

# BRIEFING SHEET

## Choosing indicators and targets for the 4W, WASH Strategic Operational Framework and IASC Strategic Response Plan

### Introduction

Strategic planning and response monitoring are closely connected as the planned targets in the Strategic Response Plan/WASH Strategic Operational Framework will be monitored within the response monitoring framework. Thus, this Briefing Sheet should be used in the strategic planning phase of the emergency in parallel with the development of the Response Monitoring (4W) framework. Read the WASH 4W Briefing Sheet in conjunction with this Briefing Sheet.

### Strategic Plans (SOF & SRP)

The WASH Strategic Operational Framework (SOF) and IASC Strategic Response Plan (SRP) will be developed in the first few weeks of a sudden onset emergency, or at a cyclical time during a protracted crisis. Until both plans are agreed by the Cluster and HCT, the indicators within these plans may change as new assessment data is supplied and the crisis and key priorities become clearer/better understood.

### 4W Response Monitoring

In the first few weeks of a sudden on-set emergency, the IMO should focus their efforts on informing partners of basic coverage and gaps, rather than creating a complex (Phase 2) 4W, until it has been decided what information needs to be collected to answer the SOF/SRP reporting requirements. Further, additional information (e.g. affected population figures) may need to be collected (e.g. from a planned assessment or from another Cluster<sup>1</sup>) to enable the calculation of outcome indicators for the SOF and SRP. These additional data inputs should be identified as soon as possible to help in the overall development of the WASH response monitoring tool.

### TIPS

- WASH Cluster Coordinator (CC) and IMO work together from the start of the process. The CC should know the WASH situation on the ground and the IMO should be aware of what data can be collected
- Ensure that chosen indicators are SMART, that is: specific (to what it is supposed to measure); measurable; achievable; relevant; and time-bound within the planning period
- Communicate with other Clusters early on, especially if sharing the SRP Strategic Objective
- Document (use metadata template in data/information section) where all the required information will come from (new assessment/4W etc.) to supply information to indicators
- Enquire (if an assessment is needed) - is the assessment funded, are there resources to collect the data, will the results be available in time for the reporting requirements?
- Encourage partners to use a set of emergency-related Core indicators in their assessments so that the assessments can be better analysed, consolidated and used as the baseline for monitoring (see Assessment Tools for IMO/ WASH Core Assessment Indicators)

<sup>1</sup> See Key WASH Data Sources and Interagency Data Sources matrices in the Data & Information Tools for the IMO

## Indicators for 4W, SOF and SRP

Many types of indicators are used at different stages of an emergency response. Essentially, an indicator is a measure that demonstrates a change in a situation as a result of some activity. An indicator can be direct or indirect/proxy, qualitative or quantitative, global or local, input, output, outcome or impact. Many of these indicator types are used in monitoring and evaluation exercises. Within the strategic planning and response monitoring in emergencies the IMO will mostly deal with output and outcome indicators.

The 4W generally gathers data on output indicators, which can then combine with other data to generate outcome indicators. The SOF and SRP can contain both output (e.g. intervention) and outcome (e.g. indication of the effect of intervention) indicators. Examples of these are given below:

**Output Indicator:** The products, goods and services that an intervention delivers to a target population e.g. *# of latrines constructed* (Data derived from 4W)

**Outcome Indicator:** The likely or achieved short- and medium-term effects of outputs e.g. *% of affected population with access to improved sanitation* (Data derived from 4W and affected population statistics)

The selection of indicators (especially for the SRP/SOF where assessments may need to be carried out to assess response) should be carried out with consideration for the feasibility and cost of data collection: who will measure the indicators, how, when, and are resources available for carrying out additional assessments if needed. A limited amount of accurate data on a few key indicators is better than lots of poor quality data on many, or poorly defined, indicators<sup>2</sup>.

The outcome indicators should be identified at the same time as the output indicators (as they are directly related to each other) and the Cluster Coordinator and IMO should work together to ensure the relevance of the indicators and consult with partners to ensure the collectability of the identified sources of information (4W, assessment etc.).

Within the *Strategic Planning & Response Monitoring section\Strategic Indicators for SOF, SRP & 4W*, the Excel file *Interventions Units Indicators.xlsx* gives examples of what interventions link to what indicators (from basic output in the 4W to general outcome in the SRP linking to HIR and finally Strategic Objective examples). The file should be used as a guide in choosing indicators and associated interventions to monitor.

## Humanitarian Indicator Registry

The Humanitarian Indicators Registry (HIR - [ir.humanitarianresponse.info](http://ir.humanitarianresponse.info)) is an online tool developed by the Global Clusters, including the WASH Cluster, whereby each cluster proposes a list of commonly used indicators corresponding to most humanitarian activities.

These indicators can be adapted to emergency-specific response monitoring situations to help contribute baseline information (by linking assessment results to interventions) for the monitoring of the response.

The links to the HIR are made in Section 5.3 (Interventions Units Indicators.xlsx). In addition, each of the 36 WASH (HIR) indicators is described in detail in the assessment section, with associated questions that are suitable for WASH assessments (see Assessment Tools for IMO/Wash Indicator and Question Bank).

<sup>2</sup> UNOCHA - Short\_indicators\_note\_for\_SRP\_facilitators\_2013\_EN

## Targets (linking assessment analysis with needs, capacity and caseload)

The SOF and SRP use indicators as measurements to gauge how the response is progressing. In addition to the indicators, the Plans will also contain targets which are the desired results for a specific indicator over a specified time (e.g. 6 months). A target is usually quantified in terms of quantity and target group (e.g. 50% of affected children).

The target must express what is considered necessary and realistically feasible by the WASH Cluster partners within the time period and boundaries set within the overall Plan. In most cases, the target will not be the same as the overall estimated need, or the total affected population. By analysing assessments for baseline and needs data (see Assessment Tools for IMO) and identifying needs, partner capacity and caseload (see Needs, Capacity & Caseload Tools for IMO) the Cluster Coordinator and partners can derive the targets for the Cluster. For the SRP, the targets need to be defined at the same spatial resolution e.g. by district or region.

To define targets, some indicators require baseline data. Baseline data may come from existing information sources<sup>3</sup> or may be collected through multi-sectoral or WASH-specific assessments.

If using assessment-derived baseline information it is crucial that it relates to the monitoring indicators (see Assessment Tools for IMO/WASH Indicator and Question Bank for HIR indicators). For example HIR W3-2 *Average number of users per functioning toilet* will give baseline information on the ratio of users to toilets which can inform the need for construction of toilets (to SPHERE standards) which can be subsequently monitored in the 4W (e.g. # of latrines constructed).

Encourage the partners to use a set of agreed emergency-related *core* indicators in their assessments so that the assessments can be better analysed, consolidated and used as the baseline for monitoring (see Assessment Tools for IMO/ WASH Core Assessment Indicators).

**Note** that many assessments will only cover a small spatial area, so the results cannot be taken as representative of the whole emergency, rather an indication of the situation in a specific place. Thus, by encouraging all WASH partners to use some core indicators, the results can be consolidated to give a wider geographical coverage. *Caution is advised when consolidating assessment results, as each assessment will have been completed by a different enumerator with varying level of expertise and thus, each assessment will be of a different quality even if using harmonised indicators. The data used / limitations should be clearly noted on the final product. It is also important to highlight the non-assessed but affected areas to illustrate coverage limitations.*

## Notes on Measurements for Output/Outcome Indicators and Targets

Indicators/targets are normally expressed as a percentage or an absolute value. Using a percentage can sometimes be confusing (as in example 1 below where there is no indication of what 70% relates to) unless the target/needs are clearly defined from the outset. In example 2, cost analysis is easier and a defined target population means that once 1,000 kits have been distributed 100% of target is reached.

### Example 1

Activity	Indicator	Target
Distribution of water kits	% of affected HHs receiving kits	70%

<sup>3</sup> See section on Secondary Data Reviews in the Data & Information Tools for IMO

Example 2

Activity	Indicator	Target
Distribution of water kits	# of HHs receiving kits	1,000

### Choosing overall WASH Strategic Objectives for SOF and SRP

WASH strategic objectives in the SOF define what the WASH Cluster is trying to achieve in the given response. Where an SRP has been developed, the WASH strategic objectives in the SOF should be directly linked to one or more of the SRP objectives.

As an illustrative example, we have an SRP objective: *reduce morbidity and mortality amongst the 500,000 displaced persons to sub-emergency rates.*

This can translate directly into a WASH-specific objective: *reduce faecal-oral/vector-borne diseases amongst the 500,000 displaced persons to sub-emergency rates.*

While this ideal situation is relatively rare, the WASH strategic objective will always seek to describe what the WASH response is trying to achieve, and how this contributes to the overall objectives for the response.

Below are some examples of strategic objectives that have been used in SRPs in 2013/2014.

**Table 1** – Strategic objective examples from recent Strategic Response Plans.

General statement, amend as required. Will potentially be coupled with another Cluster’s Objective
Strategic Objective Example
<p>1) Mortality and morbidity increases and outbreak of communicable diseases are prevented through immediate access to basic water, sanitation, hygiene, nutrition and health service</p> <p>2) Reduction of morbidity and mortality rates to below emergency thresholds and improvement in well-being</p> <p>3) The most vulnerable households, groups and communities are better able to mitigate risk and withstand shocks and stresses</p> <p>4) Progress towards durable solutions is achieved for IDPs and affected communities in targeted localities</p> <p>5) Provide integrated life-saving assistance to people in need as a result of the continuing political and security crisis, particularly IDPs and their host communities</p> <p>6) Rebuild affected communities’ resilience to withstand shocks and address inter-religious and intra-community conflicts</p> <p>7) Families with destroyed or damaged homes attain protective and sustainable shelter solutions</p>