SHELTER		Shelter Cluster Joint Assessment				
WASH		Commonly implemented large scale HH/KI assessments				
FSL	HEA Outcomes Analysis		HEA Outcomes Analysis			
MULTI-SECTOR		Basic Needs Assessment (BNA) HESPER	MIRA Vulnerability Assessment Framework (VAF)			
Sector Neutral	CVA Payment Mechanism Part I	Post Disaster Needs Assessment Payment Mechanism Part I (updated)	Market Assessment Tools Recovery and Peacebuilding Assessments (RPBA) Early Recovery Cluster Humanitarian Indicator Registry & Associated Question Bank CTP Partner Capacity Assessment		CTP Payment Mechanism Part 2	

Decisions informed by the assessment methods and tools

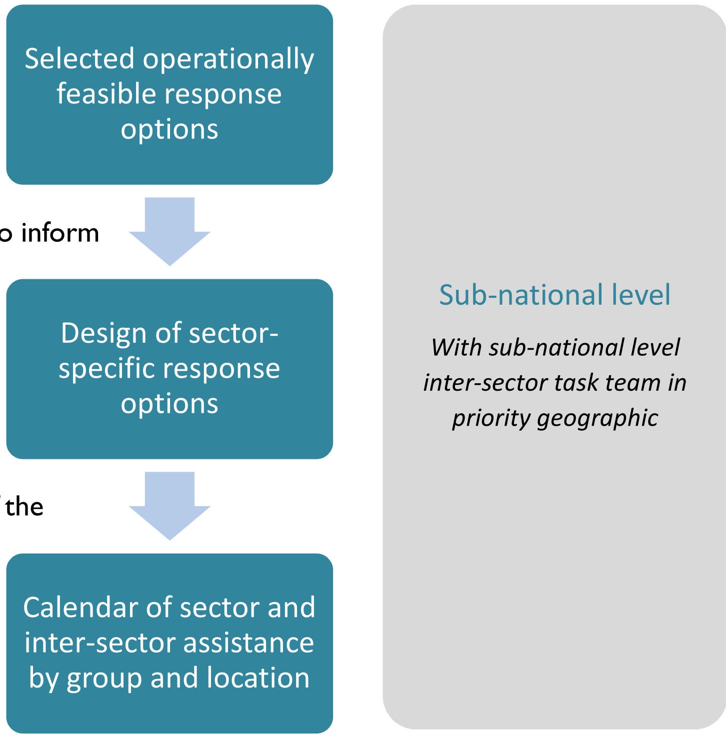
Assessments are not an end goal in themselves. Rather, assessments are crucial instruments required to inform key decision-making processes. This section analyses how the different assessments can contribute to response analysis to inform planning and supporting strategic and programmatic decision making.



Strategic decisions inform the allocation of resources and efforts across geographic areas, sectors, and population groups.

As such, strategic decisions are generally made at country and regional levels, informing the development of the Humanitarian Response Plan (HRP), Humanitarian Needs Overview (HNO) and the strategic plans of individual clusters i.e. macro level response decisions. Strategic decisions focus on: key humanitarian issues; geographic priorities; implementation and aid modality constraints and enablers i.e. which modes of implementation and aid delivery are feasible in the context and how the physical and security context influence this; the acceptance by authorities of specific aid modalities; what links could and should be established with existing government service provision; suggestions of advocacy to government on amendments required to legal frameworks e.g. land tenure, refugee rights, access to essential services; advocacy priorities; and the period of assistance that is required (linked to aid modality).

Programmatic decisions are meant to operationalise the strategic decisions through humanitarian interventions.



They are defined here as decisions made at district and sub-district levels to inform projects / programmes targeting specific geographical areas and groups of the affected population i.e. meso-level response decisions. Programmatic decisions focus on: the population groups most in need; targeting criteria, based on the profile of the most severely affected groups; the size of the group to be targeted based on existing needs (not based on available resources); programme objectives and indicators; the target groups' aid modality preferences i.e. whether people prefer to receive cash / vouchers or in-kind distribution of goods or direct service provision; the composition of the Minimum Expenditure Basket (MEB); which aid modality (or combination of modalities) is most suited to the operational environment and the most cost-efficient way of achieving the programme / project objectives; the existing and potential risks to the affected population and aid agencies; critical markets and systems that are required for service and aid delivery and the support they need; and whether sufficient humanitarian capacities are in place to implement specific interventions in the targeted locations.

Assessments informing strategic decisions

The assessment methods and tools are designed to contribute to various strategic decisions made at national and regional level (see *Figure 9*). The graph on the left of *Figure 9* shows how many of the assessments can and cannot contribute towards different strategic decisions (as well as the assessments for which there is no relevant data). The table on the right of *Figure 9* shows how many of the assessments **can** contribute towards each decision, per programmatic area / theme. It should be noted that the nine market assessment tools are represented as a single entity in the sector neutral category so as not to skew the visualisation of the results.

The depth and breadth of detail collected varies by assessment. Sometimes this is due to a pragmatic reason. For example, due to their breadth of focus, multi-sector assessments typically collect less in-depth information than single sector assessments. There may be potential for overlaps in data collected between some assessment tools such as the HESPER and BNA, both of which are multi-sectoral in focus and collect data about basic goods and services. However, this need not be a problem if the various multi-sector assessments are undertaken at different times, thus turning potential 'overlaps' into complementarities, providing opportunities to triangulate and verify data on the same programmatic area / theme collected by the different multi-sector and single sector assessments.

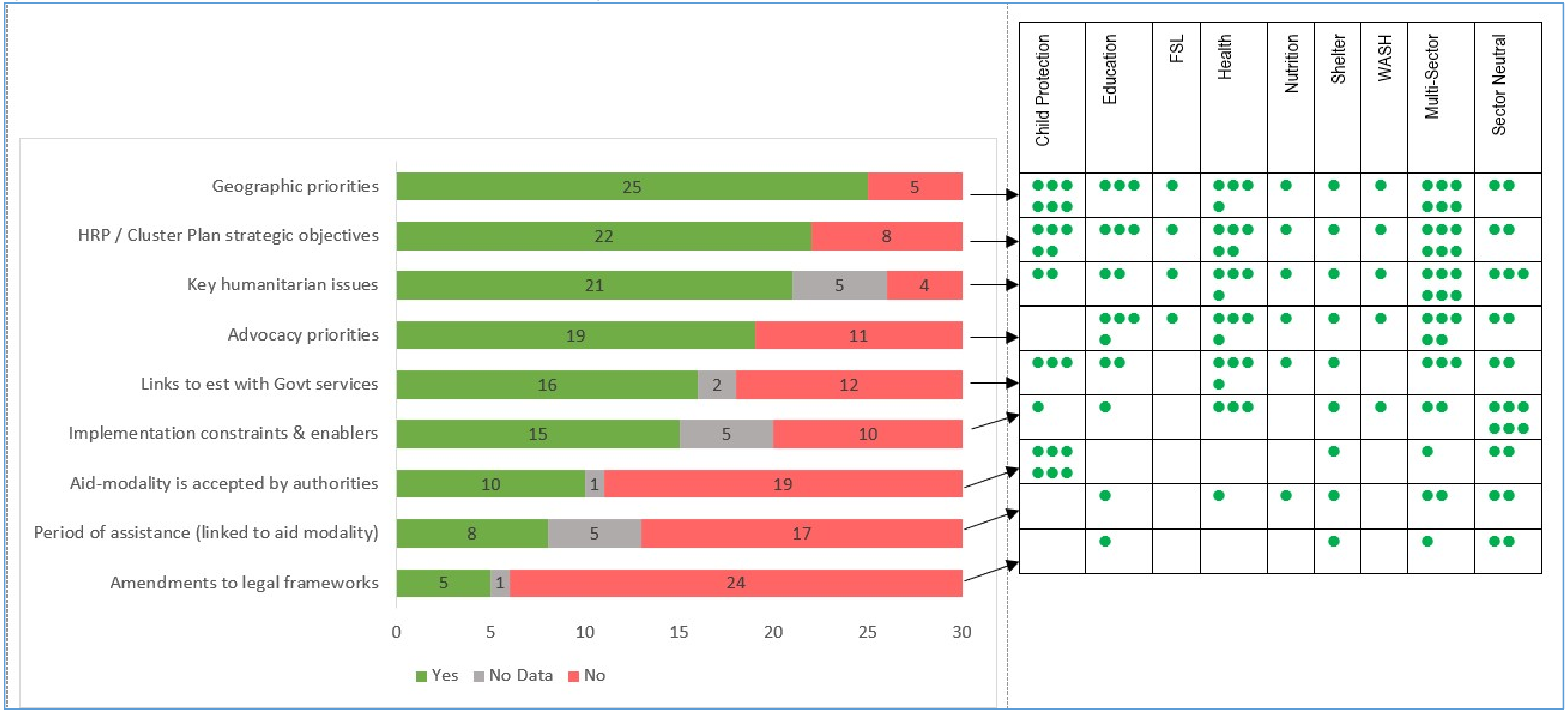
A high proportion of assessment methods and tools (at least one for most programmatic areas / themes) can contribute to decisions focusing on geographic priorities, HRP / cluster strategic objectives, key humanitarian issues and advocacy priorities. However, the mapping also shows some important gaps around the following strategic decisions:

- Whether the aid modality is accepted by the government. Almost two thirds of the assessment methods and tools are not designed to provide information about specific modalities of aid delivery and so cannot provide evidence to inform or advocate to the government about the most appropriate modalities for the response. It could be argued that, until cash and voucher interventions gained attention and prominence in the humanitarian debate, the choice of aid modality was not a matter requiring specific decisions at strategic and governmental levels. In practice, humanitarian aid consisted of in-kind distributions and, where appropriate, direct service delivery. Now that the range of options is wider, strategic as well as programmatic decisions are required about which aid modalities to use, and these need to be based on a comparative analysis of the appropriateness and operational feasibility of the different options. It seems that instruments to inform such decisions at the strategic level are lacking.
- Amendments to legal framework. Only 5 of assessment methods and tools are able to contribute towards this decision: the Humanitarian Indicator Registry & Associated Question Bank, and the Recovery and Peacebuilding Assessments (RPBA), both promoted by the Early Recovery Cluster; the Joint Rapid Education Needs Assessment (JRENA); the Shelter Cluster Joint Assessment; and the multi-sector PDNA. It is unclear whether this leads to gaps in data that limit the ability to make informed decisions about this issue or whether these five assessments can collectively provide the breadth of required information.
- The period of assistance (linked to aid modality). The results show that there is no data generated on this issue from any of the assessments methods and tools focusing on child protection, FSL or WASH.

Half of the assessment methods and tools reviewed can contribute to strategic decisions focusing on:

- Implementation constraints and enablers. While there is no data from the FSL or Nutrition assessment tools that can contribute towards this decision, relevant data related to these two sectors may be collected by some of the four multi-sector assessment tools.
- Which links could and/or should be established with government service providers. No data from the assessment tools focusing on FSL or WASH can contribute towards this decision. However, as per the previous point, data regarding these two programmatic areas may be collected by some of the four multi-sector assessment tools that can contribute to this issue.

Figure 9: Total numbers of assessments that can contribute towards different strategic decisions



Assessments informing programmatic decisions

Assessment methods and tools are designed to contribute towards various programmatic decision made at district and sub-district levels (see *Figure 10*).

The graph on the left of *Figure 10* shows how many of the assessments can and cannot contribute towards each programmatic decision (as well as the assessments for which there is no relevant data). The table on the right of *Figure 10* shows how many of the assessments can contribute towards each decision, per programmatic area / theme. It should be noted that the nine market assessment tools are represented as a single entity in the sector neutral category so as not to skew the results.

A high proportion of the assessment methods and tools (at least one from most programmatic areas / themes) are able to contribute to programmatic decisions focusing on: targeting (size of group of interest); targeting criteria (profile of group of interest); programme / project objectives and indicators; and the population groups most in need.

As per the strategic decisions reported above, there is the potential for overlaps in data collected between the six multi-sector assessments and some single sector assessments. Overlap or repetition of data collected seems particularly likely to occur between the BNA and VAF as both cover CVA related issues, vulnerabilities, and coping strategies and focus on the household level. However, depending on the time each assessment is undertaken, the overlaps could in fact be complementary. The risk of multiple assessments surveying the same key informants and households leading to potential overlap and survey fatigue will be highly dependent upon:

- the resources and scale of each assessment (breadth and depth both in terms of geographic coverage and subject matter detail);
- the timing of the assessment;
- the scale of populations on the move;
- the sampling approach e.g. random or targeted.

These factors are likely to be different in each context, so it is difficult to draw further conclusions about areas of overlap for data collected at household and community level.

However, few of the assessment methods or tools can contribute towards understanding:

- affected populations' aid modality preferences;
- risks associated with specific aid modalities, including protection risks faced by the affected population; programmatic, contextual and institutional risks;
- the suitability of aid modalities for the operational environment;
- the cost efficiency of specific aid modalities, infrastructure / facilities to be repaired and how to do no harm.

The review shows that between one third and one half of the assessments can inform decisions on: an aid-modality's suitability to programme / project objective; infrastructure / facilities to be repaired / rebuilt; programme / project baseline and monitoring; critical markets and systems for service and aid delivery; humanitarian capacities are in place; aid modality suitability for the operational environment (markets & services); and support to be provided to service providers.

These findings of what information assessments can and cannot provide are not unexpected as many of the assessment methods and tools are designed to be undertaken in the initial rapid assessment phase before response analysis and strategic planning occur. Most assessments reviewed are therefore not designed to collect data that is detailed or specific enough to different geographic locations or groups of affected people to be able to provide decision making at programmatic levels (see *Figure 10* for more details).

Figure 10: Total numbers of assessments that can contribute towards different programmatic decisions

Basic-need based analytical framework for response analysis

Whether implicitly or explicitly stated in the method or tool, all assessments can in some way inform the various steps along the ROAP process, as shown in *Figure 11*. The figure demonstrates where outputs from other assessments can contribute to the ROAP. It shows that:

- all 38 assessments produce findings that are then to be validated at the inter-sectoral level and used for the identification and profiling of the most affected groups;
- a large majority of the assessments can be used to inform the identification of response options based on needs and objectives. The HEA Outcome Analysis, BNA and market assessment tools can be used to inform if/when cash is proposed how much cash should be transferred. The Payments Mechanism Assessment Parts 1 & 2 and Cash Transfer programming (CTP) Partner Capacity Assessment can be used to inform the comparison of available transfer mechanisms;
- the HEA Outcome Analysis, BNA, VAF, and Shelter Cluster Joint Assessment can be used to inform on the appropriateness of MPC for recurrent expenditures, the estimation of MPC value based on recurrent sector expenditures, and decisions on sectoral one-off transfer, amount and timing.

The ROAP analytical framework is represented in *Figure 12*. The framework approaches situational and response analysis logically, systematically and provides a clear driving force behind lines of inquiries. Using this framework ensures that situational and response analysis are conducted comprehensively with focus on key information needs, and that key concerns are not overlooked. As shown in *Figure 12,* the BNA generates several of the data points that are used across the ROAP.

The framework groups analytical outputs under two pivotal areas: situation and response analysis, with the former including needs and vulnerability analysis as well as operational environment analysis.

- Needs and vulnerabilities analysis (left-hand side of *Figure 12*) is concerned with the identification of unmet basic needs, humanitarian outcomes, barriers experienced by the population in meeting their needs, as well as their coping mechanisms. The main analytical outputs are a ranking of the severity of unmet needs, based on degree of deprivation and humanitarian outcomes, and – accordingly - the key priorities for assistance (which needs, which population groups, in which geographic areas).

- Operational environment analysis (right-hand side of *Figure 12)* is concerned with the context where the needs are unfolding and evolving; in other words, it focuses on the actors, systems, and their capacities and fitness to deliver the commodities and services needed by the population at a specific point in time. These aspects will characterise the feasibility and cost-efficiency of response modalities.

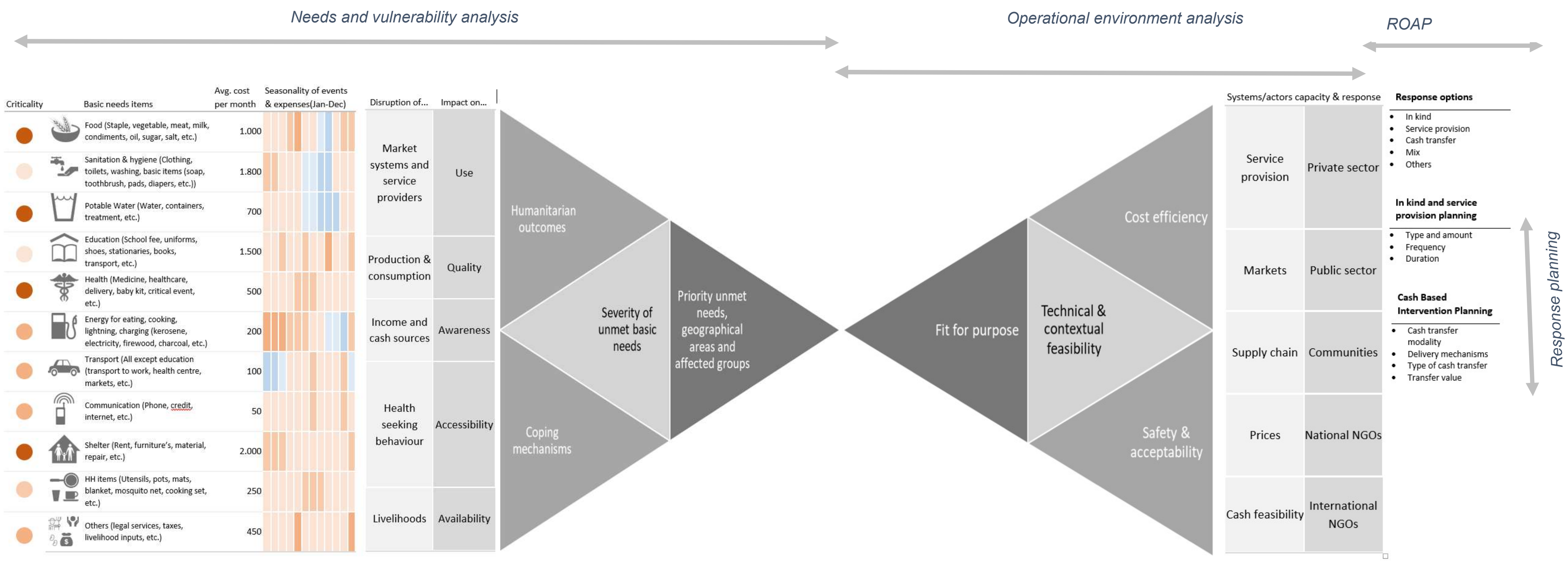
The response analysis is concerned with the identification of appropriate and relevant response options to the problems identified and enables the strategic planning and design of the humanitarian response.

Figure 11: Overview of assessment methods and tools that can inform the different outputs of the ROAP

ROAP outputs	Information sources
Validated situation analysis	All 38 of the assessment methods and tools can inform this stage to varying degrees using the data relating to situation analysis (operational environment and impact of the crisis on the affected population).
Priority geographic areas and groups	All 38 of the assessment methods and tools can inform this stage to varying degrees using the data relating to situation analysis (operational environment and impact of the crisis on the affected population).

Sector and inter-sector response objectives	Causal analysis and verification that lack of purchasing power is among the barriers experienced by affected people would be informed by: BNA; HEA outcome analysis; VAF; market assessment tools; JRENA. The BNA also explores other types of barriers, related to access, availability, and quality of commodities and services.
Menu of appropriate response options and operational conditions	The assessments that can inform strategic decisions focusing on government acceptance of the aid modality and links to be established with government service providers can be used to inform this stage i.e. all 6 Child Protection tools, the ERC indicator registry, the RCNA, the JRENA, all health focused tools, SMART, the Shelter Cluster Joint Assessment, the PDNA and HESPER plus the CTP Partner Capacity assessment. The assessments that can inform decisions relating to affected populations' preferences, modality's suitability to objectives and operational environment, critical markets and systems, support to be provided to markets and services i.e. all 6 Child Protection tools, ERC indicator registry, the RCNA, JRENA, HEA Outcome Analysis, the Shelter Cluster Joint Assessment, the WASH commonly implemented large scale HH/KI assessment, the BNA, PDNA, VAF, market assessment tools and CTP Payments Mechanism Assessment.
Selected operationally feasible response options	
Response options designed	
Inter-sector assistance package with timing of delivery	HEA Outcome Analysis; BNA; VAF; Shelter Cluster Joint Assessment

Figure 12: Basic-needs based analytical framework for response options analysis and planning



CHAPTER 3: IMPLEMENTING THE ROAP

Overarching considerations

This chapter covers how to put the ROAP in action. It describes the outputs that lead to integrated response plans, and guides users (i.e. ROAP facilitators) on how to produce them in a participatory way.

The chapter starts with presenting an overview of all key ROAP outputs and the time and human/financial resources required to carry out the entire process. It then moves to offering step-by-step practical guidance and templates to support the facilitator(s) along the process.

The proposed steps can and should be customised and sequenced as appropriate to the context. The endeavour should begin with seeking an inter-sector buy-in and stakeholders' agreement on how the process would be rolled out and its timeline (see *Buy-in from relevant stakeholders*).

In yearly response planning exercises, these elements can be properly defined ahead of time. Instead, in case of sudden onset emergency, the approach to preparing for and planning for the ROAP would be of a reactive type and the timeline would be tighter.

Before moving on to the detailed guidance, here is a reminder of the objectives of this process:

- Consider a comprehensive picture of what is needed, by whom, when, and for how long
- Provide a framework to consolidate multi-sector needs along a timeline
- Provide a framework that highlights *priority* needs at a household and individual level on which to make decisions on appropriate modalities
- Refine options for multi-purpose and multi-sector assistance, including MPC.

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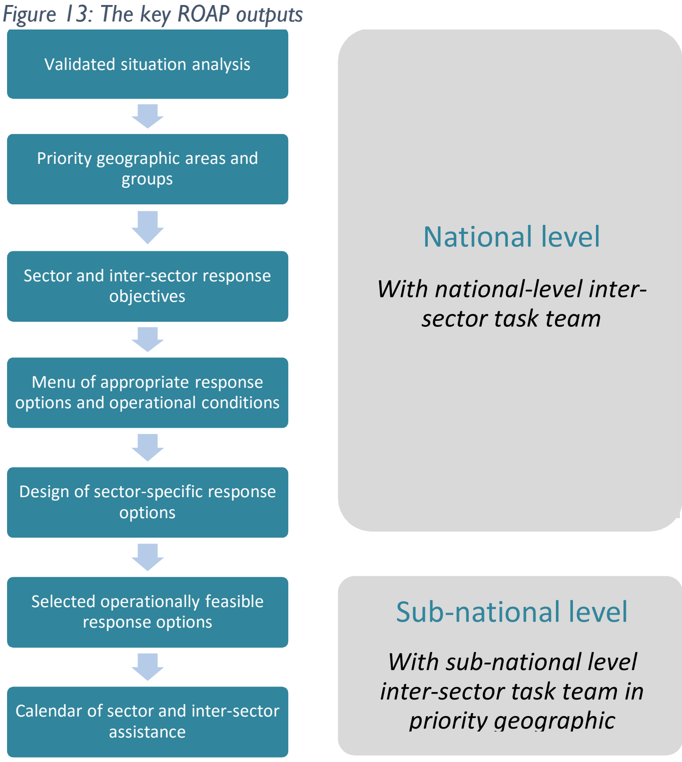
Figure 13: The key ROAP outputs



Overview of the key ROAP outputs

Figure 13 lists the seven key ROAP outputs, from a validated situation analysis to a calendar of sector and inter-sector assistance, and the level (national or sub-national) at which they are likely to be produced. Below, you will read a short description of each of these outputs to be delivered by the ROAP Task Team, followed by an overview of resource requirements, and then the step-by-step guidance on how and with whom to deliver the outputs is in the final part of this chapter.

Validated situation analysis: building a holistic view of needs and operating environment

Conducting assessments and producing analysis would remain a sterile exercise if findings were not adequately interpreted, understood, and – where necessary – corrected and clarified by subject matter experts and their future users (i.e. strategic decision makers and programme designers). The process of validation ensures that possible anomalies in data are explained, events, facts and figures are appropriately linked, and phenomena are contextualised. In validating the situation analysis, the Task Team will develop in a structured manner a consistent view of the needs and operational environment.

This Guide suggests that the validation process is led by national level actors, so that it is carried out consistently across all crisis-affected areas. I.e.of the process is consistent as to the type and depth of information, the criteria against which findings are validated, and how information is interpreted. In addition, this will allow the identification of commonalities and key differences across geographic areas, in a way that facilitates strategic thinking around relative priorities and entry points. Finally, by validating the situation analysis at the national level, there will be a stronger buy-in and consensus from the cluster coordination structure (or head offices of agencies partnering on the ROAP), which plays a fundamental role in resource allocation.

However, the main drawback of carrying out validation at the national as opposed to the sub-national level, is that staff based in head office may have a limited understanding of the reality on the ground – especially in large and geographically dispersed emergencies - and limited capability to interpret the how's and why's of data. In order to offset this problem, clusters (or agency partners) at the national level will need to consult colleagues based at sub-national level, whilst remaining accountable for the output.

Finally, it is important to consider that different sectors have different conceptual frameworks and different approaches to problem solving. Two key discrepancies between sectors make the compilation of data more challenging:

<u>*Targeting different stakeholders*</u>: sector-specific needs assessments typically target different demographics based on the information needed and the specific demographic(s) of immediate concern.

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For example, an education assessment will consult actors in education, school age children and their parents. A health assessment will look at health facilities and services, as well as specific disease prevalence, and a target group more vulnerable to that disease, e.g. chronic issues among the elderly, or malnutrition among infants.

Different units of analysis: For example, livelihoods, shelter or WASH assessments may focus on the household in order to determine access to basic standards of living or the household as a whole and not consider individual needs within the household. As support will be provided by household as a unit, this analysis would not be a priority. On the other hand, health, nutrition, or protection assessments will focus on individuals within a household or community in order to establish or confirm specific vulnerabilities but may not collect information at a household level.

Priority geographic areas and groups: building a holistic view of peoples' needs

A preliminary step to deciding how to respond to a humanitarian crisis, is agreeing on the group and geographic targets, which will normally be based on the area in which a crisis has happened or is expected to happen. In displacement setting this may be where there is or is likely to shortly be an influx of people.

The desired output is an agreed, holistic (i.e. inter-sectoral) description of the needs of the groups affected by the crisis, the severity and frequency of those needs, and their geographic distribution. These descriptions will be referred to as "needs profiles". The needs profiles will be the foundation for identifying objectives that reflect the competing demands of households at any point in time during a crisis, with objectives evolving over time. In turn, this will allow the design of integrated, inter-sectoral assistance, which is internally consistent and minimises duplication of efforts.

> *Establishing the unit*: people, individuals and communities make decisions about what to do with the assistance they receive. For this reason, multi-sector support should enable choice and prioritisation at a recipient level. To do this it is important to understand what they need as a whole, not on a sectoral basis. Instead of considering which individuals, households and communities need shelter in isolation, for example, this approach would involve stating: 'this household need shelter support, as well as a safe drinking water, basic food items and hygiene items.
>
> *Understanding the frequency* of what is needed is critical to understanding total demand. It will support gap analysis, beneficiary prioritisation, and design and planning of transfers, be they in-kind or cash or vouchers. Understanding frequency of a specific need will aid the consideration of efficiencies that may be sought either by affected communities, or by agencies. See *Expenditures reference period* in *Key concepts and definitions*.

Geographic and group prioritisation are particularly important in large, geographically dispersed humanitarian emergencies. In these scenarios, decision makers will likely be faced with insufficient resources to cover all needs and will be required to make and justify decisions on who and what to prioritise. These decisions are part of the Humanitarian Needs Overview (HNO). The aim of severity ranking for geographic areas - or ranking based on composite indicator that may, for instance, superpose pre-existing vulnerability levels and crisis impact/damage – is to allow comparison of their relative severity. It is important to point out that the level of geographic priorities may vary across sectors. In other words, different sectors may be concerned with different geographic areas; in a certain area, needs may be more severe according to one sector and less serious for another. Typically, maps are produced with pre-agreed colour-coding to show varying levels of priority of the different areas.

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The severity mapping by sector will inform the estimation of Population in Need (PiN) for each sector. A more sophisticated approach that ranks population groups by their vulnerability and needs across sectors, would be feasible if information on the severity of the impact was disaggregated by groups of interest and consistently available for all sectors (e.g. was generated by a multi-sector needs assessment), and/or when inferences from the available needs-assessment data can be made against specific socio-demographic household features (e.g. sex of head of household, displaced/non-displaced).

In fact, different groups may have different need profiles. Hence, more interesting and - perhaps - more useful than ranking population groups in order of priority is to describe the socio-demographic, economic and need profiles of these groups, which will afterwards inform the definition of targeting criteria. Within the ROAP the groups profiles together with the PiN estimates are validated at the inter-sectoral level by the Task Team. This approach helps move away from a sector-centred approach, to a people centred approach, in which peoples' needs are not compartmentalised.

The ROAP does not offer its own specific method to rank priority areas and groups. Instead, it makes explicit reference to the BNA methodology and ranking (by sector and overall). Being driven by the principle of building people-centred response plans, the latter is based on perceptions of affected households and their communities that have been disaggregated in relevant strata. People's perception and ranking is then triangulated with experts' opinion at the stage of findings validation, which is an integral stage of the BNA.[27] Needless to say, using the BNA's ranking is not mandatory, especially as information on people's needs may be sourced from other methodologies. In these cases, alternative severity (or other) ranking scales should be developed.

The ongoing work by the Joint Inter-sectoral Analysis Group (JIAG) will result in – among other things - an improved, consensus-based, inter-sectoral severity-ranking methodology, to which users of this Guide will then be able to refer.

Why it's useful to produce holistic needs profiles

→ Understanding the problems: The needs profiles illustrate the total goods and services individuals, households and communities will want or need over time. It will aid conversation between sectors on the priority 'problems' people have that require a multi-purpose lens.

→ Identifying 'Pressure Points': Some needs will be immediate in a crisis, particularly if there has been large scale loss of assets, significant displacement, or further shocks are anticipated. Some needs will be regular and predictable, and others will emerge at specific points in time. Understanding needs profiles in a holistic way and along a timeline identifies specific 'pressure points' for affected populations.

→ Competing demands inform programme decisions: These 'pressure points' are periods of time when there are competing demands on the resources of affected populations and people may have to make difficult decisions when prioritising the use of support. This will therefore indicate the

[27] See the How-to part of the BNA for more details: http://www.cashlearning.org/resources/library/1239-basic-needs-assessment-guidance--toolbox-part-2-how-to-guide--tools?keywords=basic+needs+assessment&region=all&country=all&year=all&organisation=all&sector=all&modality=all&language=all&payment_method=all&document_type=all&searched=1

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likely success of meeting diverse sector outcomes and critically where additional consideration must be given to the package of support offered.

→ Support to programme planning & monitoring: Understanding the crisis implications for affected people throughout the year, as well as how they allocate their resources, will support the timing of programme delivery and the phasing of assistance.

Sector and inter-sector response objectives

Strategic objectives are set at the national level. Because of their wider scope and application, they are overarching and more generic than programmatic objectives. They can address multiple themes and problem areas at once in other words, they can be inter-sectoral.

Examples of strategic or overarching objectives

In a drought situation, response analysis will commence prior to the worsening of the situation and therefore the strategic or overarching objective may be: *To prevent the worsening of living conditions for the people living in X County*. In a displacement context: *To ensure that people displaced from Syria into Lebanon are protected from harm*. In these examples a principle focus is identified, as are the target population and the geographical target area for analysis – though it retains a broad focus. It is possible to narrow these objectives by further defining the geographical focus, the target population or the scope of the response. In geographically diverse or large emergencies it may be preferable to define top line objectives for sub areas within the response.

Programmatic objectives are developed around the specific barriers experienced by a population (see the definition of "*Barriers to basic needs*" in the section "*Key concepts and definitions*"). In large, geographically dispersed humanitarian emergencies, generic programme objective statements are developed at the national level, then prioritised and refined at the sub-national level according to priority needs. Because they address specific issues, and because these issues are generally analysed with thematic lenses, programmatic objectives will mostly be sector specific, with only a few cutting across multiple sectors.

A powerful method to develop objectives - which is proposed in this Guide - is the causal analysis. It aims to map and link problems along cause-effect chains, following the issue from experienced and observed barriers to unmet needs. The ROAP proposes doing this at both the sectoral and the inter-sectoral level.

Although this should be viewed as the cornerstone of response analysis – as it founds the development of the appropriate solutions in an understanding of the existing barriers behind unmet needs - it is rarely done by sectors and even more rarely (if ever) across sectors. As a result, proposed response options are not necessarily relevant to problems and/or sufficient to resolve them. Furthermore, opportunities are missed to join forces across sectors to tackle common issues and/or set in place more holistic and effective response strategies. (See lesson below from the ROAP pilot in Ethiopia.)

Lesson learned 1: The pivotal role of inter-sector causal analysis

The inter-sectoral causal analysis was one of the ROAP elements that was most frequently cited as a beneficial novelty. Despite the general recognition of the importance of analysing the causes behind unmet needs at the sectoral level, it is rarely done within each sector (and response options are identified without it) and even more infrequently across sectors. In Ethiopia, where the inter-sectoral causal analysis process was tried for the first time,[28] it proved very helpful in showing common issues across sectors, and the linkages that exist between causes and effects. It was observed that, in doing so, the sectors could see how eventually their programmes would contribute to shared outcomes and potentially support each other if cooperatively implemented.

Menu of accepted and appropriate response options including minimum operating conditions

Response options are the solution to the problems and barriers constraining people's ability to meet their basic needs. They must be accepted by national and local authorities in the target areas. If interventions are not acceptable or permitted by authorities, humanitarian actors would not consider them in the response option analysis.

In addition, response options must be appropriate to the problem at hand and the objective we are trying to achieve. Their appropriateness is determined on the basis of affected people's preferences, as well as by experts' opinion and conclusions drawn from the causal analysis.

The ROAP proposes steps for humanitarian actors to identify appropriate response options from a menu informed by sectoral objectives and the inter-sectoral objectives. There are four types of response modalities: in-kind aid or transfers, cash transfers, vouchers, and direct service delivery. Combinations of these are also possible and in the ROAP they are analysed against the same criteria as the four response modalities mentioned above.

The menu describes the type of response options proposed for a specific objective, the population group for whom each option is recommended, and the minimum contextual conditions that must apply for the response option to be viable. This being done at the national level, will set the strategic direction while leaving flexibility for the sub-national level actors to pick the response option from the menu, based on prevailing contextual and operational conditions.

At the inter-sectoral level, the discussion will revolve around the potential synergies that could be picked up and strengthened across interventions from different sectors, with a view to achieving higher level or more complex outcomes that require an integrated response. There could also be negative "side effects" if one sectoral intervention affects another from a different sector; such side effects, once identified, could be mitigated or fully avoided with the adjustment of the response options menu. In addition, when cash transfers are proposed as response option for the same population group and with the same frequency (one-off or recurrent) by different sectors, for the sake of efficiency, sector stakeholders could consider amalgamating the sector transfers into one multi-sector cash transfer.

[28] This step was added after the pilot in Nigeria.

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The menu of response options could be reviewed more frequently than the strategic objectives, as lessons and evidence from experience are generated and shared with national-level stakeholders.

Design of sector-specific response options

Designing the response options will consists of making decisions around:

- the quantity of aid, or the amount of in-kind/voucher/cash transfer, to be given to each beneficiary unit (individual, household, community, entity);
- the specifications of the aid to be provided or the in-kind/voucher/cash transfer to be made (for instance, the composition of the kit to be delivered in-kind; the application of conditionalities on the transfer);
- the logistics and mechanisms of the assistance. In other words, how the transfer will be made or how the assistance will be provided;
- the timing and frequency with which the in-kind/voucher/cash transfer/service or technical assistance has to be provided.

These decisions can be made at the national level, by sector experts, and are then refined at the sub-national level, as necessary.

The ROAP does not contain guidance on how to design in-kind and direct services, because specific protocols and guidelines exist within clusters / sectors. Facilitator's guides are provided in the ROAP only for cash and voucher. Whilst acknowledging the wealth of guidance on how to design cash and voucher interventions,[29] very little guidance and very few practical tools exist that incorporate sector-specific considerations. The ROAP makes a first attempt to address this gap.

The output will therefore be a detailed specification of each response option and indication of when and at what frequency the response option must be activated/executed.

Selected operationally feasible response options

At the sub-national level, stakeholders from the sectors engaged in the response will review the menu of accepted and appropriate response options for each need (and related programmatic objective) that is recognised as a priority for them in the specific geographic area. For each priority objective, they will choose the response options that are more operationally feasible and cost-efficient in their location, considering the indicated minimum operating conditions for each of option (see Key output: Menu of accepted and appropriate response options). This Guide suggests a set of criteria against which this comparative analysis can be done.

Calendar of sector and inter-sector assistance by group and location

The calendar of sector and inter-sector sector assistance is a plan or calendar of all the selected response options, organised by target population group and location. It is an inter-sector planning and coordination document, to be owned at the sub-national level by the entity that coordinates the response.

Produced with the inputs of actors coordinating at the sub-national level, the calendar is aimed at getting a sense of who receives what assistance, when, and where. It helps to identify potential overlaps and/or gaps along the year, and – through pertinent adjustments - make sure that the timing of

[29] See CaLP's Cash-based assistance Programme Quality Toolbox, link: http://pqtoolbox.cashlearning.org/

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interventions is adequate considering how resources and needs of households and communities evolve over the course of a standard year, as well as over the emergency-recovery cycle.

It can be a very useful source of information when producing the 3W/4W; in addition to the standard 3W it contains information on timing and sequencing, which is its main purpose.

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Table 4: Overview of expected deliverables of the ROAP

Key outputs	**Guided action**	**Expected deliverables**
Key output: Validated situation analysis	*Guided sector-level activity: Validation of assessment findings and recommendations for reports revision*	• Validation or rejection and/or further explanation of findings of available sector specific or multi-sector assessments based on triangulation of multiple sources • Recommendations for additional analysis to be conducted on available raw data • Recommendations to re-draft/improve assessment reports (if applicable)
	Guided sector-level activity: Revision of assessment reports	• Revised and finalised assessment reports for both needs and operational environment analysis.
Key output: Priority geographic areas and groups, and their needs profile	*Guided sector-level activity: Identification and profiling of the most affected groups by administrative unit*	• Number of households and individuals in each targeted administrative area ranked by severity score • Target groups' respective needs ranked by priority/severity, and • The specific protection concerns/issues affecting each group
	Guided inter-sector level activity: Holistic profile of the affected groups' needs	• Validated, holistic need profiles of affected groups, and PiN
Key output: Sector and inter-sector response objectives	*Guided sector-level activity: Sector-level causal analysis*	• Sector-specific conceptual map of barriers/causes resulting in unmet needs and humanitarian outcomes (hereinafter, causal pathways)
	Guided sector-level activity: Definition of sector-specific objectives of assistance	• SMART programmatic objectives and sequence in which they should be achieved
	Guided inter-sector activity: Inter-sectoral causal analysis	• Common barriers/causes and their consequent unmet needs identified across sectors. • Causal linkages identified between sector causal pathways, i.e. sectors understand how their pathways link to one another. Resulting recommendations on: • How sectors should coordinate/collaborate on choice of target groups and locations, sequencing and complementarity of interventions, when linkages across sector-specific causal pathways are identified • How to revise/refine sector objectives

	Guided inter-sector level activity: Definition of inter-sector objectives of assistance	• Overarching, strategic response objectives (SMART) • Inter-sector/common objectives to be achieved with joint action (SMART)
Key output: Menu of accepted and appropriate response options with minimum operating conditions	*Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target group*	• Ranked list of response options according to suitability to causal analysis and objectives, after having excluded / disregarded response options that would not be accepted by local/national authorities
	Guided sector-level activity: Definition of minimum operating conditions for each response option	• A list of minimum operating conditions for each response option retained by the sector
	Guided inter-sector activity: Definition of the inter-sector menu of response options	• An integrated, inter-sector menu of response options (including MPC) to achieve agreed sectoral and inter-sectoral objectives in the targeted locations and for the targeted population groups
Key output: Design of sector-specific response options	*Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred*	• Amount and frequency of cash transfers and/or vouchers • Inter-sector calendar of cash transfers or vouchers
	Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply conditionalities	• Preference for conditions on cash transfers and vouchers, or not
	Guided non-sector activity: If / when cash or vouchers are proposed, for each of the preferred modalities, compare AVAILABLE transfer mechanisms	• Preferred cash transfer mechanism(s) for each location
Key output: Selected operationally feasible response options	*Guided sector-level activity: Comparative analysis of sector response options*	• Unweighted ranking of response options based on both suitability to objective and operational feasibility
	Guided sector-level activity: Recommendations on sector response options for targeted groups and locations	• Paragraph(s) articulating the sectoral response package for the targeted population group and locations
	Guided inter-sector activity: Adjustment of the response options into an integrated, multi-modal package of assistance	• Paragraph(s) articulating an integrated, multi-modal inter-sector assistance package by population group and location, inclusive of MPC if appropriate

Key output: Calendar of sector and inter-sector assistance by group and locationKey output: Calendar of sector and inter-sector assistance by group and location	*Guided inter-sector activity: Consideration of cross-sector themes (e.g. gender, age, sustainability) for selected response options*	• Protection and environmental matters articulated, and risk mitigation measures agreed upon
	Guided inter-sector activity: Final recommendations on inter-sector assistance packages, quantity and timing for targeted groups and locations	• Calendar of assistance: what, when, where, for whom

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Resource requirements

Buy-in from relevant stakeholders

The ROAP must be coordinated and implemented at the sectoral and the inter-sectoral level, nationally and sub-nationally. A pre-condition of a successful ROAP, is that participating sectors (at all relevant levels) buy into the process and that they commit to ultimately enforcing the strategic and programmatic decisions, including with their members. The level at which stakeholders should be engaged (national, regional, district) must be decided before starting the situation analysis. As the ROAP is both a strategic and programmatic exercise, the co-participation of national and sub-national actors may be necessary, especially in a humanitarian crisis and context that is not homogeneous and varies across locations. Programmatic and operational decisions are most suitably taken at the sub-national level.

Human resources

The ROAP should ideally be facilitated by two co-facilitators alternating responsibility for the tasks of delivering presentations, moderating discussions so as to maintain focus, and keeping time and taking notes. For facilitators familiarity with the ROAP's Facilitator's Guide and its tools prior to starting the process is essential, as is multiple years of hands-on experience in humanitarian response planning. Experience with cash and voucher interventions design is highly preferred, regardless of the presence of cash experts within the Task team (see below).

Ideally, the process should be carried out with an inter-sector and inter-disciplinary Task Team, formed of sector-specific sub-groups. If the geographic scope of the humanitarian response is large and not homogenous across the country, the Task Team should include members from the national and the sub-national levels. Each sub-group should consist of sector specialists and information management

Lesson learned 2: The importance of full-time facilitators[30]

The profile of the facilitator(s) is vital to the success of the ROAP process. They need to be experienced workshop facilitators, and have a good understanding of multiple sectors, cash programming, and the local context. They need to be able to facilitate and to a certain extent steer the conversations so that all sectors can fully participate in the process and their sector-specific concerns are addressed. The ROAP pilots in Nigeria and Ethiopia were both facilitated by the global Save the Children cash expert and while the facilitator fulfilled most of the requirements, they did not have the extensive context knowledge that would have allowed them to push debate in the necessary direction. An additional facilitator from the country would have eased the workload and intensiveness of the facilitation process, and – most importantly - would have been better placed to ensure the relevant people were invited to participate, to facilitate conversations, to contribute to the sense of ownership felt by in-country actors, and, if drawn from the Inter-Cluster Working Group, would have contributed to the institutionalisation of the approach. A facilitator who meets all these criteria would be ideal.

[30] Source: ERC Consortium for the Uptake of MPG (2018) *Learning and Way Forward from the Final Symposium.*

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officers, as well as cash and protection experts. If the ROAP is conducted with the clusters, the Task Team should preferably report to the Inter-cluster Working Group.

The Task Team, in plenary or through its multiple sub-groups, 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 Consortium pilot in Ethiopia, is provided in Annex 1: Example Terms of Reference: Task Team for Basic-needs Focused Response Option Analysis.

Lesson learned 3: Ensure continuity[31]

To best learn from and contribute to the process it was recommended that the same individual sector represntatives participate throughout. However, this was not always possible as it required a significant time commitment (and in the case of pilots the timeframe was quite condensed) and individuals were not always engaged. Varied participation was a problem for the process, slowing discussions as topics were repeated to bring new participants up to speed. There would therefore be a significant advantage in simplifying the process and / or spreading it out over a longer time-frame to ensure more consistent participation (although the latter option comes with its own challenges).

Lesson learned 4: Involve sub-national experts[32]

In both Nigeria and Ethiopia, the ROAP was conducted with national-level sector representatives. This was due to time restrictions, the fact that the approach and tools were still being piloted, and the buy-in at head office level was more critical than the accuracy of the information and analysis generated through the process. It was recognised that the involvement of more sub-national experts would have been advantageous as it would have allowed more nuanced discussion on localised issues and for a more accurate validation of the assessments.

Time

When carried out for six sectors, the entire process should be completed over a time span of 1.5-2 months, with the below breakdown. Figure 14 shows the timeline of (some of the) situation analysis and ROAP activities in the Ethiopia pilot, which covered four sectors (WASH, ES/NFI, Food Security, Health).

This guidance on effort requirement is purely indicative. Adaptations to the steps and tools, and to the number of sectors involved in the process, would have an impact on the duration and intensity of the effort. Should the process be streamlined and conducted with fewer sectors, the ROAP could be completed in a shorter period of time.

Facilitators need to commit a total of 2-3 months work, each sector expert at the national level needs to commit approximately ten-twelve working days; national-level cash and protection experts may need to commit slightly more days if they are expected to support more than one sector.

[31] Ibid.
[32] Ibid.

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	Time requirements by national and subnational-level actors		
Output	**National, sector level**	**National, inter-sector**	**Subnational, sector**
Validated situation analysis	1.5	1	0
Priority geographic areas and groups	1	2	0
Sector and inter-sector response objectives	1.5	1.5	0
Menu of accepted and appropriate response options and operational conditions	1	0.5	0
Design of sector-specific response options	1	0	0
Selected operationally feasible response options	0	0	2
Calendar of sector and inter-sector assistance by group and location	0	0	1

The * indicates that the timing is the number of days related to facilitator's time. The effort per sector will be lower.

1-1.5 days per sector* ➤ (9+3) days for six sectors* + 1 day for inter-sector work*

Validated situation analysis: Up to 1.5 days to review and validate situation analysis findings with each sector sub-group, depending on how much information is available and to what extent it needs to be (re)organised around relevant thematic areas. So, if the ROAP involves six sectors, facilitators would need to commit a total of nine-ten working days to spend in mini-workshops / collaborative working sessions plus three additional days for preparing and documenting the discussions in the relevant format.

1 day per sector* ➤ 6 days for six sectors* + 2 days for inter-sector work*

Priority geographic areas and groups: the decision on which groups should be prioritised and in which crisis-affected locations should not take more than a few hours in a mini-workshop setting/meeting, if sector experts are familiar with and were engaged in the situation analysis (the previous step). Prior to the sectoral discussions, the facilitator must gather the population figures for the crisis-affected areas - possibly disaggregated at medium-small administrative unit level (e.g. district) - which may take half a working day. In addition, if information is available, the facilitator will need up to one working day to prepare population profiles describing the main socio-economic and demographic features of the groups in greatest need for each specific sector. The validation of profiles and PiN estimates at the inter-sectoral level would require up to one working day.

1.5 day per sector* ❯ **9 days for six sectors*** + **1.5 day for inter-sector work***

Sector and inter-sector response objectives: It may take up to one day in a mini-workshop setting to define sector objectives, plus up to one and a half days at the inter-sectoral level for the inter-sector causal analysis and inter-sector objective setting. Ahead of the sector-level workshop, the facilitator will gather and pre-organise information on the barriers experienced by the PiN, which may take up to half day, depending on the information available.

1 day per sector* ❯ **6 days for six sectors*** + **0.5 day for inter-sector work***

Menu of accepted and appropriate response options and operational conditions, for each sector objective (and group): may require up to one day per sector, assuming each has multiple programmatic objectives to address. The inter-sector Task Team would then spend half day reviewing and refining response options with a view to mitigating negative cross-effects and optimise synergies and positive interaction (e.g. opt for one multi-sector cash transfer plus top-ups, as needed, as opposed to multiple uncoordinated and scattered in-kind and cash transfers). The menu of response options may be reviewed as the situation evolves and based on experience and lessons generated while implementing the response.

1 days per sector* ❯ **6 days for six sectors***

Design of sector-specific response options: may take up to half day for each response option (including combinations), at the national and sectoral levels, depending on the familiarity and previous in-country experience with the type of intervention.

2 days per sector* ❯ **12 days for six sectors***

Selected operationally feasible response options: is undertaken at the sub-national, sectoral level and is expected to take up to half day for each programmatic objective, hence up to two days for each sector.

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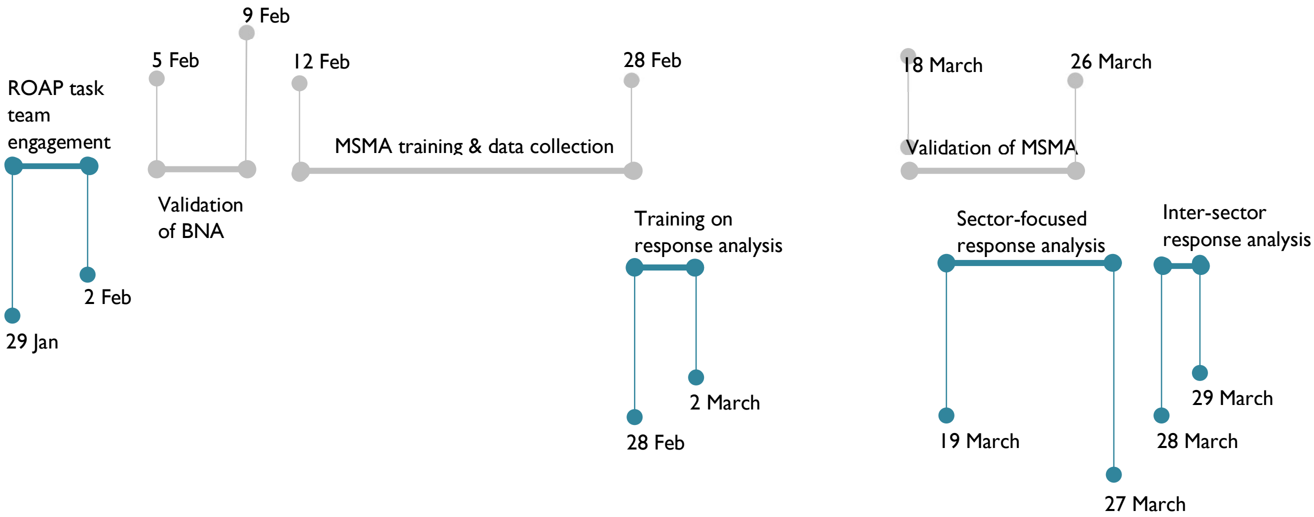
1 day for inter-sector work*

[Calendar of sector and inter-sector assistance by group and location]: this would take half day in an inter-sectoral workshop setting at the sub-national level.

Finally, the facilitators may have to set aside two days for documenting the decisions in the final, inter-sectoral response plan.

Figure 14: Timeline of (some) situation analysis and ROAP in Ethiopia pilot



Lesson learned 5: Insufficient time and conflicting priorities may compromise the success of the ROAP[33]

In Nigeria and Ethiopia, the ROAP was rolled-out as the last step of broader pilots that also included testing other tools and under serious time constraints. In Nigeria the ROAP occurred during the same week of the national Humanitarian Needs Overview (HNO) and a week prior to the Humanitarian Response Plan (HRP) workshops (which took place during the first week of October 2017). In Ethiopia the ROAP took place over an intense two-week period at the end March 2018, preceded by a three-day training at the end of February. Neither of these timings were ideal as and the ROAP should be scheduled to take place at a time when the necessary participants will be available to participate but also so as to completed in time to inform the HNO and HRP work.

[33] Ibid.

Lesson learned 6: With experience and practice, the process will be less labour intensive[34]

Experience and practice are likely to speed up the process. The ROAP is seen as labour-intensive and somehow intimidating, but this may in part be due to the lack of prior experience, amongst both facilitator and members of the Task Force in rolling it out,. Furthermore, and most importantly, the ROAP process itself was designed and refined in an iterative way during the pilots. Consequently, the steps followed with the representatives of the first sector differed substantively from the steps followed with the last one which will not be the case in future ROAPs.

Lesson learned 7: If possible, space the process out over a longer period of time[35]

Many participants as well as the facilitator felt that the process would be improved by being spaced-out over a longer period to allow greater reflection and to separate the training on the ROAP tool and the actual implementation of the process. To develop, teach / learn, and pilot the tool all at once was extremely challenging and not something that will be done in future. In addition, the assessments that feed into the ROAP need to be finalised, shared, and understood by all parties before the ROAP takes place. Each sector also needs to bring in their own tools and analysis to compliment and explain gaps or unexpected findings in the assessments that have been carried out.

In addition to the above, a longer time frame would reduce pressure on all. The ROAP process is highly labour intensive for both facilitator and participants: each sector participates in a full one-day workshop for their sector (stage one outlined above) and then in a two-day inter-sector workshop (stage two above). There workshops are intense and require constant engagement in a very detailed process and it has even been suggested that more time is required at each phase to fully complete the process.

Funding[36]

The only cost associated with the ROAP is everyone's time. In itself, it is not an expensive process, but requires commitment from the concerned individuals and agencies. The cost is more one of opportunity than finance, for these individuals will have to prioritise the ROAP over other tasks. Further piloting, revising and capacity building of the ROAP will also take time and therefore funding of people's time.

Roles and responsibilities

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

The Task Team will:

– Conduct a peer review of the assessment tools to contextualise them

[34] Ibid.
[35] Ibid.
[36] Ibid.

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– Participate in assessments, where possible and relevant

– Undertake a desk review and validation of the findings of the assessments

– Present the validated findings at appropriate fora

– Participate in Response Analysis training

– During the final ROAP Workshop: identify possible sector specific and inter-sector response options based on needs and make a final recommendation based on operational feasibility and appropriateness

– Document the results of the above steps

This work is expected to involve a commitment of approximately 12 - 15 days between xx and xx with the majority of the work to be done in the period xx – xx.

Roles within the Task Team

The Task Team Coordinators will form and initiate the Task Team, raising awareness of the Consortium's work and collecting expressions of interest. They will represent the group to the relevant external fora (when the group report on their response analysis recommendations) and will also likely chair meetings and ensure decisions are made in a timely and effective manner and are effectively documented. The Task Team Coordinators will advocate for the Task Team's recommendations to be reflected in the broader humanitarian response planning to the extent that is appropriate and possible.

Key output: Validated situation analysis

For an introduction, see 'Validated situation analysis', within the section '*Overview of the key ROAP outputs*'.

Guided sector-level activity: Validation of assessment findings and recommendations for reports revision

Commenting and revision of assessment reports is a relevant step when the assessments have been carried out recently and authors/commissioning entities are offering experts an opportunity to input. This should be common practice, to both improve findings and generate buy-in by the wider community, but may not always happen. When there are no recent assessments to review, this step will consist of reviewing findings and compiling and retaining the relevant elements.

Expected deliverable	• Validation or rejection and/or further explanation of findings of available sector specific or multi-sector assessments Recommendations for additional analysis to be conducted on available raw data • Recommendations to re-draft/improve assessment reports (if applicable)
Question to answer	What are the unmet needs and the available local resources? What are the operating conditions in each location of interest?
Format	National-level mini-workshop / collaborative working session (by sector)
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
Actors to be involved	• Session facilitator, who should be familiar with all findings

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	• (preferably) Data analysts involved in the assessments to be presented (or at least in the key ones) • Sector experts at the national level • Information management officers from the cluster/sector coordination team; these are particularly critical if data analysts of sector assessments are not available
Required inputs & resources	• Findings of specific sectors assessments (to be shared in advance by the sector experts), plus related maps and available raw data if any • Findings of basic needs assessment, plus related maps and raw data where available • Findings of service system assessments (e.g. health, education) that are relevant for the unmet needs, plus related maps and raw data where available • Findings of commodity and service market assessments that are relevant for the unmet needs, plus related maps and raw data where available • Findings of transfer mechanisms and financial service providers assessment, plus related maps and raw data where available • Findings of organisational capacity assessment, plus related maps and raw data where available • Findings of cash acceptance assessment
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	NA

How to complete the step	Before the workshop:
	• The facilitator compiles available assessment reports, maps, and datasets (see sample list above)
	
	At the workshop:
	• The relevant participants (or the facilitator) present findings of each assessment, to familiarise everyone with them and kick-start the discussion.
	• The facilitator enables a discussion around key findings, based on the following sample guiding questions:
	  o Are the findings plausible according to the experts?
	  o If they are not plausible, what can be said instead? Why?
	  o Why do you think this is the situation? How can the findings be better explained (why and how)?
	  o Looking at the raw data (when available), what additional analysis would you like carried out? What would it help you understand? How would your sector use it?
	  o Any other observations?
	• Two options are available as a next step:
	  o List of recommendations to revise assessment reports (if this opportunity is given by the authors/commissioning entities of the assessments).

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	○ Alternatively, compile and retain elements related to needs and operating environment that are relevant for strategic and programmatic decision making. • As assessment reports tend to be long and often contain more information than is actually needed by decision makers, the facilitator (or participants) will need to organise findings around thematic areas, preferably by key strategic and programmatic decisions to be taken, in a schematic, succinct way. For the decisions to be taken and related information requirements, see all following key outputs.
Notes	NA

Lesson learned 8: Commitment from Task Team is necessary (pilot in Borno State - Nigeria)

In the Borno State (Nigeria) ROAP pilot different individuals participated in the validation step and subsequent steps despite clarity in the Task Team Terms of Reference on the importance of consistent participation. Turnover of sector group members slowed the pace of the work. The most plausible reason for the high turnover is that the HNO process was occurring in parallel, and sector leads were engaged in that workshop.

When carrying out the ROAP, it is important that the members of the Task Team and its sector sub-groups remain stable over time. Some level of commitment must be mandatory and, when planning the process, the facilitator(s) should make sure not to overlap with other important events. In Nigeria, this was not been possible because the timeline of the HNO and HRP was shared with the Consortium with little notice. Close coordination with OCHA and the Humanitarian Country Team (HCT) is essential.

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

Guided sector-level activity: Revision of assessment reports

This guide is relevant when new assessments (involving primary data collection) have just been conducted and experts are consulted to validate them.

Expected deliverable	Revised and finalised assessment reports for both needs and operational environment analysis
Question to answer	What are the humanitarian needs and the available local resources?
Format	Desk work by analysts/report writers
Estimated time required	Two weeks of work by data analysts/report writers to revise the assessment reports according to recommendations
Actors to be involved	Data analysts/report writers of all the assessments to be revised
Required inputs and resources	Output of '*Guided sector-level activity: Validation of assessment findings and recommendations for reports revision*'
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket*

	Average expenditure basket *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	NA
How to complete the step	Will depend on the outputs of '*Guided sector-level activity: Validation of assessment findings and recommendations for reports revision*' and how extensive the recommendations are for each assessment report.
Notes	NA

Lesson learned 9: Allocate sufficient time in consultants' contract for report revisions

When commissioning/undertaking an assessment, time and working days should be allocated in consultants' contracts and/or staff work plans for the revision of the assessment findings and reports based on sector experts and other key informants' opinions.

Key output: Priority geographic areas and groups, and their needs profile

For an introduction, see '*Finally, it is important* to consider that different sectors have different conceptual frameworks and different approaches to problem solving. Two key discrepancies between sectors make the compilation of data more challenging:

Targeting different stakeholders: sector-specific needs assessments typically target different demographics based on the information needed and the specific demographic(s) of immediate concern. For example, an education assessment will consult actors in education, school age children and their parents. A health assessment will look at health facilities and services, as well as specific disease prevalence, and a target group more vulnerable to that disease, e.g. chronic issues among the elderly, or malnutrition among infants.

Different units of analysis: For example, livelihoods, shelter or WASH assessments may focus on the household in order to determine access to basic standards of living or the household as a whole and not consider individual needs within the household. As support will be provided by household as a unit, this analysis would not be a priority. On the other hand, health, nutrition, or protection assessments will focus on individuals within a household or community in order to establish or confirm specific vulnerabilities but may not collect information at a household level.

Priority geographic areas and groups', within the section '*Overview of the key ROAP outputs*'.

Guided sector-level activity: Identification and profiling of the most affected groups by administrative unit

Note on the severity scale methodology: severity scales exists for sectors but are not harmonised, hence are not comparable across sectors.

The only exception is the BNA which proposes a severity scale based on people's perceptions of need, concern and ability to cope without assistance across sectors. However, comparable data would be available only where the BNA has been carried out.

At the time of writing,[37] the Joint Inter-Sectoral Analysis Group (JIAG) is developing an inter-sector severity-scale methodology to rank needs across sectors based on experts' opinion and secondary data with the ultimate intention of allowing the prioritisation of population groups to receive assistance. The key difference between the BNA and the JIAG is that the latter's severity scale is based on expert opinion whereas the BNA's scale is founded in affected people's perceptions. Once the JIAG scale is finalised this step of the Guide will need to be updated.

Expected deliverable	• Number of households and individuals in each targeted administrative area ranked by severity score • Their respective needs ranked by priority/severity, and • The specific protection concerns/issues affecting each group
Questions to answer	What and where are the priority needs? How do these needs differ by population group, if they do? What protection issues affect these groups?
Format	National-level mini-workshop / collaborative working session (by sector)
Estimated time required	1- 2 hours with each sector group
Actors to be involved	• Session facilitator, who should be familiar with all findings • National level sector experts • Information management officers from the cluster/sector coordination team • National level protection experts • Optional: Data analyst involved in the BNA
Required inputs & resources	• Severity scale methodology • Data required to roll-out the severity-scale methodology • All available, validated reports of sector specific and/or multi-sector needs assessments (see • *Overview of assessment methodologies for situation* analysis) • Expertise/knowledge of sector and protection experts
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Table 5: Population groups size* *Table 6: Population group profiles*
How to complete the step	Before the workshop: • If a BNA has been conducted, the facilitator extracts tables showing the severity of needs from the BNA, adding the relevant data to Table 5 and Table 6.

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	• If a BNA has not been conducted, the facilitator uses similar information from other sources that have been reviewed in *Guided sector-level activity: Validation of assessment findings and recommendations for reports revision*
	
	At the workshop:
	• In plenary, the facilitator moderates a discussion to decide the administrative level at which groups in need will be identified.
	• All sectoral needs are listed on a flip chart sheet or white board. Their unit (i.e. is this needed by households, individuals within the household, or communities?), and frequency (i.e. is this a one-off or regular need?) are noted.
	• Participants are divided into groups, each covering one specific need. This step is mostly relevant to sectors with composite structure, such as WASH, which would include one group focusing on water needs, one focusing on hygiene needs, and one on sanitation.
	• The groups discuss the profiles of groups in need, based on the following guiding questions:
	  o What is the ranking of groups based on the severity score for the specific sector (e.g. children < 5 years old; pregnant and lactating women (PLW); female-headed households? IDPs in informal settlements)?
	  o What is the experts' interpretation of such ranking? How can this be explained?
	  o What can be said about protection issues affecting this/these group(s)?
	  o How do the most severely affected group normally meet their needs?
	  o What else it's important to note about these groups?
	  o How are/is the group(s) geographically distributed?
	• The facilitator helps to draft a profile of each group in need and describe their known physical and mental wellbeing/situation (including unmet needs), coping mechanisms, and living standards
	• The groups estimate the numbers of households and individuals by administrative unit, based on the following guiding questions:
	  o How many households are in each group? How many individuals does this include?
	  o What is the total number of households of concern for the sector, being mindful of the possible overlaps?
	• After the workshop, the facilitator organises all information in the tables, based on written records of participants' discussions.

Notes	This activity cannot start until assessment reports have been revised. It is important that the profiling of groups precedes the estimation of numbers, which generally monopolises the focus and discussion. Findings should be organised in clearly structured tables, such as the ones proposed in the tools section below as this will facilitate compilation and comparisons across sectors.

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Tools

Table 5: 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 6: Population group profiles

	Source of information	**Location**	**[group 1]** [type of targeting]	**[group 2]** [type of targeting]	**[group 3]** [type of targeting]	**[group 4]** [type of targeting]
Prevalence of severely affected (% of households)	BNA	[location 1]				
		[location 2]				
		[location 3]				
Number of households severely affected (estimate)	BNA + demographic information	[location 1]				
		[location 2]				
		[location 3]				
Number of individuals severely affected (estimate)	BNA + demographic information	[location 1]				
		[location 2]				
		[location 3]				
Protection concerns and special needs/vulnerabilities	Protection experts, sector experts, other assessments	[location 1]				
		[location 2]				
		[location 3]				

Guided inter-sector level activity: Holistic profile of the affected groups' needs

Note on the severity scale methodology: Severity scales exists for sectors but are not harmonised, hence are not comparable across sectors.

The BNA, on the other hand, proposes a severity scale based on people's perceptions of need, concern and ability to cope without assistance; however, data would be available only where the BNA has been carried out.

At the time of writing this Guide, an inter-sector severity-scale methodology was being developed by the JIAG, to rank needs based on experts' opinion and secondary data, this being a key difference from the BNA. The JIAG is currently developing a methodology to rank severity of people's needs across sectors, and which will allow to prioritise population groups to receive assistance. At the time of

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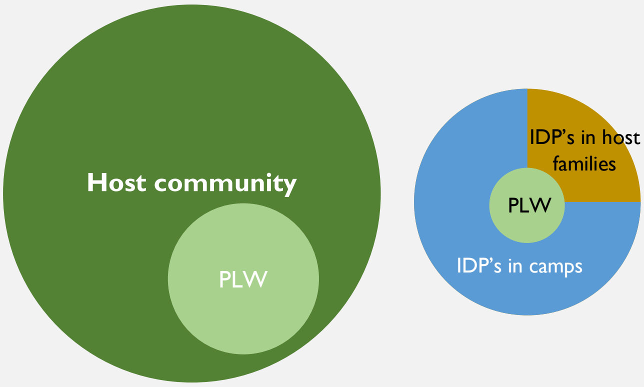
writing this Guide, the severity scale methodology was still under development and could not be referenced in greater detail. Once available, this activity guide will necessitate amendment.

Expected deliverable	Validated, holistic need profiles of affected groups, and their PiN
Question to answer	What are the holistic need profiles of affected groups? How many households and individuals are in these categories?
Format	National-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	One day
Actors to be involved	• Session facilitator, who should be familiar with situation analysis findings from all sectors • National level sector experts from all concerned sectors • Information management officers from all concerned sectors • National level protection experts
Required inputs & resources	• Severity scale methodology • Outputs of *Guided sector-level activity: Identification and profiling of the most affected groups by administrative unit* • Expertise/knowledge of sector and protection experts
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	NA
How to complete the step	<u>Before the workshop</u>: • The facilitator compiles outputs from the previous sector-level activity (*Guided sector-level activity: Identification and profiling of the most affected groups by administrative unit*). • The facilitator =drafts the need profiles of affected groups for discussion at the workshop. <u>At the workshop:</u> • The facilitator briefly presents the outputs of the work completed by the sector-level groups, as well as the draft "need profiles" of affected groups, explaining the rationale behind them and emphasising that they are up for discussion and revision. S/he shares the instructions for the group work. • Participants split into as many groups as there are population groups to be profiled, with mixed representation from different sectors/thematic areas. Each group is assigned one "need profile" narrative to review and comment on the description. They move onto the next need profile and repeat the exercise until the profiles are exhausted. • Once all groups have commented on all need profiles, the facilitator moderates a discussion to agree a narrative description of the groups and their needs. • Needs groups may be mutually exclusive or may overlap in different ways (e.g. one could be a sub-set of another; two or more could intersect – see diagram below). As such, the next step is to explain

	how groups are related. This contributes to an understanding of the composite or specific needs of groups, which is essential to crafting an assistance package relevant for each.  • The group agrees how these different groups (potentially across different geographic areas) rank in terms of multi-sector severity of needs. This will require looking at severity data and methodology that is available at the time of conducting this exercise. • Finally, participants estimate the PiN within each group and then – considering how the groups are related and possible overlaps – the cumulative total number of PiN. • After the workshop: The facilitator tidies up the notes, organises the information in tables, charts, and rankings, and finalises the description of the "need profiles" for the identified groups.
Notes	It is important that the profiling of groups precedes the estimation of numbers, which generally monopolises sector experts' focus and discussion.

Key output: Sector and inter-sector response objectives

For an introduction, see '*Sector and inter-sector response objectives*', within the section '*Overview of the key ROAP outputs*'.

Guided sector-level activity: Sector-level causal analysis

Expected deliverable	Sector-specific conceptual map of barriers/causes resulting in unmet needs and humanitarian outcomes (hereinafter, causal pathways)
Questions to answer	What are the underlying causes of needs being unmet by the target population groups? Are financial constraints confirmed as one of the barriers preventing target population groups meeting their needs? How do the multiple factors articulate and link to the issue at stake?
Format	National-level mini-workshop / collaborative working session

Estimated time required	2-3 hours, depending on: the number of unmet needs that represent a priority for the sector; the complexity of the web of causes leading to those unmet needs (i.e. the humanitarian outcome); and the experience of the individuals involved in this activity.
Actors to be involved	• Session facilitator, who should be familiar with all findings, especially those of the BNA and of the market assessment (if any) • Sector experts at the national level and, if possible, sub-national level • Information management officers from the cluster/sector coordination team • Protection experts
Required inputs & resources	For the needs profile of population groups in the locations of interest: • Outputs of '*Guided inter-sector level activity: Holistic profile of the affected groups' needs*'. For an understanding of why their needs are unmet and how these barriers relate to each other: • Causal analysis methodologies and tools that the sector may have • From the BNA (if conducted): dashboard showing barriers to basic needs; ranking of barriers for each of the categories of commodity and service needs. • When BNA is not available, sources of information on barriers experienced by the population, possibly from Multi-Sector Needs Assessment (MSNA) and sector specific needs assessments (see ' • *Overview of assessment methodologies for situation* analysis'). • Expert opinion and observations: experts (especially at the sub-national level) may be able to explain relationships between barriers and humanitarian outcomes and complement information from assessments with personal knowledge of the context, the population, and structural issues.
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	None available that is specific to the ROAP. However, at the global level, sectors may have their own methodologies and tools for conducting causal analysis.
How to complete the step	At the workshop: • The session starts with listing all observed and reported barriers directly experienced by the population in meeting each priority need (see the proposed categories of Barriers to basic needs), and underlying causes present in the environment or within households themselves, based on actual observations and evidence. If possible, the level of importance of each barrier/cause in contributing to the unmet need or issue, based on actual observations and evidence is indicated. • It should be remembered that the objective is not to create generic causal pathways, but pathways that are specific to the context and the actual issues being faced (see the box on lessons learned below). They would be of no use in identifying context-specific, relevant

	response options. For this reason, it may be necessary to engage sub-national level experts, when national-level experts lack of the necessary, in-depth knowledge of issues on the ground. • The group organises these barriers and causes, drawing a graphic representation of the causal linkages between observed barriers/issues and the unmet need, as well as across barriers/issues. • The group notes on the chart which group(s) and geographic areas are most concerned by each barrier/issue. This is necessary as barriers/issues may affect groups and/or geographic areas to varying degrees. • The facilitator moderates a discussion to agree priority ranking and/or sequencing of how barriers / causes should be addressed; e.g. start with immediate causes and then tackle root causes or coordinate / partner with development actors to ensure chronic and structural issues are tackled through appropriate, longer-term, non-humanitarian action. After the workshop: • The facilitator refines the chart and summarises in a short paragraph the causal pathways, possible differences by group and/or by geographic area, as well as priority ranking of barriers and/or sequencing in which they should be tackled.
Notes	If "lack of purchasing power" / "financial constraints" is among the underlying reasons why needs remain unmet, then cash transfers and/or vouchers should (must!) be considered as possible response options in '*Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group'. If poor physical access to markets / traders and/or poor availability of the relevant commodity or service at the local level is a underlying cause of unmet needs, then in-kind and/or direct service delivery should be retained as possible response options in '*Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group'.

Lesson learned 10: Causal analysis should be as evidence-based as possible (pilot in Borno State (Nigeria) and Fafan zone (Ethiopia))

Causal analyses tend to be done in a very generic way, so much so that one could probably fit all contexts. However, this is not the way it should be done when the ultimate purpose is to identify appropriate response options. A causal analysis should reflect the reality of the context where the ROAP is being conducted. It requires in-depth knowledge of the context and evidence from assessments.

The BNA provides information to map out the causes of unmet needs, but it is only from the household and community-level perspective of the affected population, who may not be aware of the bigger picture. Additional information is therefore required.

Experts tend to make assumption on purchase and consumption choices, but there is generally little evidence to back or confute them. More evidence should be generated, for all outcomes of interest (all sectors).

Guided sector-level activity: Definition of sector-specific objectives of assistance

Expected deliverable	SMART programmatic objectives and the sequence in which they should be achieved
Question to answer	What objective are we aiming to achieve (for each group and/or each location) in the established timeframe? How should these objectives be sequenced, if appropriate?
Format	National-level mini-workshop / collaborative working session (sector)
Estimated time required	1- 2 hours with each sector group. The time will depend on the number of objectives.
Actors to be involved	• Facilitator, who should be familiar with all findings • National level Sector experts
Required inputs & resources	Validated situation analysis, priority geographic areas and groups, and outputs of '*Guided sector-level activity: Sector-level causal analysis*'
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Table 7: Response objectives*

How to complete the step	<u>Before the workshop:</u>
	• The facilitator reviews the causal pathway and the effects / problems caused by the barriers that the group considered of priority importance and that, accordingly, should be tackled first and in which order (if appropriate).
	
	<u>At the workshop:</u>
	• The facilitator recaps the results of '*Guided sector-level activity: Sector-level causal analysis*' and presents ideas on needs / problems to be addressed first. The group discusses until agreement is found on which needs to be addressed first.
	• The facilitator forms as many groups as the needs / problems to be addressed. Each group is tasked with formulating a programmatic objective for their need / problem.
	    o The objective must describe what the situation / status of the group would 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.
	• This step consists of 2 sub-steps:
	    o Firstly, each sector decides if the situation justifies setting objectives per specific group (the objective is group-specific), and/or per woreda (the objective is location specific). The most affected groups are identified and profiled in *Guided inter-sector level activity: Holistic profile of the affected groups' needs*, by location. 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

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	priority needs differ mostly by geographic area, then there the sector may consider different objective by location. ○ Secondly, the group establishes the desired timeframe of the objective. For instance, is six (or 12) months a legitimate timeframe? Note that there can multiple objectives each with <u>different timeframes</u>. • The objective is discussed until the group agrees on and this final objective is written down. The objective must be SMART. In other words, it is: ○ <u>Specific</u>: the objective must be well defined, not be vague. One should be able to understand what the sector is trying to achieve just by reading the objective. ○ <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>: it should specify the timeframe within which the objective is to be achieved.
Notes	NA

Tools

Table 7: 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]			

Lesson learned 11: Difficulties with completing tasks (Borno State, North-East Nigeria)
In Nigeria, the main challenge was the lack of time allocated to completing this step. In addition, 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

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that security would be a major issue for people. CaLP's mission in early September 2017 report did not highlight any specific disagreement over the findings, at the stage of findings validation.

It is important that workshop participants can back up their beliefs with evidence and that consensus is reached or parties will not buy into the final result. Sufficient time must be given for this work, in order for it to be carried to completion.

Guided inter-sector activity: Inter-sectoral causal analysis

Expected deliverable	Common barriers/causes and their effects in terms of unmet needs are identified across sectors. Causal links are identified across causal pathways, i.e. sectors understand how their pathways link to one another. Resulting recommendations on: • How sectors should coordinate / collaborate on the selection target groups and locations, sequencing and complementarity of interventions, when linkages across sector-specific causal pathways are identified • How to revise / refine sector objectives
Question to answer	How do people's needs and issues interact as part of a holistic picture? What are the linkages across causal pathways of different sectors?
Format	National-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	4 hours
Actors to be involved	ROAP Task Team in plenary: • Session facilitator • National level sector experts of all concerned sectors • Information management officers from the participating cluster/sector coordination team • Cash experts • Protection experts
Required inputs & resources	Outputs of '*Guided sector-level activity: Sector-level causal analysis*' Outputs of '*Guided sector-level activity: Definition of sector-specific objectives of* assistance' A5-sised colour cards of different colours Markers Scotch-tape or blue tack String
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Barriers to basic needs* *Humanitarian outcomes*
Available tool	*Table 20: Estimated recurrent MPC*
How to complete the step	This activity needs to place in a half-day inter-sector workshop type of event, in a room that has sufficient wall space to display the sector causal-pathway maps and for all participants to gather in front of these.

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	At the workshop: The first part will be in the format of World Café and the steps are: • Participants get into sector groups. Cash and protection experts are distributed across the groups; ideally, there should be one of each in each sector group. • Each sector group reproduces their causal pathway on a portion of the wall, using the one colour card per cause / barrier / outcome. String is used to show how these are linked. • Each group nominates a host for the stand-up World Café. The host will stay by their sector's causal pathway and host the other groups coming around in turn. • The other members of the group will move to the causal pathway on their left. • The host of each group presents the causal analysis to the new group . • The groups are given a stack of sticky notes (they can be colour coded by sector). They have a set amount of time (e.g. 15 minutes) to review and discuss the causal analysis, suggest changes, and identify linkages between their causal analysis and that of the host. • Participants put a sticky note on the relevant causes/outcomes with which they have identified a linkage and note down a short description (i.e. what element of their causal analysis does this point link with?). • Every 15 minutes (or whatever timeframe is appropriate) the groups rotate to the next group until everyone (except the hosts) has visited all thepathways. • In plenary, each host will present the sectoral causal analysis and the linkages with other sectors. After the World Café: Sectors meet bilaterally when linkages have been identified across their causal-pathway maps. They present to each other their respective sector objectives and target groups and discuss what collaboration would imply. For example, would collaboration require amendments to objective statements; refining the profile and criteria of target groups; specific considerations for implementation (e.g. sequencing, complementarities)? It may also imply having to formulate inter-sector objectives
Notes	None

Guided inter-sector level activity: Definition of inter-sector objectives of assistance

Expected deliverable	Overarching, strategic response objectives (SMART) Inter-sector/common objectives to be achieved with joint action (SMART)
Question to answer	What should the humanitarian community as a whole aim to achieve through the response (i.e. what are the overarching, strategic response objectives)? What inter-sector/joint objectives are we aiming to achieve (for each group and/or location) in the established timeframe?
Format	National-level mini-workshop / collaborative working session (inter-sector)

Estimated time required	2- 3 hours in plenary. The time will depend on the complexity of the situation, the capacity of participants to build consensus, and the number of objectives to be formulated.
Actors to be involved	ROAP Task Team in plenary: • Session facilitator • National level sector experts of all concerned sectors • Information management officers from the participating cluster/sector coordination team • Cash experts • Protection experts
Required inputs & resources	Outputs of '*Guided inter-sector activity: Inter-sectoral causal analysis*'
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Table 7: Response objectives*
How to complete the step	Before the workshop: • The facilitator reviews the results of the '*Guided inter-sector activity: Inter-sectoral causal analysis*' and pre-identifies possible themes around which to develop (1) overarching strategic objectives, and (2) inter-sector objectives. At the workshop: • The facilitator recaps the results of the '*Guided inter-sector activity: Inter-sectoral causal analysis*', presenting the pre-identified ideas on possible themes around which to develop overarching strategic objectives, and inter-sector objectives for joint action. • The facilitator moderates a brainstorming session to finalise these objective statements.
Notes	Overarching strategic objectives are those that can be achieved by achieving a cluster of underlying objectives. Inter-sector objectives are those that concern multiple sectors at a time and that can be achieved through coordinated, joint action. Examples: ○ Displaced households are able to meet all **basic needs** for 6 months without resorting to **negative coping strategies** ○ Households affected by the earthquake are able meet all immediate **household needs** without **compromising recovery efforts** ○ Support to households' host communities ensures attainment of **minimum needs** without compromising **health status** during the winter season ○ Households in drought prone areas are protected from a deterioration in access to goods and services

Key output: Menu of accepted and appropriate response options with minimum operating conditions

For an introduction, see '*Menu of accepted and appropriate response options* ', within the section '*Overview of the key ROAP outputs*'.

Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target group

Expected deliverable	Ranked list of response options according to <u>suitability to causal analysis and objectives</u>, after having excluded / disregarded response options that would not be accepted by local/national authorities.
Question to answer	Which response option (among those allowed by the national/local government) is most suitable for each of the top three objectives (ranked)? What specific considerations must be made for groups with special needs / vulnerabilities?
Format	National-level mini-workshop / collaborative working session (sector)
Estimated time required	1.5 hours
Actors to be involved	• Session facilitator • National level sector experts • Information management officers from the cluster/sector coordination team • Protection experts • Cash experts
Required inputs & resources	Outputs of *Guided sector-level activity: Sector-level causal analysis* Output of *Guided sector-level activity: Definition of sector-specific objectives of assistance* To understand government's acceptance of cash: OCHA government acceptance study, as part of feasibility analysis (where available); alternatively, cash experts' knowledge For government's acceptance of other response options: sector experts' knowledge of the context; technical guidelines of the sector; other assessment reports. The BNA dashboard covering: • how population groups typically meet their needs; • their assistance preferences
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs* *Response options* ***In-kind assistance*** ***Direct service delivery*** ***Cash transfer*** ***Vouchers***

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Available tool	*Tools* *Table 8: Master list of common needs, the common ways used to meet them, and the related expenditure types* *Table 9: Response options: Suitability check to objective* *Red Cross Movement Tool #M313 (see CaLP Programme Quality Toolbox)*

How to complete the step	Before the workshop:
	• The facilitator prepares one table per objective (using template in *Table* 9). In the table the following are recorded: the objective statement (in the top row of the table; the priority barriers/causes identified in the causal analysis as contributing to the problem/need at stake; and the three most common ways through which the targeted groups are used to meeting those needs (e.g. purchasing from markets, receiving distributions from the government or an NGO), drawing on the BNA findings and other sources, as available.
	• The facilitator collects the necessary information on relevant government policies or unofficial decisions applied in the humanitarian context. This can be done by interviewing the members of the group and via email exchange.
	
	At the workshop:
	• Participants approve 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. The response options that are not accepted by local and national authorities will not be considered. If cash transfers AND vouchers are not accepted options (it is rare that government would not accept vouchers), the following Guid Activities should be skipped:
	    ○ *Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred*
	    ○ *Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply conditionalities*
	    ○ *Guided non-sector activity: If / when cash or vouchers are proposed, for each of the preferred modalities, compare AVAILABLE transfer mechanisms*
	
	• The facilitator presents the master list of basic needs and the most common ways to meet them (*Tools*
	•
	• Table 8) and asks participants to consider the needs relevant to their sector and make amendments as appropriate, striking out (and noting down) response options that are not allowed by the national and/or regional authorities.
	
	• If necessary, in doing so, the facilitator presents the definitions and examples of (1) ***In-kind assistance*** (e.g. distribution of food parcels, water trucking, provision of housing, distribution of pharmaceuticals); (2) ***Direct service delivery*** (e.g. emergency health services, education); (3) ***Cash transfer***, regardless of the presence of conditionalities; (4) ***Vouchers*** (i.e. restricted transfers), including commodity and value vouchers, regardless of the transfer mechanism (paper-based or e-transfer).

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	• The group considers and acknowledges the outputs of *Guided sector-level activity: Sector-level causal analysis*, as well as the three most common ways target groups meet those needs, and the distance (expressed in time) they have to travel to access the most popular source of commodity or service.
	• The facilitator moderates a discussion around the following guiding questions:
	    • Is "lack of purchasing power" / "financial constraints" amongst the barriers? And, do target groups generally buy the concerned service or commodity from the market? If the answer to both questions is "yes", then cash transfers and/or vouchers should (must!) be considered as a response option in *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group.
	    • Are the following barriers the most important, and more important than lack of purchasing power: poor physical access to markets / traders and / or poor availability of the relevant commodity or service at the local level? If so, then in-kind and / or direct service delivery should be retained as relevant response options, as opposed to cash or vouchers.
	• The facilitator will support the group in identifying and briefly describing ALL possible response options that are accepted by authorities and that address the problem.
	• IMPORTANT: the description of the response option should be as specific as possible. It should cover: What exactly is to be contained in the kit / package / transfer / service? How often is the transfer / distribution / service delivery to be made? For example: for vouchers. describe the type of voucher (commodity or value), the list of items that it would cover, the distribution frequency; for cash transfer options specify what it would cover (e.g. cost of the diet, minimum expenditure basket, expenditure gap), the frequency, if electronic or hand-to-hand/in-envelop; for in-kind distributions specify the contents of the package and its frequency.
	• The facilitator moderates a discussion based on the following guiding questions, to establish if the proposed response options (or combinations) can achieve the agreed objectives for ALL intended groups (including groups with special needs/vulnerabilities) in ALL targeted areas:
	    • If none of the response options is sufficient in isolation, what combinations could be considered to better meet the needs?
	    • Considering quality, access, availability, and groups with special needs, 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?
	    • Which of these response options would be relevant and suitable for groups with special needs that are present in the area? Why?
	    • Are these response options aligned with households' preferences, according to BNA?
	    • What specific advantages and disadvantages are there for targeted geographic areas?
	• The facilitator notes down the answers in the table as appropriate.

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Notes	All response options (or the three most suitable ones) will be compared in *Guided sector-level activity: Comparative analysis of sector response options*, based on their operational feasibility. If cash transfers and/or vouchers are not accepted by government or other authorities, they should not be considered for this round of response option analysis and planning, but advocacy efforts can/should be put forth to address concerns and encourage their uptake. In this step, the group should disregard the operational feasibility of response options (e.g. their costs, their scalability, risks, implementing agencies' capacities, etc.). They will only focus on "suitability" / "appropriateness" to the objective. If any of these factors relating to operational feasibility are mentioned, then the facilitator, notes them down in *Table 24: Comparative table of response options (suitability and operational feasibility)*.

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Tools

Table 8: Master list of common needs, the common ways used to meet them, and the related expenditure types

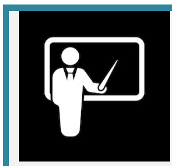
RIGHTS *Article 25 of the United Nations' Universal Declaration of Human Rights 1948 states that "Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services."*	**LIST OF COMMODITIES, SERVICES AND FACILITIES TO SATISFY NEEDS** *What do affected-groups lack which diminishes their ability to satisfy basic needs?*	**WAYS TO MEET NEED** ***Remember:*** *The choice of assistance modality, will depend on the underlying causes of why the need is unmet (e.g. availability, physical access, monetary poverty, quality, etc.). If there are multiple causes, a combination of modalities may be appropriate.*			**EXPENDITURE TYPES**		
		Commodities (aid can be delivered in-kind or in cash)	**Services** (aid can be delivered through direct service or in cash)	**Facilities** (aid can be delivered by building / repairing facilities)	**Recurrent**	**Seasonal**	**One off/exceptional**
The right of every child to learning and personal development	School supplies: uniforms, shoes, stationary, books, etc.	X				X	
	Education services: transport to school, tuition fees, teachers, canteen, etc.		X	X	X	X	
The right to decent living conditions and to a safe, clean and healthy space	Energy commodities and utilities for heating, cooking, lightning, and charging (kerosene, electricity, firewood, charcoal, etc.)	X	X	X	X		
	Shelter commodities: furniture, household appliances, etc.	X					X
	Shelter and housing: rent, land rent, building materials, construction services, permissions, etc.	X	X	X	X		X
	Household items: utensils, mats, blankets, mosquito nets, cooking sets, etc.	X					X
	Sanitation facilities and services: toilets, shower, bath, sewage system, repair and construction services, etc.	X	X	X			X
The right to the highest attainable standards of physical and mental health	Food: staple, dairy, oil, fresh vegetables and fruits, meat, fish, etc.	X			X		
	Health commodities: drugs, personal medical devices, baby kits, therapeutic food, etc.	X			X		
	Healthcare services: doctors, nurses, health centres, antenatal care, professionally assisted delivery, vaccination campaigns, laboratory test, emergency services, surgeries, hospitalisation, etc.		X	X			X
	Potable water: water, containers, treatment, water points, water transportation, etc.	X	X	X	X		
	Hygiene items: clothing, cleaning products, soap, toothbrush, pads, diapers, etc.	X			X		

The right to work and to have a productive and socially engaged life	Productive assets and inputs for agricultural and/or non-agricultural activities (seeds, fertilisers, livestock, fodder, vehicles, machines, devices, stock for a shop, etc.)	X				X	X
	Transport services for all purposes except going to school, i.e. to work, health centre, markets, etc.; it includes fuel	X	X		X		
	Communication commodities and services : phone devices, phone credit/bills, service providers, towers, network, repair services etc.	X	X	X	X		

Table 9: Response options: Suitability check to objective #X (one table per programmatic objective)

OBJECTIVE #X: [objective statement]						
Immediate causes	1, 2, 3 (order of frequency; source: BNA)	1. … 2. … 3. …				
How affected groups typically meet the need	1, 2, 3 (order of frequency; source: BNA)	1. … 2. … 3. ...				
How far do they need to travel to procure the relevant commodity / to use the relevant service	Average time for the most popular source (source: BNA)					
		RESPONSE OPTIONS				
Criteria	**Possible answers**	**In-kind transfer**	**Direct service provision (if applicable)**	**Cash Transfers**	**Vouchers**	**Combination 1**
Affected group's preference	1, 2, 3 (order of preference)					
Suitability to objectives, target groups and groups with special needs / vulnerabilities *According to sector and protection experts, is the response option appropriate to achieve the objectives for ALL intended groups (including vulnerable groups) in ALL targeted geographic areas?*	Description					
	Advantages / pros	•	•	•	•	•
	Disadvantages / cons	•	•	•	•	•

Consider: quality, access, availability, groups with special needs / vulnerabilities						



Lesson learned 12: It is difficult for aid agencies to identify non-typical response options

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. This is where the role of the facilitator becomes essential. Facilitators should be familiar with all possible response options.

Guided sector-level activity: Definition of minimum operating conditions for each response option

Expected deliverable	A list of minimum operating conditions for each response option retained by the sector
Question to answer	What are the minimum operating conditions required to implement each of the response option?
Format	National-level mini-workshop / collaborative working session (sector)
Estimated time required	1 hour
Actors to be involved	• Session facilitator • Sector experts at the national level • Cash experts • Protection experts
Required inputs & resources	• Output of *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group • Findings of specific sectors assessments (to be shared in advance by sector experts) • Findings of service system assessments (e.g. health, education) that are relevant to the unmet needs • Findings of commodity and service market assessments that are relevant to the unmet needs • Findings of transfer mechanisms and financial service providers assessment • Findings of organisational capacity assessments
Key terms	See the following terms in '*Key concepts and definitions*' *Response options* *In-kind assistance* *Direct service delivery* *Cash transfer* *Vouchers*
Available tool	NA
How to complete the step	Before the workshop: • The facilitator reviews the output of *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group and jots down ideas on minimum operating conditions for each response option retained by the sector. For instance, market functionality is a minimum operating condition for cash and vouchers.

	At the workshop: • The facilitator moderates a discussion to identify minimum operating conditions for each response option, drawing on their own expertise. The following guiding questions can be used: ○ What is required, as a bare minimum, for the response option to be implementable? Under what conditions will the response option be implementable? After the workshop: • The facilitator documents the results in a short note.
Notes	NA

Guided inter-sector activity: Definition of the inter-sector menu of response options

Expected deliverable	An integrated, inter-sector menu of response options (including MPC) to achieve agreed sectoral and inter-sectoral objectives in the targeted locations and for the targeted population groups.
Question to answer	What are the potential synergies and options for response coordination across sectors (e.g. around sequencing and combinations of interventions)? How can the sum of sector packages of assistance be upgraded into an integrated, inter-sectoral assistance package? Would an MPC be an appropriate way of meeting recurrent needs and what should it cover?
Format	National-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	1 day
Actors to be involved	ROAP Task Team in plenary: • Session facilitator • National level sector experts of all concerned sectors • Information management officers from the participating cluster/sector coordination team • Cash experts • Protection experts
Required inputs & resources	Output of *Guided sector-level activity: Definition of sector-specific objectives of assistance* Output of *Guided inter-sector level activity: Definition of inter-sector objectives of assistance* Output of *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group Very large white paper sheet A5 colour cards Markers String Blue tack
Key terms	See the following terms in '*Key concepts and definitions*' *Barriers to basic needs* *Humanitarian outcomes*

	Response options *In-kind assistance* *Direct service delivery* *Cash transfer* *Vouchers*
Available tool	*Table 10: Integrated, inter-sector response packages*

How to complete the step	<u>Before the workshop:</u>
	• The facilitator reviews the overarching strategic objectives, the programmatic sector objectives, and the inter-sector programmatic objectives, and organises them in a drawing, marking their causal or other types of linkages. The drawing should be drawn on a very large white paper sheet; it's best if objectives are written on colour cards so that they can be moved around.
	• S/he completes the drawing by adding the accepted and appropriate response options that have been identified by the sectors, for each programmatic sector objective.
	
	<u>At the workshop, Part 1: Linkages across menus of interventions</u>
	• The facilitator presents the objectives chart, moving from overarching objectives to inter-sector objectives and sector objectives.
	• Sectors present the response options they identified as appropriate for each sector objective in *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group
	• Each presentation is followed by a Q&A session.
	• After all presentations and Q&A's, the facilitator moderates a discussion in plenary along these guiding questions, and marks key points on a flip chart sheet:
	  o Which sectoral menus of response options are related or complementary to each other as they contribute to inter-sector objectives or overarching objectives? Participants group them using a marker and moving the colour cards around as needed. These should be implemented as a joint package and a common targeting approach should be agreed by the concerned sectors.
	  o Is there anything missing (sector objective or intervention), which should be added to ensure impact towards the inter-sector objectives and the higher, overarching objectives? Could any additional objectives/interventions strengthen the combined outcome?
	  o Are the interventions consistent and mutually reinforcing, or are there any potential negative interactions? How can those negative interaction be removed/mitigated?
	  o Is there a specific sequencing of the menus of options that should be considered and recommended?
	• The facilitator annotates where response options could be connected to be mutually reinforce, as well as where response options would be inconsistent or could interact negatively if implemented together.
	
	<u>At the workshop, Part 2: Agreeing on MPC if appropriate</u>
	• In plenary, the facilitator asks participants to consider all recurrent cash or voucher interventions proposed in each sections of the table

	above (consider each section separately). They could be highlighted/circled for easier reference. • The facilitator asks in plenary if there is a reason why some are proposed as vouchers or why conditions are being imposed and if a cash transfer (an MPC for instance) might be of equal or greater benefit. And why this might be? • The facilitator notes down a list of all those response options that can be aggregated in one single MPC and will contribute to the corresponding inter-sector programmatic objective (e.g. "to meet daily basic needs"). After the workshop • The facilitator polishes the notes taken at the workshop and re-writes all objectives (overarching, inter-sectoral, sectoral) and related response options, marking clearly where MPCs will be used and how it will replace other interventions. If helpful, s/he can use template in *Table 10*
Notes	An example of an integrated inter-sector intervention: a combined livelihoods and education intervention that provided livelihoods support (e.g. vocational training and start-up grants) 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.

Tools

Table 10: Integrated, inter-sector response packages

	[Group 1]	[Goup 2]	[Group ...]	[Group X]
Overarching objective #1				
Inter-sector objective #1				

Sector objective #1				
Sector objective #2				

Key output: Design of sector-specific response options

For an introduction, see '*Design of sector-specific response options*', within the section '*Overview of the key ROAP outputs*'.

Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred and how frequently

Expected deliverable	Basic needs basket and expenditure calendar Expenditure gap Amount and frequency of cash transfers and/or vouchers Inter-sector calendar of cash transfers or vouchers
Question to answer	How much should transferred as labelled (sectoral) cash transfers? And MPC? And (sectoral/multi-sectoral) vouchers? How frequently should they be given? At what point in time?
Format	Offline/desk work and exchanges via email National-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	1 day in workshop + preparatory, offline work
Actors to be involved	ROAP Task Team in plenary: • Session facilitator • National level sector experts of all concerned sectors • Information management officers from the participating cluster/sector coordination team • Cash experts • Protection experts

Required inputs & resources	Output of *Guided inter-sector level activity: Holistic profile of the affected groups' needs* Output of *Guided inter-sector activity: Definition of the inter-sector menu of response options* BNA data on type of commodities and services that households believe they should consume/utilise to meet basic needs (*households' perspective*) Sector's technical guidelines / standards defining composition of kits / assistance packages (*sector experts' perspective*) Minimum quantities of assistance according to Sphere standards (*sector experts' perspective*) Expenditure findings of relevant assessments (amounts and calendars), such as: • Household Economy Analysis (baseline and/or outcome review) • Basic Needs Assessment • Multi-Sector Market Assessment Previous/existing minimum expenditure basket, broken down by theme 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) Cash transfer amount in government-led social safety net programmes For the workshop, a large sheet to be hung on the wall showing a large scale year calendar, as per *Table 21*
Key terms	See the following terms in '*Key concepts and definitions*' *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Response options* ***Cash transfer*** ***Vouchers***
Available tools	*Table 11: Typical recurrent and one-off expenditures by sector and category* *Table 12: Calculation sheet: recurrent and one-off WASH expenditures* *Table 13: Calculation sheet: recurrent and one-off Shelter/NFI expenditures* *Table 14: Calculation sheet: recurrent and one-off healthcare expenditures* *Table 15: Calculation sheet: recurrent and one-off education expenditures* *Table 16: Calculation sheet: recurrent food expenditures* *Table 17: Calendar of households' expenditures* *Table 18: Recurrent expenditures gap (one-off expenditures have been stricken through as not applicable here)* *Table 19: One-off expenditures gap (recurrent expenditures have been stricken through as not applicable here)* *Table 20: Estimated recurrent MPC* *Table 21: Calendar of cash transfers and vouchers*
How to complete the step	The decision on the composition of the basic needs basket should consider both households' perspective (the type of information the BNA provides) and experts' opinion (through sector experts' consultations). This is a two-part activity where the estimation of transfer amounts (Part 2 of the workshop) is preceded by and based on the estimation of

recurrent (monthly), seasonal, and one-off costs (Part I of the workshop). Note that the transfer amount will not be equal to the expenditures or costs.

Note the specific considerations for health-related expenditures below!

Before the workshop:

- The facilitator drafts a preliminary, context-specific list of key commodities and services that should be consumed/utilised by a household to meet their various sectoral needs (*Table 11*). This should be based on information gathered from households (the BNA is a possible source), as well as from technical guidelines / standards developed by sectors in country and - more generically - Sphere standards. This includes the "sector-specific baskets" (e.g. "food basket", "NFI kit", etc.).
- Some sector baskets can be defined based on household composition. For instance, the "education basket" will be estimated for each child in school age; the "health basket" will vary based on presence of PLW, and children under 2 and/or under 5.
- The facilitator consults (via email) the sector experts. The confirm the list of items in the sector basket, the frequency of consumption or utilisation of those items (*Table 11*), the minimum required quantity per person or per household during the period of reference – according to country-level sector and/or Sphere standards.
- The facilitator uses the information to populate the sector tables (possibly converted in Excel; *Table 12*, *Table 13*, *Table 14*, *Table 15*, *Table 16*) 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 and timing of expenditure (e.g. after a shock / loss of assets, a specific month of the year; a specific time in a particular month) (see definitions in *Expenditures reference period*)
    - quantity of units
    - unit price. The price information could be found / collected through logistic / supply chain staff from sector lead / partners.
    - total cost (multiplication of quantity by unit price X frequency)
- The facilitator populates the "actual expenditures" columns in *Table 18* and *Table 19*, with the median (or mean, if stable) expenditure figures found in the BNA or HEA. It is very important to complete these columns ahead of the working session, and possibly using an Excel sheet, in a way to facilitate calculations.
- Finally, the facilitator collects information on the national poverty lines and how they are calculated. Note, 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.

At the face-to-face working session:

Part1: Basic needs basket and minimum expenditure baskets, and frequency

- In plenary, the facilitator presents the sectoral baskets and related expenditures for relevant households' types (referring to the finalised *Table 11*), differentiating between recurrent and one-off and extraordinary expenditures (see definitions in *Expenditures reference period*) as well as services and commodities.
- The presentation is followed by a Q&A.
- After the Q&A session, participants get into sector-based groups, with protection and cash experts distributed across the different groups to ensure representation in all.
- With the facilitator's support, participants refine / finalise the pre-populated tables (see *Table 12, Table 13, Table 14, Table 15, Table 16*), by making any required amendments and providing the rationale.
- Groups then estimate the recurrent and non-recurrent costs by month (cross-sectoral) and by year (or relevant period) per sector. It may help to visualise costs within a monthly calendar, using the overall period that makes most sense (*Table 17*).
- In summing up expenditures, care should be taken not to mix expenditures that refer to different periods (e.g. monthly expenditures with weekly expenditures). To avoid confusion, a common denominator could be found and all expenditures converted to that period of reference (e.g. everything is considered as a monthly expenditures). With the information that has been generated, populate *Table 18 and then Table 19*.
- If information is available, in plenary, the facilitator moderates a discussion to compare the total of recurrent costs with the poverty line(s) and their relevant items.

The output of Part 1 of the session is the validated basic needs basket and estimated minimum recurrent, seasonal and one-off expenditures, set out in a calendar (i.e. their frequency and timing).

Part 2: Amount of recurrent (e.g. monthly) transfer(s)

When the calendar of expenditures shows that recurrent expenditures are distributed across several sectors, one, consolidated, recurrent and unrestricted transfer (i.e. a multipurpose cash grant, MPC) would be more cost-efficient than many different recurrent transfers, supported by different sectors. Based on this understanding MPC should be discussed as a preferred option to support recurrent households' expenditures.

- To table such a discussion, the facilitator starts by highlighting the recurrent expenditures in the calendar of expenditures then moderates a discussion to reach consensus on a consolidated, recurrent transfer.
- If it is agreed that one consolidated transfer is most appropriate for the specific response, the group estimates the amount of such a single transfer, as opposed to estimating the amount of multiple sectoral transfers. (Note: the latter would take the form of

recurrent, labelled cash transfers or vouchers and if this is deemed preferable participants jump to the last step in Part 2).

- The transfer amount of a consolidated, recurrent transfer (MPC) is calculated based on the expenditure gap. More precisely, it is equal to the expenditure gap, or a portion of it. There are two ways of estimating the consolidated, recurrent transfer amount:
  - comparing the total minimum recurrent expenditures across sectors for one-unit period (e.g. month) to actual, monthly household expenditures, and estimating the gap between the two.
  - comparing actual, monthly household expenditures against average income and estimating the gap.

  Income data tends to be less reliable than expenditures data, hence the first approach may be preferred.
- The resulting MPC amount is marked on the top row of the cash and voucher transfer calendar (*Table 17*), for the desired period and frequency. For instance: write "monthly MPC" in each cell from March to October, if the MPC should be transferred on a monthly basis starting from March and finishing in October; write "quarterly MPC" every three cells from May to August if it should only be transferred every quarter.
- If information is available, the facilitator moderates a discussion to compare the proposed MPC to the amount of government-led social transfers. There is the risk that, if discrepancy is significant, the government will push back on the proposed MPC amount.
- If the group opts for sector-specific, recurrent transfers (labelled cash transfers or vouchers), the transfer amount would be a percentage of the sectoral expenditure basket (e.g. a percentage of the cost of the diet, for interventions aimed at food security).

Part 3: Amount of seasonal and one-off transfers

The amount of seasonal and one-off transfers is calculated by sector, as these would be implemented to support households with sector-specific, one off costs and/or seasonal variations of needs and expenditures (e.g. shelter and NFI needs during winter; increased food expenditures during the lean season; school fees at specific points in the school year).

Such transfers come in the form of:

- unconditional cash transfers top-ups which address seasonal variations across the board (on multiple sectoral needs), to be added to the previously discussed MPC (if that is agreed by the group).
- vouchers (e.g. water vouchers) or labelled cash-transfer top-ups (conditional or not, e.g. for school costs) that are limited to the outcomes of one specific sector (which, in the calendar of transfers, should be noted in the subsequent sector specific rows underneath the MPC/unrestricted one).

- To table the discussion, the facilitator starts by highlighting the one-off and seasonal expenditures in the calendar of expenditures. In plenary, participants consider the number of different one-off and seasonal expenditure items by month. Wherever possible, the group increases the amount of the MPC in specific months/points in time.

	As numerous transfers are costly the following questions should be considered: ○ do these one-off / seasonal transfers need to be provided as vouchers or labelled cash transfers, or could be lumped-up with the MPC, as top-ups to be transferred in specific months / points in time (e.g. when being registered as refugee or IDP in a specific location)? ○ What are the arguments for keeping them split? • If the sectors prefer to keep certain transfers split and sectoral (vouchers or labelled cash transfers), sector groups discuss the amount that they would transfer, considering the expenditures and that the MPC (if this has been endorsed) will be given on a recurrent basis. They should consider: ○ Is the transfer to be a percentage of the estimated one-off / seasonal household expenditures? ○ If so, what percentage and based on what rationale? • Agreed amounts are added to the calendar of voucher and cash transfers. • Finally, the facilitator moderates a discussion around the possible interactions between these cash-based interventions and the possible need to sequence them. Topics to consider: would this calendar of transfers, given the existing seasonal trend of expenditures within households, impact households' expenditure choices?
Notes	Specific considerations for <u>Education expenditures</u>: they are mostly seasonal (except for transportation and food) and are incurred only by families with children of school age. Specific considerations for <u>Health expenditures</u> and the calculation of related transfer: • Health expenditures are related to the needs of individuals (rather than those of households) and linked to those individuals' specific medical conditions or requirements. • Catastrophic events cannot be predicted so the related direct health expenditures (e.g. emergency services and hospitalisation) do not lend themselves to the estimation of an *average* recurrent minimum expenditure basket. Catastrophic events can lead to *extraordinary one-off expenditures.* • Services and essential medicines should be cost free, but in reality households in countries with weak health systems have to shoulder many direct and indirect health costs. • The quality of services and medical supplies is critical to users' health and survival. However, it is not possible to control the quality of services and commodities available in the market. • Needs do not equal expenditures (see below)

Basket of basic needs (health, food, shelter, education, etc.)

The gap between the basket of basic needs and the MEB is what people ***cannot buy with money****.*

These needs are not monetisable; if they are not met, the problem cannot be resolved by giving cash to vulnerable households.

This is because some goods and services that are important to meeting households' basic needs do not have competitive markets (e.g. sanitation, education, health & nut)

Minimum expenditure basket

Tools

Table 11: 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 steel plates • Stainless steel cups • Table spoons • Kitchen knife • Serving spoon • Solar lamp • Cooking pots (7"5" litres)
		Recurrent	NA

	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 • License • Insurance • Maintenance
		Recurrent	• Fuel
Education	Education	One off	(Source: consultations with Education Sector in North-East Nigeria) • School fees • Canteen fees • 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 (e.g. maize, rice) • Vegetables and fruit • Meat and fish • Milk • Condiments • Oil • Sugar • Salt • Baby food
Health	Healthcare	One off	• Laboratory tests • Treatment for communicable diseases • Medical and hospitalisation fees for catastrophic event (only if on health cluster's list of approved fees) • Transportation for catastrophic event (including ambulance) • Medicines/treatment for catastrophic event or illness • Medical devices and equipment for personal use • SAM or MAM treatment • Accommodation and food for accompanying family members (e.g. caregivers of SAM and MAM cases for duration of hospitalisation) • • Fees for skilled delivery assisted delivery • Baby kit • Immunisation fees
		Recurrent	• Medicines for chronic health issues • Healthcare fees for regular mother and child check-ups (antenatal, post-birth)

			• Transportation and food for regular mother and child check-ups
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	• Water (quantity defined as per Sphere standards) • 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

Table 12: 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			
		Jerrycan, 10 L, non-collapsible	Piece	One off, once a year	See above			
	HYGIENE KIT (for family of 6)	Bucket with lid, HDPE, 20 L	Piece	One off, once a year	See above			
		Kettle with lid, plastic, sanitary cleansing, 2 L	Piece	One off, once a year	See above			
		Torch light, rechargeable	Piece	One off, once a year	See above			
		Child potty with lid	Piece	One off, once a year	See above			
		Bathing soap, 250 grams	Bar	One off, once a year	See above			
		Laundry soap, 200 grams	Bar	One off, once a year	See above			
		Rope	m	One off, once a year	See above			
		Clothes pins	Pack of 5	One off, once a year	See above			
		Female undergarments, medium size	Piece	One off, once a year	See above			
		Reusable sanitary pad set (2 holders, 3 winged pads, 2 straight pads)	set	One off, once a year	See above			
		TOTAL ONE-OFF (YEARLY) EXPENDITURES						
	WATER	Water (15 l per person, per day)	litres	Recurrent, monthly	When stocks to be replenished			

	HYGIENE REFILL (for family of 6)	Bathing soap, 250 grams	Bar	Recurrent, monthly	See above			
		Laundry soap, 200 grams	Bar	Recurrent, monthly	See above			
		Toothbrush	Piece	Recurrent, monthly	See above			
		Toothpaste, large, 140 g	Tube	Recurrent, monthly	See above			
		Diaper, disposable	Piece	Recurrent, monthly	See above			
				TOTAL RECURRENT (MONTHLY) EXPENDITURES				

Table 13: 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			
		Blankets	Piece	One off, once a year	See above			
		Mosquito net	Piece	One off, once a year	See above			
		Foldable mattress	Piece	One off, once a year	See above			
		Stainless plates	Bar	One off, once a year	See above			
		Stainless cups	Bar	One off, once a year	See above			
		Table spoons	m	One off, once a year	See above			
		Kitchen knife	Piece	One off, once a year	See above			
		Serving spoon	Pack of 5	One off, once a year	See above			
		Solar lamp	Piece	One off, once a year	See above			
		Cooking pots (5 litres)	set	One off, once a year	See above			

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			
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 14: Calculation sheet: recurrent and one-off healthcare expenditures

	Item	Unit	Frequency (one-off, monthly etc)	Timing of expenditure	Quantity	Unit price	Total cost
One off expenditures **For patient and caregiver only**	Laboratory tests	test	One off, unpredictable	Upon referral			
	Treatment of communicable diseases	diagnosis	One off, unpredictable	Upon diagnosis / referral			
	Medical and hospitalisation fees for catastrophic event (only if on list of approved fees)	catastrophic event	One off, unpredictable	At catastrophic event			
	Medical devices and equipment for personal use	Device	One off, (un)predictable	Upon referral			
	SAM or MAM treatment	diagnosis	One off, unpredictable	Upon diagnosis / referral			
	Transportation for catastrophic event (including ambulance)	catastrophic event	One off, (un)predictable	At catastrophic event			
	Accommodation and food for accompanying family members (e.g. caregivers of SAM and MAM cases for duration of hospitalisation)	Days	One off, unpredictable	At catastrophic event			
	Medicines/treatment for catastrophic event, illness	catastrophic event	One off, unpredictable	At catastrophic event, illness			

	Fees for skilled delivery assisted delivery	Pregnancy	One off, predictable	At baby delivery			
	Baby kit	Baby	One off, predictable	At birth			
	Immunisation fees	Lumpsum/baby	One off, predictable	At appropriate age			
TOTAL ONE-OFF (YEARLY) EXPENDITURES FOR A HOUSEHOLD WITH PLW AND CHILD							
Recurrent for patient	Medicines for chronic health issues	Lumpsum	Recurrent, monthly	When patient's stocks is finished			
	Healthcare fees for regular mother and child check-ups (antenatal, post-birth)	PLW, child	Recurrent, monthly	Pregnancy and early childhood			
	Transportation and food for regular check-ups	Check-up	Recurrent, monthly	See above			
TOTAL RECURRENT EXPENDITURES							

Table 15: Calculation sheet: recurrent and one-off education expenditures

Sector		Item	Unit	Frequency (one-off, monthly etc)	Timing of expenditure	Quantity	Unit price	Total cost
EDUCATION	**One off (for child attending school)**	School fees	Lumpsum	One off, once a year	just before / at the start of the academic year			
		Canteen fees	Lumpsum	One off, once a year	just before / at the start of the academic year			
		Notebook	Piece	One off, once a year	just before / at the start of the academic year			
		Ruler	Piece	One off, once a year	just before / at the start of the academic year			

		Scissors	Piece	One off, once a year	just before / at the start of the academic year			
		Maps	Set	One off, once a year	just before / at the start of the academic year			
		Pencils	Set	One off, once a year	just before / at the start of the academic year			
		Rubber	Piece	One off, once a year	just before / at the start of the academic year			
		Geometric set	Set	One off, once a year	just before / at the start of the academic year			
		Mat	Piece	One off, once a year	just before / at the start of the academic year			
		Sandals	Pair	One off, once a year	just before / at the start of the academic year			
		School uniform	Piece	One off, once a year	just before / at the start of the academic year			
		School Bag	Piece	One off, once a year	just before / at the start of the academic year			
		Text Book(s)	Piece	One off, once a year	just before / at the start of the academic year			
	TOTAL ONE-OFF (YEARLY) EXPENDITURES							
	Recurrent (for child attending school)	Transportation	Day	Recurrent, daily	Across school year			
		Canteen (if not one-off)	Day / month	Recurrent, daily / monthly	Across school year			
		Snacks	Day	Recurrent, daily	Across school year			

Table 16: Calculation sheet: recurrent 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				Kg	Month				
	Millet				Kg	Month				
	Maize				Kg	Month				
	Beans				Kg	Month				
	Palm oil				Kg	Month				
	Groundnut				Kg	Month				
	Sugar				Kg	Month				
	G/nut oil/Veg Oil				Kg	Month				
	Salt				Kg	Month				
	Onion				Kg	Month				
	Other				TBD	Month				
	Other				TBD	Month				
	Other				TBD	Month				
	Other				TBD	Month				
	Total		**2,100**							

Table 17: Calendar of households' expenditures

Category of expenditure	January	February	March	April	May	June	July	August	September	October	November	December
Unrestricted cash transfers												
Sectoral cash & vouchers	**January**	**February**	**March**	**April**	**May**	**June**	**July**	**August**	**September**	**October**	**November**	**December**

CCCM / Shelter / NFI												
Education												
Food security												
Health												
Early Recovery												
WASH												
Other												

Table 18: 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 *MPC amount*
Food	Food commodities	[indicate average household size]			
	Food commodities/nutrients for pregnant and lactating women	one person			

	Food commodities/nutrients for children under 5	Indicate average number of children under 5			
Health	Recurrent health commodities	[indicate average household size]			
	Recurrent health services	[indicate average household size]			
WASH	Potable water	[indicate average household size]			
	Recurrent hygiene items	[indicate average household size]			
Shelter / NFI	Housing (rent)	[indicate average household size]			
	Energy commodities	[indicate average household size]			
	Transport services	[indicate average household size]			
	Communication services	[indicate average household size]			
Education	Education services	[indicate average school-age children]			
	Education commodities	[indicate average school-age children]			
		Total			

Table 19: One-off expenditures gap (recurrent expenditures have been stricken through as not applicable here)

Sector	Category	Desired expenditure for one-off costs	Actual expenditure for one-off expenditures (from BNA)	Expenditure gap	When one-off costs are required (time of year)
Health	One-off health commodities				
	One-off health services				
WASH	Containers for potable water				At identification
	One-off hygiene items				At identification
SHELTER / NFI	Shelter commodities		-	-	-
	HH items		-	-	-

	Communication commodities				
Education	One-off education services				Just before / at the start of the academic year
	One-off school supplies				Just before / at the start of the academic year
	Total				

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.

Table 20: Estimated recurrent MPC

Sector	Category	Estimated transfer value for [district x]	Estimated transfer value for [district x]	Estimated transfer value for [district x]	Average estimated transfer value
CCCM / shelter / NFI	Communication				
	Energy				
	Energy				
	Household items				
	Housing				
	Transport				
Education	Education				
Food security	Food				
Health	Healthcare				
Early Recovery	Productive assets				
WASH	Potable water				
	Sanitation/hygiene				
Estimated total MPC transfer value					

Table 21: Calendar of cash transfers and vouchers

Category of expenditure	January	February	March	April	May	June	July	August	September	October	November	December
Unrestricted cash transfers (MPC)												

Sectoral cash & vouchers	January	February	March	April	May	June	July	August	September	October	November	December
CCCM / Shelter / NFI												
Education												
Food security												
Health												
Early Recovery												
WASH												
Other												

Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply conditionalities

Expected deliverable	Decision on whether or not to apply conditions to cash transfers and vouchers
Question to answer	When cash transfers or vouchers are the most suitable response (or an element of the most suitable, multi-modality response) should they be conditional?
Format	National-level mini-workshop / collaborative working session (sector)
Estimated time required	1.5 hours
Actors to be involved	• Session facilitator • National level sector experts • National level cash experts
Required inputs & resources	Key terms (see below)
Key terms	See the following terms in '*Key concepts and definitions*' *Response options* *Cash transfer* *Vouchers* ***Error! Reference source not found.***
Available tool	*Table 22* Red Cross Movement Tool #M313 (see CaLP's Programme Quality Toolbox)
How to complete the step	Before the workshop: • The cash experts review the outcomes / programmatic objectives set out by the sector. • They gather (rigorous) evidence on the impact of conditionalities on the specific outcomes of interest for the sector. • They prepare (and get ready to deliver) the first part of the workshop session. At the workshop: • The cash experts explain what conditionalities are and provide relevant examples of cash transfers or vouchers with conditionality used in the sectors. Examples should be from the same country or similar contexts. See the definitions in *Key concepts and definitions*. • The facilitator (and/or the cash experts) mentions the most common modalities for the sector, if there are any. S/he encourages participants to be creative and think of alternatives to the examples s/he provided. • The cash experts explain what conditionalities are and provide relevant examples of cash transfers or vouchers with conditionality used in the sectors and what impact these have had on sector outcomes. Examples should be from the same country or similar contexts. The cash experts present evidence of the impact of conditionalities on the specific outcomes of interest for the sector. • After this round of presentations by the cash experts, the facilitator moderates a Q&A session.

	• The facilitator then moderates a discussion based on these guiding questions, taking notes of the responses in Table 22 below. The ultimate aim of the discussion is to agree **whether or not a conditionality should be applied to any cash or voucher transfer.** (If the group chooses not to apply a conditionality to the transfer, then the respective row is stricken through.) ○ If a cash transfer (or voucher) is proposed, would you add a conditionality? Which one? ○ Why would you do that? ▪ Are you trying to encourage some sort of behaviour change (this is reason why conditional cash transfers are generally used)? What behaviour? Is the condition you are thinking of setting linked to such behaviour (evidence shows this is important)? ▪ Do you think households should not receive handouts without doing anything to earn it? Do you apply the same value judgment to in-kind assistance? Why? ▪ Does the donor or Government require it? ○ What advantages do you envisage? Consider the possible effectiveness of conditionalities in changing behaviour and the sustainability of such changes beyond the project lifetime. ○ What disadvantages do you envisage? Consider the costs for recipients (including time and other types of burden); costs for the implementing organisation (e.g. monitoring, paperwork to demonstrate and record compliance with conditions); unintended negative effects for recipients (e.g. possible drop-out / self-exclusion of recipients unable to comply the conditionality; harm to / neglect of some family members, in order to comply with the condition); sustainability and possible negative consequences when the cash transfer / voucher assistance will be discontinued.
Notes	NA

Tools

Table 22: Comparing cash-based modalities with and without conditionalities

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: [short objective statement, e.g. food security]	Cash transfers or voucher WITH conditions			
	Cash transfers or voucher WITHOUT conditions			
Objective 2: [short objective statement, e.g. food security]	Cash transfers or voucher WITH conditions			
	Cash transfers or voucher WITHOUT conditions			
Objective 3: [short	Cash transfers or voucher WITH conditions			

objective statement, e.g. food security]	Cash transfers or voucher WITHOUT conditions			

Guided non-sector activity: If / when cash or vouchers are proposed, for each of the preferred modalities, compare AVAILABLE transfer mechanisms

Expected deliverable	Preferred transfer mechanism(s) for each location
Question to answer	Which mechanisms are the best value for money for each modality?
Format	National-level mini-workshop / collaborative working session (cash experts)
Estimated time required	1 hour
Actors to be involved	**Cash experts only!**
Required inputs & resources	Transfer mechanisms / financial service providers assessment findings
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Table 23: 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.
	
	At the workshop:
	Discussion is documented in *Table 23*.
	• In column A of *Table 23* enter the modalities that were preferred (see output of 0)?
	• For each modality, which mechanism is feasible / available in the selected locations? (column B of Table 23)
	• To determine pros and cons consider the following and record discussion in columns C & D of *Table 23*)
	  o Would the FSP be able to reach the caseload?
	  o How experienced are sector members in using the mechanism?
	  o How familiar are the target groups with this way of accessing money / assistance?
	  o What protection concerns are associated with the mechanism?
	• 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. Mechanisms are ranked in order of expense (column E of *Table 23*). • The mechanism that is the best value for money is selected for each modality (column F of *Table 23*).
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 must be tailored to the modality but is not directly influenced by the objective. 2) Add additional rows as needed.

Tools

Table 23: Comparative table of transfer mechanisms

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]				

Key output: Selected operationally feasible response options

For an introduction, see '*Key output: Selected operationally feasible response options*', within the section '*Overview of the key ROAP outputs*'.

Guided sector-level activity: Comparative analysis of sector response options

Expected deliverable	(Unweighted or weighted) ranking of response options based on both suitability to objective and operational feasibility
Question to answer	Which response is most suitable and operationally feasible?
Format	Sub-national-level mini-workshop / collaborative working session (sector)
Estimated time required	2-3 hours per objective
Actors to be involved	• Session facilitator • Sector experts at the sub-national level • Information management officers • Cash experts at the national level (or sub-national, if available) • Protection experts at the sub-national level
Required inputs & resources	• *Definitions below, as well as explanation of scores* ○ *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group, ○ *Guided sector-level activity: Definition of minimum operating conditions for each response option* ○ *Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply* conditionalities ○ *Guided non-sector activity: If / when cash or vouchers are proposed, for each of the preferred modalities, compare AVAILABLE transfer* mechanisms.
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs* *Programmatic risks* *Operational risks* *Contextual risks*
Available tool	*Table 24: Comparative table of response options (suitability and operational feasibility)* Prepare one table per objective. Ideally Excel should be used as this allows for the easy calculation of scores.
How to complete the step	Before the workshop: • The facilitator may need to revise the proposed response options after decisions have been made on conditionalities and transfer amounts (*Guided inter-sector activity: If/when cash or vouchers are proposed, how*

much should be transferred and how frequently; and *Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply* conditionalities).

At the workshop:

- The group decides if, in the targeted geographic areas/context, the criteria should all have the same weight, as they have equal importance.
- ***Optional!*** If not, then the group establishes weights for each criterion. To do that, the group:
  - looks at the comparative analysis table and reviews the 15 criteria (see Table 24 below).
  - selects a maximum of five criteria among them, which - according to them - are the most important. Out of the five, pick one that is absolutely the most important.
  - The top criteria is given a weighting of 3 (i.e. it's score will be tripled); the other four are given a weight of 2 (i.e. their scores will be doubled).
- The group prepares one table per objective, writing the objective statement on top of the table.
- They fill out the tables with the response options that they previously identified (alternatively, the facilitator does this ahead of the workshop). To do that, they should use the information from the following guided activities:
  - *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group
  - *Guided sector-level activity: Definition of minimum operating conditions for each response option*
  - Info on mechanisms for cash/voucher delivery from *Guided non-sector activity: If / when cash or vouchers are proposed, for each of the preferred modalities, compare AVAILABLE transfer* mechanisms.
  - The advantages and disadvantages of response options based on their suitability to objectives from *Guided sector-level activity: Identification of accepted response options that are appropriate to the needs and objectives of the intervention & target* group. The facilitator will report the contents of that discussion in the two top rows of Table 24, before moving on to analysing the following criteria.
- The group confirms the criteria against which the response options will be assessed. This need not include all 15 criteria proposed in Table 24! It will depend on what the group deems pertinent in the specific response.
- With the assistance of the facilitator, the group determines the pros and cons of each selected criteria as they apply to each response option, for the relevant objective. Leading the discussion in a structured way, moving from one criterion to the other in the same sequence as the table, may prove to be challenging and counterproductive. Instead, the facilitator may kick-off the discussion with an open question around the general advantages and disadvantages of each response option. This will pave the way for directing the discussion to specific criteria.
- ***Optional!*** Assign a score to each criteria within each response option. Multiply by the weight, if you have assigned one.

	• Consider whether cash transfers and/or vouchers 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.
Notes and things to bear in mind	***Keep it simple and short!*** This is probably the most labour-intensive and time-consuming step of the ROAP. participants are not bound to use all proposed criteria, or to assign them a weight, or to score the response options against them. *Scores:* 1 = doesn't meet the criteria at all 2= partly meets the criteria 3 = fully meets the criteria Columns can be removed or added to Table 24 as necessary, depending on the number of response options under considerations.

Tools

Table 24: Comparative table of response options (suitability and operational feasibility)

<table>
<tr><th colspan="7">OBJECTIVE
[write objective]</th></tr>
<tr><th rowspan="2">CRITERIA</th><th rowspan="2">Considerations</th><th colspan="5">Response options</th></tr>
<tr><td>[write response option 1]</td><td>[write response option 2]</td><td>[write response option 3]</td><td>[write response option 4]</td><td>[write response option 5]</td></tr>
<tr><td colspan="7">ACCEPTANCE BY LOCAL AND NATIONAL AUTHORITIES</td></tr>
<tr><td rowspan="3">Criterion # 1: Acceptance by authorities
(Weight: __)
If no, then option is vetoed and removed

Is the response option accepted by local and national authorities in all the targeted locations? What concerns do / may they have?</td><td>Yes / No / Not yet verified</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Possible concerns (actual or anticipated)</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Score</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="7">APPROPRIATENESS (TAKEN FROM QUESTION 1)</td></tr>
<tr><td rowspan="3">Criterion # 2: Suitability to objectives and target groups, according to beneficiaries
(Weight: __)

Is the response option appropriate to achieve the objectives? Is it the case for all intended groups? In all targeted locations?
Are the target groups in the position to use and benefit from the response option, considering distance from providers, possible discrimination, cost incurred, security and protection risks?</td><td>Advantages / pros</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Disadvantages / cons</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Score</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td rowspan="3">Criterion # 3: Suitability to meet the objectives for target groups with special needs
(Weight: __)

Is the response option appropriate to achieve the objectives for people with special needs / vulnerabilities in all targeted locations?
Are the identified groups with special needs in the position to use and benefit from the response option, considering distance from providers, possible discrimination, cost incurred, security and protection risks?</td><td>Advantages / pros</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Disadvantages / cons</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Score</td><td></td><td></td><td></td><td></td><td></td></tr>
</table>

Criterion # 4: Programme quality (quality standards, including Sphere standards) **(Weight: __)** *Does the response option offer a good chance of achieving the minimum quality and quantity of commodities and services that target groups should get access to / consume according to humanitarian standards?*	Advantages / pros					
	Disadvantages / cons					
	Score					
PUBLIC SERVICES AND MARKETS						
Criterion # 5: Capacity of existing public service systems (e.g. education, health, public water system, other essential services) **(Weight: __)** *Do the local public services, facilities, and infrastructure have the capacity to support and respond positively, at scale, and in a timely manner to the proposed response option?* *If not, how easily and efficiently can they be enabled?*	Advantages / pros					
	Disadvantages / cons					
	Score					
Criterion # 6: Consequences for the public service systems **(Weight: __)** *Will the public service system and its facilities and infrastructure be damaged or supported by the proposed response option?*	Advantages / pros					
	Disadvantages / cons					
	Score					
Criterion # 7: Capacity of market actors and private sector services **(Weight: __)** *Do the relevant markets and private sector services have the capacity to respond positively, at scale, and in a timely manner to the proposed response option?* *If not, how easily and efficiently can they be enabled?*	Advantages / pros					
	Disadvantages / cons					
	Score					
Criterion # 8: Consequences for relevant market actors and private sector services **(Weight: __)** *Will the market actors (or other parts of the system) be damaged or supported by the proposed response option? Unintended negative*	Advantages / pros					
	Disadvantages / cons					
	Score					

effects on markets include reduced competition, reduced demand, higher prices.						
IMPLEMENTING AGENCIES' CAPACITY TO OPERATE AT SCALE AND IN A TIMELY MANNER						
Criterion # 9: Sector partners' familiarity and previous experience with the modality **(Weight: __)**	Advantages / pros					
	Disadvantages / cons					
In the targeted geographic areas, what proportion of the sector members are familiar with the response option and have previously used it (# of experienced organisations out of total # of members)?	Score					
Criterion # 10: Capacity to start and go to scale (caseload size) in a short timeframe **(Weight: __)**	Advantages / pros					
	Disadvantages / cons					
In the targeted locations, does the response options have an acceptable start-up and scale-up time for the sector partners?	Score					
RISKS						
Criterion # 11: Protection **((Weight: __)**	Advantages / pros					
	Disadvantages / cons					
Does the response option create significant and / or unmanageable intra-household and community protection risks for beneficiaries, with specific attention to those with special needs and vulnerabilities?	Score					
Criterion # 12: Operational, financial, and institutional risks **(Weight: __)**	Advantages / pros					
	Disadvantages / cons					
Does the response option create significant and / or unmanageable operational and institutional risks?	Score					
Criterion # 13: Contextual risks **(Weight: __)**	Advantages / pros					
	Disadvantages / cons					
Which response option is more vulnerable to external factors and changing conditions?	Score					
COSTS						

Criterion # 14: Costs and efforts for the organisation **(Weight: __)** *What are the costs of the response option for the organisation?*	Observations and envisaged costs (list and estimated total)					
	Score					
Criterion # 15: Costs and efforts for the beneficiaries **(Weight: __)** *Is the response options convenient for the beneficiaries (in terms of costs incurred to benefit)?*	Observations and envisaged costs (list and estimated total)					
	Score					
Overall score (UNWEIGHTED: maximum = 45) (WEIGHTED: maximum (unweighted scores x weighting) = ?)						

Lesson learned 13: Adopt a flexible approach and make sure to have a facilitator

This is a complex and time-consuming process, that generated some level of fatigue, especially in the pilot in Ethiopia, where the process had been followed more thoroughly than in Nigeria. The recommendation is to let the groups decide which criteria to focus on from amongst the 15 proposed in this Guide, and how and if they should be weighted.

A facilitator is required, when groups are not familiar with the process and do not have time to read the guidance. This will ensure all criteria are considered, their pros and cons noted, and scores assigned (if deemed necessary). It will also help with time keeping and avoiding rabbit holes.

Lesson learned 14: Response options are not mutually exclusive

When piloting the approach in Ethiopia, the facilitators noted that the response options are not mutually exclusive. In other words, the purpose of the comparative analysis is not necessarily to choose one response option (or combination) over others, which are then discarded. The context may be such that different response options may all be relevant, each for a specific set of geographic areas or target group. It may also be the case that they are all relevant but at different points in time, so the response should be phased.

Guided sector-level activity: Recommendations on sector response options for targeted groups and locations, and their timing

Expected deliverable	Paragraph(s) articulating the sectoral response package for the targeted population groups and locations
Question to answer	What interventions does the sector intend to implement to address the identified humanitarian needs?
Format	Exchange of emails, initiated by the facilitator or during the workshop
Estimated time required	30 minutes (if during the workshop)
Actors to be involved	• Session facilitator • Sector experts at the subnational level • Cash experts
Required inputs & resources	Outputs of all previous steps and particularly: *Guided sector-level activity: Definition of sector-specific objectives of assistance* *Guided inter-sector level activity: Definition of inter-sector objectives of assistance* *Guided inter-sector activity: If/when cash or vouchers are proposed, how much should be transferred and how frequently* *Table 21: Calendar of cash transfers and vouchers* *Guided sector-level activity: If / when cash or vouchers are proposed, decide whether to apply conditionalities* *Guided sector-level activity: Recommendations on sector response options for targeted groups and locations*
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes*

	Criticality of needs
Available tool	*0* *Template 2*
How to complete the step	This step can be done either right after the *Guided sector-level activity: Recommendations on sector response options for targeted groups and locations*, at the same workshop, or via email exchange. Use the information produced in the previous steps to fill out the empty spaces.
Notes	The template may have to be adapted as appropriate.

Tools

Template 1 Sector response options (not cash or voucher)

Over the next [period] the [name of sector] sector will provide assistance to [targeted population group/community] in [location]. [estimated number of individuals] 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 transfer or voucher)

Over the next [period] the [name of sector] sector will provide assistance to [targeted population group/community] in [location]. [estimated number of individuals] 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 receive [type of cash based transfer and frequency] of [amount / quantity] in [number of instalments] instalment(s) or rounds, [on the condition that …, 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].

Key output: Calendar of sector and inter-sector assistance by group and location

For an introduction, see '*Calendar of sector and inter-sector assistance by group and location*', within the section '*Overview of the key ROAP outputs*'.

Guided inter-sector activity: Adjustment of the response options into an integrated, multi-modal package of assistance

Expected deliverable	An integrated, multi-modal inter-sector assistance package by population group and location, inclusive of MPC if appropriate and operationally feasible
Questions to answer	What sector assistance would each population group receive in each location, as per initial plans? How can the multi-sector package of assistance be upgraded into an integrated and multi-modal assistance package?
Format	Sub-national-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	2-3 hour
Actors to be involved	• Session facilitator • Sub-national sector experts of all concerned sectors • Cash experts • Protection experts
Required inputs & resources	Outputs of the following steps: *Guided sector-level activity: Definition of sector-specific objectives of assistance* *Guided sector-level activity: Definition of sector-specific objectives of assistance* *Guided inter-sector level activity: Definition of inter-sector objectives of assistance* *Guided sector-level activity: Recommendations on sector response options for targeted groups and locations*
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Table 25: Revised integrated, inter-sector response packages, with MPC*
How to complete the step	Before the workshop: • The facilitator collects outputs of *Guided sector-level activity: Recommendations on sector response options for targeted groups and locations* for each sector. • S/he populates *Table 25: Revised integrated, inter-sector response packages, with MPC* reproducing it on a large-scale paper sheet.

	• Sector representatives prepare to present their recommendations on sector response options for targeted groups and locations. At the workshop: • Each sector presents the output of *Guided sector-level activity: Recommendations on sector response options for targeted groups and locations, and their timing, in plenary*. • The facilitator summarises the package of assistance that each group will receive, in each location, highlighting the different packages that will be offered in the same location (which may trigger tentions among groups).
Notes	NA

Tools

Table 25: Revised integrated, inter-sector response packages, with MPC

	[Group 1]	[Goup 2]	[Group …]	[Group X]
[Location 1]				
[Location …]				
[Location X]				

Guided inter-sector activity: Consideration of cross-sector themes (e.g. gender, age, sustainability) for selected response options

Expected deliverable	Protection and environmental matters are articulated, and risk mitigation measures are agreed
Question to answer	What cross-sectoral themes are to be considered and integrated in the response options, including through dedicated risk mitigation measures?
Format	Sub-national-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	2 hours
Actors to be involved	• Session facilitator • Sub-national level Sector experts from all participating sectors • Cash experts • Protection experts
Required inputs & resources	Findings of protection assessments
Available tool	*Table 26: Cross-sectoral themes*
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs* *Programmatic risks*

How to complete the step	At the workshop:
	• The facilitator moderates a discussion around the following guiding questions:
	  o Which elements of cross-sectoral themes need to be considered for the selected response options?
	  o How will risks in these areas be addressed? Do different sub-groups (e.g. women- / child-headed households) need different responses?
	• One row in the *Table 26* is completed for each response option

Notes	NA

Tools

Table 26: Cross-sectoral themes

Objective (sectoral or inter-sectoral)	Response option	Cross-sectoral theme issue	Solution

Guided inter-sector activity: Final recommendations on inter-sector assistance packages, quantity and timing for targeted groups and locations

Expected deliverable	Paragraph(s) articulating the sectoral response package for the targeted population groups and locations Paragraph(s) articulating the inter-sector response package for the targeted groups and locations (including MPC and top-ups)
Question to answer	In light of other sectors' interventions what interventions will the sector implement to address the identified humanitarian needs? What multipurpose grant package will be given to compliment to the sectoral interventions?
Format	Sub-national-level mini-workshop / collaborative working session (inter-sector)
Estimated time required	1 hour
Actors to be involved	• Session facilitator • Sub-national level Sector experts from all participating sectors • Cash experts • Protection experts
Required inputs & resources	Outputs of: *Guided inter-sector activity: Adjustment of the response options into an integrated, multi-modal package of assistance* *Guided inter-sector activity: Consideration of cross-sector themes (e.g. gender, age, sustainability) for selected response options*
Key terms	See the following terms in '*Key concepts and definitions*' *Basic needs* *Basic Needs Basket* *Average expenditure basket* *Expenditures reference period* *Minimum Expenditure Basket* *Barriers to basic needs* *Humanitarian outcomes* *Criticality of needs*
Available tool	*Template 3* *Template 4* *Template 5* *Template 6*
How to complete the step	1) In sectoral groups, participants complete 1320 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
Notes	The templates may have to be adapted as appropriate.

Tools

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 top-ups

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 __________ (voucher 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 objectives). They will receive a package consisting of a __________ (frequency) MPC 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 MPC of __________ (amount / quantity) in __________ (number) of instalment(s) or rounds during __________ (timeframe).

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

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

Ethiopia

Background

The Task Team for Response Analysis (known as the Task Team) aims to oversee and draw together all the various elements of the ECHO's Enhanced Response Capacity (ERC) funded pilot for the uptake of quality, collaborative multipurpose cash grants (MPC) in Ethiopia. This work is led by a Consortium led by Save the Children and consisting of CaLP, the Danish Refugee Council (DRC), Mercy Corps, and OCHA.

In October 2017, the Consortium began the pilot in Ethiopia 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 and contextually appropriate MPC programmes. As such, it supports and is in line with the commitments made by donors and humanitarian partners as part of the Grand Bargain.

The pilot project will provide information and analysis for selected woredas in Fafan Zone in the Somali Region on:

- Basic needs of crisis-affected people, through the Basic Needs Assessment (BNA)
- Minimum expenditure basket (MEB)
- Market functionality and related feasibility of cash transfers and vouchers, through the Multi-Sector Market Assessment (MSMA)
- Payment mechanisms and financial service providers
- Partners' and government's capacity to implement Cash & Voucher Assistance (CVA)
- Effectiveness of MPC, based on existing experiences

The Task Team will play a key role in bringing together and analysing the information generated by these Consortium assessments. This analysis process will be guided by Consortium technical experts and will make use of the Consortium's Facilitator's Guide for the Basic needs-based Response Options Analysis and Planning (ROAP).

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 MPC will be shared with the country-level members of the Consortium, relevant IASC Clusters / Sectors, Cash Working Groups (CWG) in country, and Cash Consortia (if any), as well as other key stakeholders in the pilot context. The pilot will help the humanitarian community in Ethiopia make more effective and wider use of MPC, if and when appropriate and feasible.

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.

The key deliverables will be:

– a note validating the findings of the BNA

– a note validating the findings of the Consortium's other assessments (MSMA, payment mechanisms assessment, Partners' and government's capacity to implement CVA)

– a note on concrete recommendations to the Inter-Cluster Working Group and other relevant fora for priority interventions to be implemented in the short and medium term to address basic needs of specific groups of affected people in Fafan Zone.[38]

Timeline

The Task Team was established in late October 2017. Initial activities relating to the review of assessment outcomes will be followed by a response analysis work that will take place throughout March 2018. If there are humanitarian needs / response planning activities occurring at approximately the same time (i.e. March / April) the Consortium will aim to feed into these to improve the uptake of its' outputs. After the deliverables are produced the Task Team will be disbanded.

When	Action	Deliverable
29th Jan- 2nd Feb 2018	One-on-one working sessions with Sector representatives in Task Team for: (I) understanding of TORs, commitments, and calendar	All sector reps of Task Team (TT) are clear about commitments and dates
5th - 9th Feb 2018	Validation of BNA with sector experts in Ethiopia (Addis Ababa)	Assessment findings validated by each sector (discarded the non-plausible ones, added complementary information, confirmed plausible findings); specific markets chosen for Multi-Sector Market Assessment
12th – 28th Feb 2018	Multi-sector market assessment training and data collection (Jijiga, Somali region)	Data collected for selected markets (water, maize, veg oil, soap, sanitary pads, HH items)
28th Feb – 2nd March 2018	CaLP Training on ROAP and definition of groups & response objectives	Definition of profile and size of groups in need and assistance objectives defined

[38] 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.

18th – 26th March 2018	Review of Multi-sector Market Assessment report	Questions and observations
19th – 26th March 2018	One-on-one working sessions with Sector representatives to identify response options for Fafan zone	Response options for each sector objective Comparative analysis of response options (operational risks, programmatic risks, costs, market feasibility, FSP, etc.)
28th – 29th March 2018	Inter-sector response planning workshop for Fafan zone	Integrated response plan (any linkages among sectors) Composition of MPC and tentative value(s)

Composition

The Task Team is a sub-group of the Inter-Cluster Working Group, with the technical support of ERC Consortium Members. The Task Team will include:

– representatives from all the sectors of the humanitarian response (sector experts and IMOs)
– cash experts from the CWG
– protection experts

The sector experts will validate the priority needs and consider interventions, cash experts will provide expert advice on if and how cash can be used to address priority needs, and protection experts will ensure the interventions mainstream protection concerns.

Membership is voluntary but is 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.

The Task Team will choose one of its members to lead the group and this person(s) will also act as co-spokesperson on behalf of the group.

Roles and responsibilities

The Task Team will:

– Conduct a peer review of the Consortium's tools (e.g. to determine if the basic needs questionnaires are contextually appropriate)

– (Possibly) participate in the Consortium's assessments (e.g. as sector experts in the Multi-Sector Market Assessment)

– Undertake a desk review and validation of the findings of the ERC Consortium's assessments

– Present the validated BNA findings at appropriate fora external to the Consortium

– Participate in Response Analysis training

– During the final ROAP Workshop (to be organised and facilitated by the Consortium in March 2018): identify possible sector specific and inter-sector response options based on needs and make a final recommendation based on operational feasibility and appropriateness

– Document the results of the above steps

This work is expected to involve a commitment of approximately 12 - 15 days between November 2017 and March 2018 with the majority of the work to be done in Feb - March 2018.

Roles within the Task Team

The Task Team Coordinators will form and initiate the Task Team, raising awareness on the Consortium's work and collecting expressions of interest. They will represent the group to the relevant external fora (when the group report on their response analysis recommendations) and will also likely chair meetings and ensure decisions are made in a timely and effective manner, and are effectively documented. The Task Team Coordinators will advocate for the Task Team's recommendations to be reflected in the broader humanitarian response planning 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 ICWG 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 and supported as required.