SIAP SIAGA
Australia – Indonesia Partnership
for Disaster Risk Management

BNPB

Australian Government

# GEDSI Mainstreaming in Disaster Management: Toolkit 3

## Building Inclusive Data and Information Management and Feedback Systems

*Prepared as part of the SIAP SIAGA GEDSI Engagement Initiative in Disaster Management in Indonesia*

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## Inside this toolkit, you will find:

Information on how to ensure data and information management systems are GEDSI-sensitive

Step-by-step guidance on collecting and using disaggregated data to mainstream GEDSI into disaster management projects

Information on designing inclusive feedback and complaints mechanisms

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# List of Abbreviations

| | |
|---|---|
| Bappenas | National Development Planning Agency |
| BPBD | Subnational Disaster Management Office |
| BNPB | National Disaster Management Agency |
| CEDAW | Convention on the Elimination of all Forms of Discrimination Against Women |
| CRPD | Convention on the Rights of Persons with Disabilities |
| CSO | Civil Society Organisation |
| DFAT | Australian Department of Foreign Affairs and Trade |
| DFID | UK Department for International Development |
| DRA | Disaster Risk Analysis |
| DRM | Disaster Risk Management |
| DRR | Disaster Risk Reduction |
| GBV | Gender-based Violence |
| GDD | Gender Disaggregated Data |
| GEDSI | Gender Equality, Disability and Social Inclusion |
| GEM | Gender Equality Mainstreaming |
| IASC | Inter-Agency Standing Committee |
| IEC | Information, Education, Communication |
| LGBTQIA | Lesbian, Gay, Bisexual, Transgender, Queer, Intersex, Asexual |
| MSS | Minimum Service Standards (for Disaster Management) |
| MoHA | Ministry of Home Affairs |
| MoSA | Ministry of Social Affairs |
| MoWCP | Ministry of Women’s Empowerment and Child Protection |
| OPD | Organization of Persons with Disabilities |
| WRO | Women’s Rights Organisation |
| UNCRPD | United Nations Convention on the Rights of Persons with Disabilities |

# Part 1: Information Management for Gender Equality, Disability Inclusion and Social Inclusion in Disaster Management

In this section, you will find:

- ✓ An overview of GEDSI-sensitive data and information management
- ✓ How to design Data Management Strategies and Systems

# Overview: Data and Information Management for Gender Equality, Disability and Social Inclusion (GEDSI)

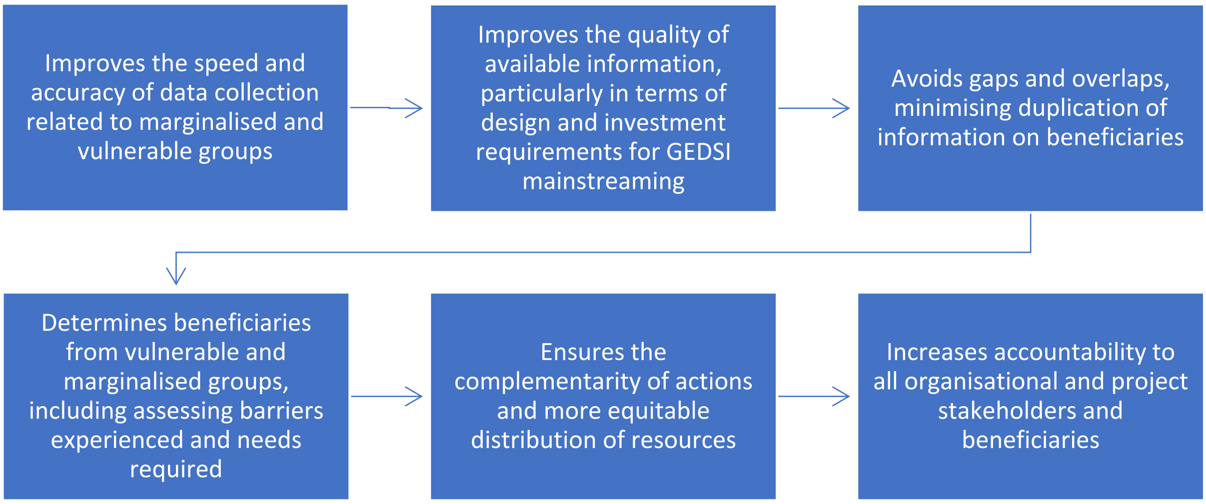
Information management is the way in which organizational information is handled or controlled, including collection, storage, analysis and use to achieve the organization's goals. Information can come from internal and external sources and in any format.

An **information management system** that integrates gender equality, disability, and social inclusion (GEDSI) principles and issues is an important element in effective and inclusive disaster management activities. It requires a set of tools designed to increase access to and positive impact on vulnerable and marginalized groups in disaster management projects and programs.

GEDSI information management:

- ✓ is the collection and management of information related to equality and inclusion of vulnerable and marginal groups, from one or more sources and dissemination of such information to one or more parties,
- ✓ involves actors who have an interest or right to that information, including vulnerable and marginal groups.

The main objective of a **GEDSI-sensitive data and information management system** is to standardize data collection so that information related to vulnerable and marginalized groups can be collected and analyzed holistically and disseminated to stakeholders to optimize access and benefits for vulnerable and marginalized groups as beneficiaries in humanitarian and development programs/projects.



# Principles of Humanitarian Information Management in Disaster Management[1]

| | |
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| **Accessibility** | Humanitarian information and data must be accessible internally within the organization and to other humanitarian actors by adopting an easy-to-use format and by translating information into a common language or local language. Information and data for DRR purposes should be widely available through various online and offline distribution channels, including the media. |
| **Inclusivity** | Management and exchange of information should be based on collaboration, partnership and sharing with a high degree of participation and ownership by stakeholders, including national and subnational governments and affected communities and beneficiaries especially vulnerable and marginalized groups, whose information needs must be equally considered. |
| **Interoperability** | All data and information that can be shared must be available in a format that can be easily retrieved, shared, and used by humanitarian partner organizations and organizations in the field of disaster management. |
| **Accountability** | Information providers must be accountable to their partners and stakeholders, especially beneficiaries and communities including vulnerable and marginalized groups, for the content that the organization/program/project publishes and disseminates. While collecting information, the target community should understand the purpose of collecting information and have given their consent to the use of that information. |
| **Verified** | Information must be accurate, consistent, and based on sound methodologies, validated by external sources and analyzed within an appropriate contextual framework. |
| **Relevance** | Information must be practical, flexible, responsive, and driven by operational needs to support decision making throughout the crisis and other phases of disaster management. Irrelevant data should not be collected. |
| **Impartiality** | Information managers should consult a variety of sources when collecting and analyzing data to provide a balanced perspective for addressing problems and recommending solutions. |
| **Humanity** | Information must not be used to distort, mislead, or cause harm or risk to affect people, especially vulnerable and marginalized groups, and must respect the dignity of victims/survivors. |
| **Punctuality** | Humanitarian information must be collected, analyzed, and disseminated efficiently and must be retained for the specified/needed period. |

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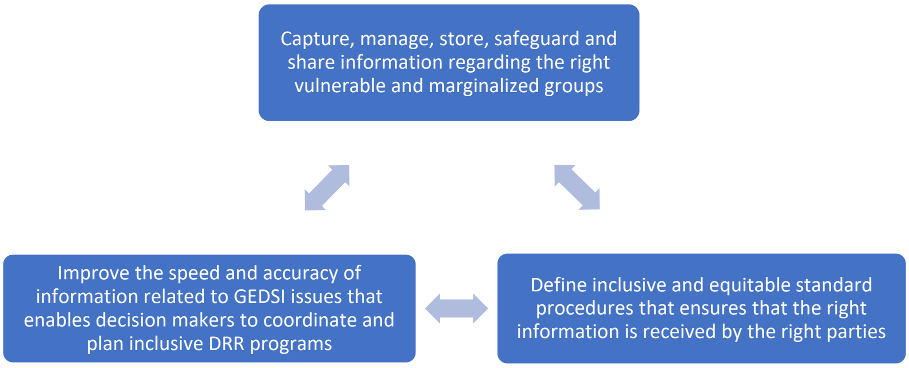
[1] Adoption of OCHA Information Management Guidelines Ver. 2.1 Draft 0.1, “*2.0 Information Management and the Humanitarian Context.*”

| | |
|---|---|
| **Continuity** | Information and data should be preserved, cataloged, and archived, so that it can be retrieved for future use, such as for preparedness, analysis, learning and evaluation. The use of *Open-Source Software* should be promoted to further improve access to information by all stakeholders in a sustainable manner. |
| **Reliability** | Users should be able to evaluate the reliability and credibility of data and information by knowing the source and method of collection. Collection methods must comply with applicable standards to support and strengthen credibility. Reliability is a prerequisite to ensure validity and verification. |
| **Reciprocal** | The exchange of information should be a mutually beneficial two-way process between the affected people and the humanitarian community, including the affected government. |
| **Confidentiality** | The processing of any personal data shall not be carried out without prior explicit description of its purpose and shall only be carried out for that purpose, subject to the prior consent of the individual concerned. Data that is private and confidential from the community should not be included in the data that is disseminated. This data includes data and information that is assumed to be sensitive. |
| **Protection** | Adequate protection aspects must be implemented to protect personal data from loss, unauthorized processing, and other misuse. If an individual's sensitive information is disclosed to the public, it is only natural that the disseminator of that information will be held accountable when there is a risk that affects the security or integrity of the individual. Personal information and data such as women survivors of gender-based violence, people with non-binary gender identities, people with HIV, survivors of human trafficking, people with minority religions and beliefs, and other minority groups are not to be disseminated. |

# Data and Information Management Strategy and Systems

An **information management strategy** that integrates an effective GEDSI enables organizations and stakeholders to:

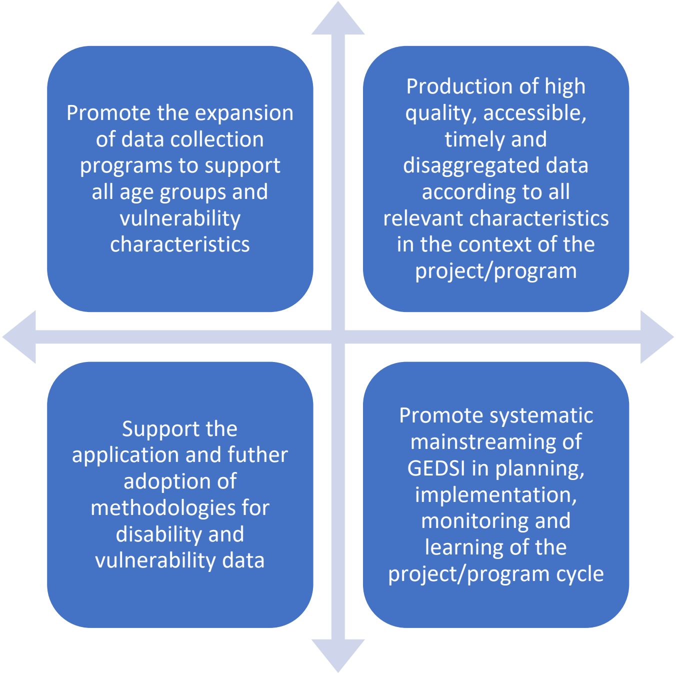


Capture, manage, store, safeguard and share information regarding the right vulnerable and marginalized groups

Improve the speed and accuracy of information related to GEDSI issues that enables decision makers to coordinate and plan inclusive DRR programs

Define inclusive and equitable standard procedures that ensures that the right information is received by the right parties

The **data collection strategy** aims to strengthen and extend data collection to all population groups to ensure that no one is left behind.



Promote the expansion of data collection programs to support all age groups and vulnerability characteristics

Production of high quality, accessible, timely and disaggregated data according to all relevant characteristics in the context of the project/program

Support the application and futher adoption of methodologies for disability and vulnerability data

Promote systematic mainstreaming of GEDSI in planning, implementation, monitoring and learning of the project/program cycle

Steps to set up an **information management system**:

| | |
|---|---|
| **Planning and Coordination** | ✓ Determine what data and information is needed and ensure an inclusive data collection approach. Ensure that the available information management system (including devices, instruments, formats, etc.) integrates GEDSI principles and approaches. |

- *What data is needed?*
- *Who can access the data, especially sensitive data?*
- *With whom and/or what institutions should the organization establish cooperation, networking, and coordination on data management?*
- *How will data be accessed, especially sensitive data?*
- *Did consultation the marginalized and vulnerable groups take place? How?*
- *What formats will be used to collect data, considering accessibility for persons with disabilities?*

<table>
<tr><td colspan="2">• <i>Will a third party be required to carry out information management, for all or part of the process?</i><br>• <i>What financial resources are needed for to implement GEDSI-sensitive information management?</i></td></tr>
<tr><td><b>Processes (including collecting, compiling, storing, disposing, and reusing data)</b></td><td>✓ Collect relevant and accurate information about vulnerable/marginalized groups and their situation. Keep the data focused on the core objective.<br>✓ Check secondary data for your region or similar projects elsewhere, so you know what kind of data you should collect.<br>✓ Be sure to collect disaggregated data regarding beneficiaries. Disaggregated data is key to mainstreaming GEDSI, for example disaggregated data on gender, age, disability, and others, based on minimum standards for equality and inclusion and in accordance with the vision-mission and program.<br>✓ Save and clean the data to be easily retrieved for use.</td></tr>
<tr><td colspan="2">• <i>Who will collect the data?</i><br>• <i>Is data on the issue available from other institutions/organizations, and is it accessible?</i><br>• <i>What methods will be used to collect data, and in what various format(s)?</i><br>• <i>When is the right time to collect the data required?</i><br>• <i>Who will maintain (catalogue, clean, store) the data?</i><br>• <i>What system will be used to safely store and dispose of data? What criteria will be used to determine how data is stored, based on its content?</i><br>• <i>What data should be discarded, and what criteria will be used to determine if data can be discarded?</i><br>• <i>Is training needed for parties who have the right to access data to keep data secure?</i><br>• <i>What data can be reused, and what is the criteria to determine if/how it can be reused?</i></td></tr>
<tr><td><b>Analysis</b></td><td>✓ <i>Data analysis is the process of understanding what is being conveyed by the information obtained from the data. Data analysis allows us to understand data, extract meaning from it, and then draw appropriate conclusions.</i><br>✓ <i>Data analysis requires time, tools, and methods so that the information you need to make programming decisions, to support the monitoring process and measure the impact of your activities is available in a timely manner.</i><br>✓ <i>Analysing data regarding vulnerable and marginalized groups allows organizations to:</i><br>• <i>Understand their constraints and experiences</i><br>• <i>Make more informed decisions about your interventions</i><br>• <i>Improve the effectiveness of the organization's overall program/project and service delivery to vulnerable and marginalized groups and communities</i><br>• <i>Plan future actions</i></td></tr>
<tr><td colspan="2">• <i>Who will carry out the analysis of the data that has been collected?</i><br>• <i>What data will be analysed?</i><br>• <i>How or what methods will be used to analyse data?</i><br>• <i>When will data by analysed?</i></td></tr>
<tr><td><b>Dissemination</b></td><td>✓ Highlight gaps in programming and develop collaborative strategies to collect data that helps to better understand these gaps.<br>✓ Strengthen inter-agency coordination. Sharing data can lead to more effective approaches, while coming together to discuss aggregated data (cumulative data that has been shared) can also improve communication.<br>✓ Advocacy. Well interpreted aggregate data can inform advocacy efforts and be useful in fundraising for programs and organization.<br>✓ Trend analysis. Once data is shared and compiled, trend analysis can be performed. Trend analysis enables organizations to see beneficiary population patterns, vulnerabilities, and other factors that allow organizations to target programs, raise funds, and enhance their advocacy efforts. Sharing data allows analysis of trends across geographic locations, time periods, different populations, and different organizations.<br>✓ More efficient use of staff time. GEDSI-mainstreamed information management also takes staff time into account by enabling fast, efficient, and easy interpretation of data. Sharing data that uses the same terminology and is presented in the same way enables efficient communication and better programming in the field.</td></tr>
<tr><td colspan="2">• <i>Who can disseminate data, including data which has already been analyzed?</i><br>• <i>Who (internal and external to the organization) can receive data, and what data can they receive?</i></td></tr>
</table>

<table>
<tr><td colspan="2">• <em>What channels for dissemination are appropriate considering the diverse range of recipients? What format is appropriate for multiple recipients of information, particularly to ensure that information is understandable for vulnerable/marginalized groups)</em><br>• <em>When should information be disseminated? Is there a specific frequency for dissemination based on the recipient?</em></td></tr>
<tr><td><strong>Monitoring and Evaluation</strong></td><td>✓ Identify gaps and issues in the implementation of data and information management.<br>✓ Provide inputs on improvements and action to taken so that the data and information management system is effective and efficient.<br>✓ Provide feedback for decision makers within the organization and other related stakeholder in the implementation of data and information management systems</td></tr>
<tr><td colspan="2">• <em>What methodology will be used in monitoring and evaluation, and in what format(s)?</em><br>• <em>Is there any data that is needed but has not been obtained or is it not planned to be collected?</em><br>• <em>Is the information management system implemented appropriate and secure?</em><br>• <em>When using third parties, do they provide good, accurate performance, and are they able to maintain the confidentiality of the data?</em><br>• <em>Are there any complaints or feedback on the data collected, analyzed, published, and reused, including on data security?</em><br>• <em>Is there any input to improvement the data and information management system?</em></td></tr>
</table>

## Data and Information Security

| | |
|---|---|
| **Laws and Regulations on Data Security** | Law No. 19/2016 amending Law No. 11/2008 on Information and Electronic Transactions |
| | Government Regulation No. 82/2012 on the Implementation of Electronic Systems and Transactions |
| | Government Regulation No. 46/2014 on Health Information Systems |
| | Regulation of the Minister of Communication and Information No. 20/2016 on the Protection of Personal Data in Electronic Systems |

In many situations, organizations collect, analyze, store, and dispose of sensitive data. The sensitivity of data is highly dependent on the socio-cultural and political conditions of the area. However, some data from the following vulnerable and marginalized groups must be managed properly so that data leakage does not occur.

**Data that may be classified as sensitive includes:**

- Medical records
- Minutes of meetings (internal or with beneficiaries)
- Personal data and information: identity cards

- PLWHA (People with HIV/AIDS)
- People with non-binary gender identity and sexual orientation
- *Gender-based violence* survivors
- Data on cultural and/or religious minority groups
- Children's data, including their photos/videos taken without the consent of their parents/guardians

# Part 2: Disaggregated Data to Mainstream GEDSI in Information Management in the Disaster Management Sector

In this section, you will find:

- ✓ Information on the collection and use of disaggregated and aggregate data
- ✓ Disaggregated data needs in disaster management
- ✓ Inclusive data collection processes

## Disaggregated Data

Data is information collected in quantitative or qualitative form, collected directly from the main source (primary data[2]) and data that has been processed and obtained from other sources (secondary data[3]). Both primary and secondary data can be divided into aggregate and disaggregated[4] data.

**Aggregate Data**

- **Aggregate data** has common variables, with aggregation often hiding the differences that exist between population groups

**Disaggregated Data**

- **Disaggregated data** is data collected according to specific variables, such as traits or characteristics depending on the type of analysis to be be carried out. Disaggregation separates population information by breaking it down into smaller units according to the needs of the analysis.

Disaggregated data is one of the important elements in mainstreaming GEDSI into disaster management:

- It is the basis of analysis for assessing differences in the situations of people with different backgrounds (disability, age, and other marginalized situations) and how their conditions have changed or not.
- It helps to raise awareness and provide impetus for strategy and policy change
- It is required for research to support development and testing explanations and theories for better understanding the relationship between groups and individuals in society.
- It is used as a basis for developing policies to promote equality and inclusion.
- It is needed to monitor and evaluate effectiveness and efficiency of policy development.

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[2] Primary data is the type of data collected directly from the main source such as through interviews, surveys, experiments, and so on. Primary data is usually always specific because it is tailored to the needs of the researcher.

[3] Secondary data is data obtained or collected by people conducting research from existing sources. Secondary data is data that has been processed first and only obtained by researchers from other sources as additional information. Some secondary data sources are books, journals, government publications, as well as websites or other supporting sources.

[4] Guidelines for Compiling Disaggregated Data from the Ministry of Finance of the Republic of Indonesia. https://setjen.kemenkeu.go.id/api/Medias/93d10ea8-ce37-485e-b633-47d1a003b273

# Disaggregated Data Needs in Disaster Management

## Disaggregated Data Needs Across the Disaster Management Cycle

### 1. Preparedness and Contingency Planning

Primary data required for contingency planning:

| | |
|---|---|
| Population Data | •Based on gender, age, disability, head of household, and can be used to anticipate the number and demographic profile of the population which may be affected by disasters in particular geographical areas |
| 3W | •Data on 'who, what, and where' as a useful starting point to anticipate capacity of disaster management actors on who does what, what is done, and where it will happen |

Secondary data which is useful for contingency planning:

| | |
|---|---|
| National Scale Population Data | •Village Potential Survey (PODES),<br>•Population Census (SP), National<br>•Socio-Economic Survey (SUSENAS), the<br>•National Labor Force Survey (SAKERNAS),<br>•Indonesian Intercensus Population Survey<br>•(SUPAS), and Demographics and Health<br>•Survey (IDHS/IDHS) |

Population data does not come solely from the Statistics Bureau, it also comes from other government agencies and civil society organizations that focus on a particular marginalised or vulnerable groups. This information supports the triangulation of data to clarify the real number of the specific targeted groups. For example, data from the Ministry of Social Affairs on the number of wheelchairs distributed will provide insights into the number of people with physical disabilities in the respective community.

By knowing the size of the vulnerable and marginalized population in disaster-prone locations, organizations can undertake preparedness measures such as prioritizing needs and facilitating the successful evacuation of vulnerable and at-risk groups. Population data can also be used to support decision making in disaster risk reduction policies.

**The minimum requirements for population data for DRR:**

- Population characteristics and composition
- Vulnerable and marginal groups

## 2. Emergency Response

In the early stages of a humanitarian crisis there is often a lack of timely and accurate data. Obtaining appropriate data and information and early incorporation into humanitarian response planning needs has been identified as a priority in several recent studies on humanitarian coordination.

**Priority Information Needs for Vulnerable and Marginalised Groups**

- Estimated number of affected individuals (by sex, age, disability)
- Number and loaction of displaced population
- Critical urgent needs including the specific needs of vulnerable and marginalised groups

**Data Which Can Be Used for Rapid Assessment in a Disaster**

- Data from available contingency plans
- Local department or bureau of statistics data
- Data from sectoral offices, such as Social Affairs, Health, Women's Empowerment and Child Protection
- Data from the Village Information System
- Data from CSOs, disability and women's organisations, etc, working in the affected area

## 3. Post Disaster

After a disaster, the situation of a community may change greatly, and needs to be reflected in post-disaster data that may be different to the existing demographic and socioeconomic data. Thus, data is collected through the **Post-Disaster Needs Assessment**[5] and is used for short-term and long-term recovery and reconstruction planning, including provision of assistance, recovery, risk reduction and on-going development needs.

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[5] BNPB Perka No. 15/2011 on Guidelines for Post-Disaster Needs Assessment

**Assess the consequences** of a disaster: damage, loss, impaired access, impaired function, and increased risk

**Assess the impacts** of disasters: economic and fiscal, socio-cultural, political, human development, and environmental quality

**Prepare assessments based on 5 sectors:**

Housing and Settlement

Infrastructure

Economy

Social Sector

Multi-sector Issues

## Collecting Population and Community Data[6]

| | |
|---|---|
| Data Quality | Accuracy: Is the information correct in every detail?<br>Completeness : How comprehensive is the information?<br>Reliability: Does the information conflict with other reliable sources of information?<br>Relevance: Do you really need this information?<br>Timeliness: How up-to-date is the information? Can the information be used for real-time reporting?<br>Unbiased: Does data provided represent the real number of marginalised and vulnerable groups, particulalry persons with disabilities? |
| Inclusive Data Principles | • All population must be included/counted<br>• All data must be accurate<br>• Data must be taken from all available sources<br>• Appriate data on different types of disabilities<br>• Ensure data transparency<br>• Increase capacity to collect, analyse, and use disaggregated data |
| Ensure Rights-based Data Collection | • Participation<br>• Disaggregation<br>• Self-identification<br>• Pricacy and condifentiality |

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[6] Adopted from the Global Partnership for Sustainable Development Data. *Inclusive Data Charter vision and principles*. https://www.data4sdgs.org/sites/default/files/2018-08/IDC_onepager_Final.pdf; A Human Rights Based Approach to Data 'Leaving No One Behind 2030 Agenda for Sustainable Development", UNHR https://www.ohchr.org/Documents/Issues/HRIndicators/GuidanceNoteonApproachtoData.pdf

**Determine the Dimensions of Disaggregated Data Required**

- Category 1: The dimensions mentioned in the goals or objectives of the project or sector, are the minimum disaggregated data sets that must be available in an organization. The minimum disaggregation dimensions are gender, age, disability/non-disability
- Category 2: Dimensions for which data is currently available (including dimensions other than the minimum set)
- Category 3: Dimensions that may be introduced by international custodial institutions in the future (including dimensions other than the minimum set)
- (Cateorgy 2 and 3 also require pregancy status, job status, marital status, ethnic/reglisious/lingusitic group affiliation, geogprahical location, household income)

**Data Collection Tools for Specific Groups**

- **Model Disability Survey (MDS) -** a survey tool that provides complete information on the level of disability in a population. It is stand-alone data.
- **Washington Group Questions (WGQ) -** a series of questions targeted to obtain information about the functions and barriers of a person with a disability.
- **Gender Analysis Framework -** a tool to analyse gender relations and dynamics that is used to develop strategies related to increasing gender equality in a project/program.
- **Vulnerability and Capacity Assessment (VCA) -** an investigation that uses a variety of participatory tools (e.g. *Participatory Risk Assessment*) to understand the level of exposure of people to hazards at the grassroots level.

The Washington Group Questions is a relevant tool to collect disaggregated data on people with disabilities. It provides an overview of the unseen disabilities and it can identify hindrances faced by people in order to be classified into a certain type of disability in order to identify their specific needs.

## Checklist to Ensure Inclusive Data Collection

- ✓ *Do no harm and ensure the protection and safeguarding of affected populations.*
- ✓ Provide complete and adequate information and clarification to prospective respondents before starting the interview.
- ✓ Use easy-to-understand media and choice of diction.
- ✓ Avoid technical language/jargon.
- ✓ Respect the diversity of information and the response style of the respondent.
- ✓ Respect the practice of norms and traditions on site.
- ✓ Before going to the field, get background information about the types of disabilities that exist in the community, the number of people with disabilities, where they live, etc. (for information on people with disabilities).
- ✓ Involve representatives from vulnerable groups when interacting with marginalized groups, especially people with disabilities, the elderly, and children.
- ✓ Collaborate with organisations working with people with disabilities, particularly mental and intellectual disabilities, starting at the assessment phase. It is common for these groups to be left out of data collection processes as families and caregivers “protect” and hide individuals, especially children.
- ✓ The involvement of target communities is very important, requiring the design and implementation of trainings at the community level on how to collect disaggregated data.
- ✓ Facilitate the process of full and meaningful participation of the group.
- ✓ Find a way that makes the process easier, for example making a map or matrix (as a tool for the mapping/data collection process) that supports the participation of vulnerable and marginalized groups with various educational backgrounds.
- ✓ Triangulate your data. Ensure the data collected will represent the real number of vulnerable and marginalised individuals, particularly people with disabilities.

- ✓ The National Development Planning Agency (Bappenas) is piloting the Satu Data Program at the village level which covers social and economic data. This data supports vulnerability and capacity assessments for the disaster risk management sector.

# Part 3: Inclusive Feedback Mechanisms as part of in Information Management Systems

In this section, you will find:

- ✓ Definitions of feedback and complaints mechanisms
- ✓ Step by step guidance to develop an inclusive feedback mechanism for your organisation or program

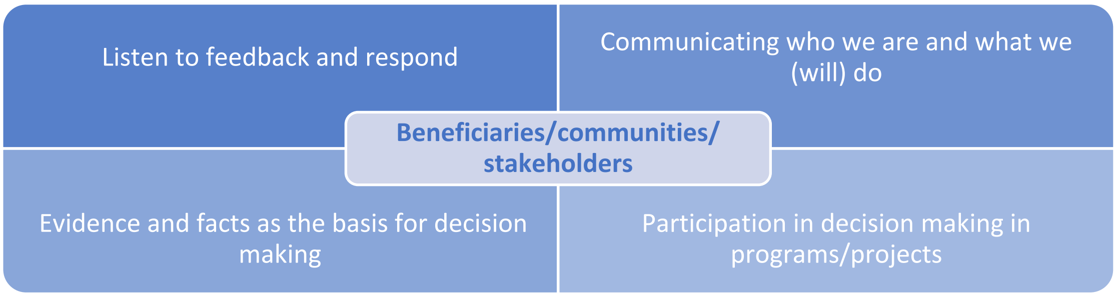
## Accountability to Vulnerable and Marginalised Groups as Beneficiaries and Communities

Accountability to beneficiaries and communities, especially vulnerable and marginalised groups, is about how we work, ensuring that targeted beneficiaries are actively involved in our decision-making and actions because they are the ones who are most affected by policies and project/program implementation.

The Humanitarian Accountability Partnership (HAP) defines accountability as the “responsible use of” power” and recognises that there is often a power relation inherent in the balance between aid organizations and people affected by disaster/crisis.

For organisations and programs, accountability means taking responsibility for actively listening to the needs, concerns, and views of the people we support especially marginalised and vulnerable groups, our partners and the communities they serve, our donors and supporters.

Accountability to vulnerable and marginalized groups as beneficiaries and communities consists of the following commitments:



When an organization has a mechanism of accountability to the beneficiaries it means:

- Beneficiaries have a major influence on program decisions, ensuring that the program is inclusive and non-discriminatory and allows the voice of vulnerable/marginalised groups to be considered.
- Beneficiaries are aware of their rights; and the organisation will be transparent about who it is, how it works, and what it can and cannot do.
- Beneficiaries can assess what and how the organisation is doing, and then provide feedback, and are informed about *how* the organisation responds to their feedback.

## Feedback Mechanisms

A feedback mechanism is a formal system established and used to enable communities to provide information about their experiences as beneficiaries. This kind of information can then be used for different purposes, including carrying out corrective actions for the organisation's activities.

**Feedback versus Complaints**.

**Feedback** provides general information about how people experience services or deal with the staff or systems of an organization.

**Complaints** allow people to make complaints, regarding the quality, quantity, or form of services from an organisation, but also regarding more sensitive issues, including things that are inappropriate, unethical, or illegal activities. Feedback and complaints must be responded to, although complaints require a more formal response than feedback.

Distinguish between sensitive and insensitive complaints. **Insensitive complaints** are usually program related, and sometimes about who is being targeted and why, or about the quality of goods and services. **Sensitive complaints** relate to matters related to exploitation, harassment, or violence, including sexual harassment and violence, discrimination, and corruption. Feedback, non-sensitive complaints, and sensitive complaints may enter the same communication channel, but they **must be processed differently**, and should be handled sensitively and confidentially, especially for sensitive complaints about staff or volunteer behavior.

### Why are Feedback Mechanisms Important?

- Promotes community empowerment and participation in the decision-making process of an organisation that will affect the community
- Builds and maintain good relations, trust, transparency and dialogue between organisations and communities
- Demonstrates that the organisation recognises, promotes, and protects the rights of beneficiaries, including the right to express opinions and complaints
- Acts as an 'early warning system' to prevent, mitigate and resolve various tensions or problems before they worsen which require more resources to respond to them
- Supports the program monitoring process, especially to identify weaknesses and improve program activities and actions of organizational staff

### What does a successful Feedback Mechanism look like?

**Principled**

- Be sufficiently independent
- Publicized and provide adequate assistance to those who wish to access it
- Provide clear and known procedures
- Provide transparent processes and outcomes in the interests of the general public

**Appropriate to Context**

- Who are the program stakeholders
- The level of community involvement in civil society
- Culture, including level of formalization and preference for verbal or written communication
- Historical and socio-political context
- Geographical distribution of the community
- Program scale (geographic distribution and number of communities and beneficiaries)
- Availability and accessibility of communication systems: telephone, internet, etc.
- Literacy and education level

# Planning and Implementing Feedback Mechanisms

Planning

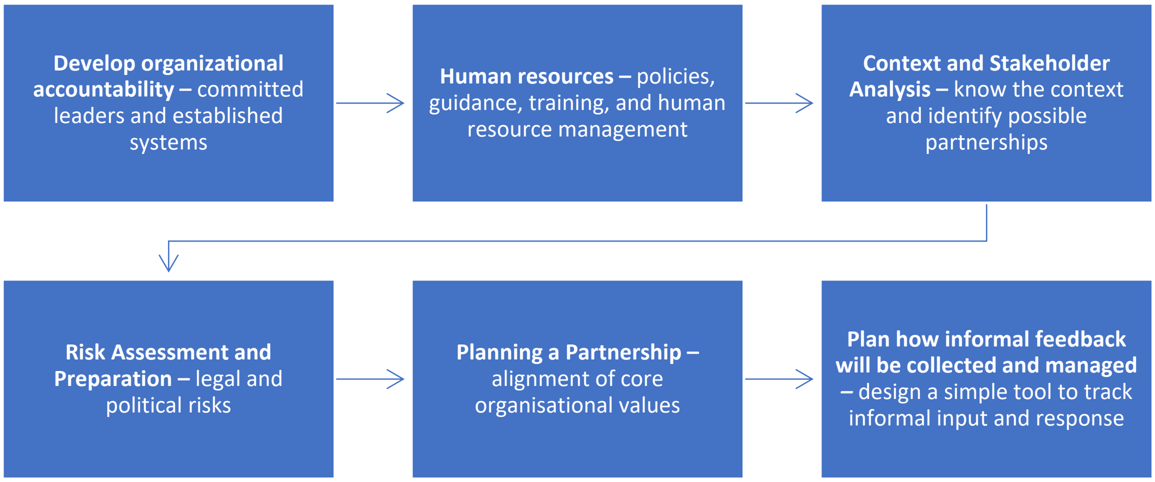
Design

Data Collection and Management

Closing the Loop

Monitoring and Evaluation

## 1. Planning



**Develop organizational accountability –** committed leaders and established systems

**Human resources –** policies, guidance, training, and human resource management

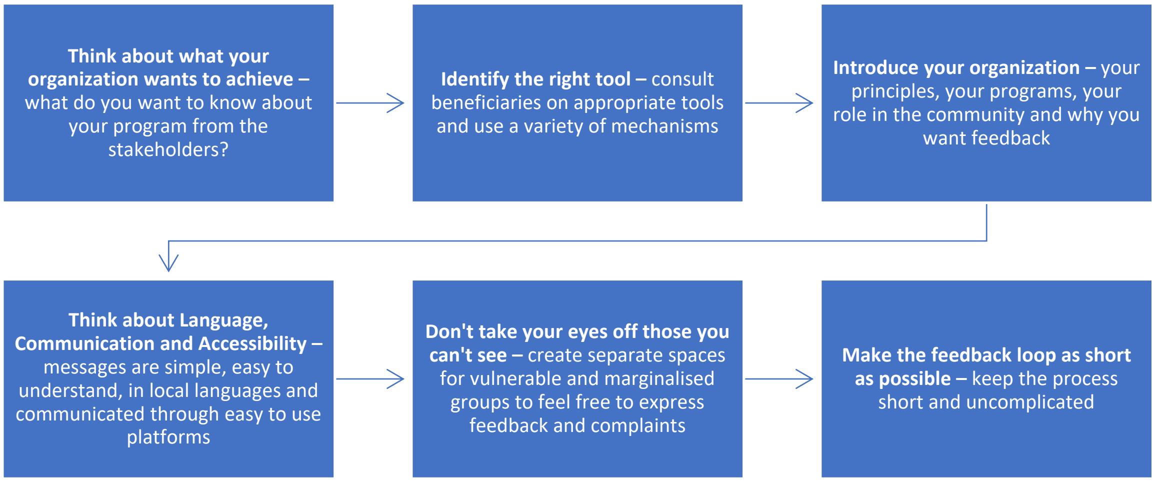
**Context and Stakeholder Analysis –** know the context and identify possible partnerships

**Risk Assessment and Preparation –** legal and political risks

**Planning a Partnership –** alignment of core organisational values

**Plan how informal feedback will be collected and managed –** design a simple tool to track informal input and response

## 2. Design



**Think about what your organization wants to achieve –** what do you want to know about your program from the stakeholders?

**Identify the right tool –** consult beneficiaries on appropriate tools and use a variety of mechanisms

**Introduce your organization –** your principles, your programs, your role in the community and why you want feedback

**Think about Language, Communication and Accessibility –** messages are simple, easy to understand, in local languages and communicated through easy to use platforms

**Don't take your eyes off those you can't see –** create separate spaces for vulnerable and marginalised groups to feel free to express feedback and complaints

**Make the feedback loop as short as possible –** keep the process short and uncomplicated

## 3. Data Collection and Management[7]

Collect Feedback

- **Active**: Interviews, opinion/satisfaction surveys, focus groups, community meetings, community visits/consultations, radio -live call-in shows, social media, SMS surveys, and feedback questions included in data collection activities
- **Reactive**: Suggestion/complaint box, hotline, social media, help desk, ombudsman

Manage the Information

- Connecting to the right person or institution.
- Ensure there is a deadline for responding.
- Ensure anonymity and/or code if necessary.
- Ensure timeliness in follow-up and necessary referrals. Identify experts on gender-based violence, child protection mechanisms and related support services at local or national level.
- Clearly state your organisation's processes and procedures with any planned agency as a point of reference.

## 4. Closing the Loop

Provide updates on responses to feedback and complaints in a transparent and timely manner, including those that are sensitive and complex and require longer to resolve

Ensure the feedback process is complete – ask beneficiaries whether you have answered their concerns

## 5. Monitoring and Evaluation

The feedback mechanism should be assessed based on:

| Effectiveness | Efficiency | Sustainability |
|---|---|---|
| • Did the feedback mechanism contribute to better and more accessible program outcomes? | • What were the costs of implementing the feedback mechanism (including non-monetary costs, such as time input from beneficiaries) and how did the feedback mechanism compare with the benefits? | • How long was the feedback mechanisms been used? Can the feedback mechanism be institutionalised in the community? |

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[7] Media and Channels for Feedback and Complaints – please see Annex 1

## TIPS

- ✓ Be sure to collect and analyze disaggregated data systematically.
- ✓ Recruit and train staff who will later manage this mechanism.
- ✓ Make feedback and complaints mechanisms part of the design from the start. If the mechanism is not implemented immediately, devise ways to obtain and respond to feedback and complaints that are submitted informally.
- ✓ Budget for all the resources you need, including technical, physical, time, training, and support resources.
- ✓ Anticipate receiving complaints, including sensitive complaints, through any channel, about anyone.
- ✓ Be prepared to manage sensitive and confidential complaints and be transparent.
- ✓ Create more than one mechanism for receiving feedback and complaints. Each mechanism must be adapted to the needs and capacities of the target group.
- ✓ Be sure to have both active and reactive mechanisms in place, and at least some that provide space for people to raise issues and make them comfortable.
- ✓ Be aware of informal feedback.

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# Annex 1: Media and Channels for Feedback and Complaints

| **Approach 1**<br>Feedback through direct delivery (formal and informal) | **Approach 2**<br>Feedback via technology-based channels: | **Approach 3**<br>Mechanisms designed with beneficiary participation, then feedback is requested via: | **Approach 4**<br>Feedback is requested based on predefined indicators via: |
|---|---|---|---|
| ▪ Telephone/voice calls (hotline)<br>▪ Direct verbal delivery to project staff/cadres in the area/community leaders<br>▪ *Help desk*<br>▪ Ombudsman | ▪ Phone/voice call<br>▪ SMS Message<br>▪ Whatsapp messages<br>▪ Suggestion/complaint box<br>▪ Social media<br>▪ Radio (live call-in show) | ▪ Focus group discussions (separately between community groups/ interest)<br>▪ Community meeting (separate between groups)<br>▪ Suggestion/complaint box | ▪ Focus group discussions (separately between community groups/interest)<br>▪ Questionnaire<br>▪ Monitoring (questionnaire or verbal)<br>▪ Community meeting (separate between groups)<br>▪ Suggestion/complaint box |

Adapted from: *Using beneficiary feedback to improve development programmes: findings from a multi-country pilot*, July 2016: http://feedbackmechanisms.org/public/files/BFM-key-findings-summary.pdf

Ensure that the community and beneficiaries are allowed to provide feedback anonymously.

Challenges in the choice of channels used include:

- Different literacy levels
- Accessibility to the provided channels/media
- Trust in parties in the feedback mechanism
- Lack of sensitivity to issues and impacts that individuals receive from programs/projects