



WATER, SANITATION, AND HYGIENE (WASH) CLUSTER COORDINATION HANDBOOK

A practical guide
for all those involved in the
Water, Sanitation, and Hygiene Cluster

January 2009
FOR FIELD REVIEW

Published by the Global WASH Cluster.
Copyright © Global WASH Cluster 2009
Global WASH Cluster, UNICEF New York,
3 UN Plaza, New York, NY 10017, USA
washcluster@unicef.org
www.humanitarianreform.org/WASH

The Global WASH Cluster, led by UNICEF was established as part of the international humanitarian reform programme, and provides an open, formal platform for all emergency WASH actors to work together. This Handbook has been produced under the WASH Cluster Coordination project to support the effective coordination of a WASH Cluster response in emergency settings.

First trial edition 2009

All rights reserved. This material is copyright but may be reproduced by any method without charge, for educational purposes but not for resale. Formal permission is not required, however, the Global WASH Cluster should be informed of any such reproduction.

Produced by RedR UK on behalf of the Global WASH Cluster, with support from members of the WASH Cluster Coordination Project steering group.



250a Kennington Lane, London SE11 5RD, UK
Tel: + 44 (0) 20 7840 6000 Fax: +44 (0) 20 7582 8669
Email: info@redr.org.uk Web: www.redr.org.uk

Written by Gill Price, Inter-Face Development (www.Inter-FaceDevelopment.org).

CD developed by Fahamu, Oxford (www.fahamu.org)

Front cover photograph sourced from the WASH Visual Aids Library,
www.humanitarianreform.org.

WASH Cluster Coordination Project Steering group members:



Acknowledgements

Preparation of the WASH Cluster Coordination Handbook involved the collaborative effort of a wide range of WASH sector practitioners.

Particular acknowledgement is given to Roberto Saltori (UNICEF), Souleymane Sow (ACF), Brett Maynard, and Manish Mehta, and to John Adams, Neil Bauman, Douglas Booth, Louise Boughen, Martin Ede, Suzanne Ferron, Aida Moughawech, Kelly Naylor, Andrea Oess, Prasad Sevekari, Karen Walker, and Peter Wallis for their valuable contributions.

Also special thanks to Toby Gould (RedR UK) and Linda Richardson (InTuition) for support in drafting the content and ensuring synergy with the WCC training materials and, to James Shepherd-Barron for editing of the overall content.

Table of Contents

Guidelines for use of this Handbook	6
Feedback form	8
Acronyms and abbreviations	9
Cluster coordination Aide Memoire	11
1 Organisation, role, and function of the WASH Cluster at country level	12
1.1 Getting started and the WASH Cluster Coordinator role	13
1.2 WASH Cluster structure and functions	23
1.3 UNICEF and the role of the Cluster Lead Agency	35
1.4 Key Cluster actors and building relationships with them	43
1.5 Coordination with other Clusters and groups	53
2 Managing cluster coordination	60
2.1 Coordination essentials and common challenges	61
2.2 Managing and facilitating cluster meetings	65
2.3 Managing contacts and communication	74
2.4 Reporting	78
2.5 Negotiation, consensus building, and conflict resolution	84
3 Managing cluster information	92
3.1 Managing information in emergencies: an overview	93
3.2 WASH Cluster Information Management systems and tools	104
3.3 WASH Cluster and UNOCHA IM responsibilities	116
4 Assessing needs and on-going monitoring	122
4.1 Assessment of the emergency situation	123
4.2 On-going monitoring and assessment	138
5 Development of cluster plans	146
5.1 Response-planning process	147
5.2 Steps in response planning	155
5.3 Early recovery, contingency planning, and emergency preparedness	167
6 Mobilising resources	173

6.1	Collaborative funding appeals	174
6.2	Mobilising and building human resource capacity	185
6.3	Mobilising and managing materials and equipment	192
7	Guiding principles and standards	198
7.1	Establishing agreed guiding principles and standards	199
7.2	Integration of Hygiene Promotion in WASH programming	208
7.3	Promoting accountability to affected populations	215
7.4	Reviewing WASH Cluster performance and capturing lessons learned	219
7.5	Using advocacy to promote the interests of the WASH Cluster	223
8	Humanitarian Reform and the Cluster Approach	230
8.1	Humanitarian Reform process	231
8.2	Understanding the Cluster Approach	236
8.3	Global Cluster Leads and the role of the Global WASH Cluster	246
	Glossary of terms	251
	Annexes	253
A:	30 day timeline - Bangladesh	254
B:	Detailed WASH Cluster organogram - Bangladesh	257
C:	Inter-cluster coordination matrices	258
D:	Inter-cluster Monitoring Matrix	267
E:	Flash appeal application	272
F:	CERF appeal application	273

Guidelines for use of this Handbook

This is the first trial edition of the Water, Sanitation, and Hygiene (WASH) Cluster Coordination Handbook to be field tested, and the WASH Cluster welcomes your feedback. Please complete the Feedback Form below or direct your comments and suggestions to Toby Gould at RedR UK (washcluster@redr.org).

For ease of use, the printed Handbook is also available as a CD-ROM, with links to embedded resource documents (including guiding publications, WASH tools and templates, and samples of documents previously used in the field). The CD-ROM launches automatically on most computers, and uses simple navigation from the Contents page to individual chapters and sections.

Check for regular information updates and new tools and resources on the Global WASH Cluster web site www.humanitarianreform.org.

Purpose and intended users

The WASH Cluster Coordination Handbook aims to assist in achieving effective coordination among WASH Cluster actors and contribute to the overall Global WASH Cluster goal of improving the predictability, timeliness, and effectiveness of a comprehensive WASH response to humanitarian crises.

Developed primarily to support the role of the WASH Cluster Coordinator (WCC), the content builds on information provided during the WASH Cluster Coordinator training. However, it will also be useful for the WASH Cluster Lead Agency and any other organizations, institutions, or individuals involved in the WASH Cluster as partners nationally or sub-nationally.

Structure and contents

The Handbook is loosely structured around the Terms of Reference for the WASH Cluster Coordinator, with emphasis on addressing coordination requirements and achieving collaborative aspects of the role. Reference is made throughout the Handbook to guiding IASC principles, WASH sector good practice, and learning from previous WASH Cluster experience.

Recognizing that every emergency is different, the Handbook provides users with tools and pointers to more detailed information and resources to support them in decision making, management, and coordination of their work. It is intended to be a dip-in reference tool, rather than a step-by-step guide.

The Handbook is split into nine chapters.

A summary table at the start of each chapter provides a breakdown of the sections and sub-sections within the chapter, and a summary box highlights links between the chapter contents and the WCC role.


Each chapter includes important principles and action points for the WCC and WASH Cluster, along with practical examples, useful tips, pointers to further tools, and guidance through additional linked resources.

Some direct links to additional resources are embedded within the Handbook text and highlighted in **bold red font**. These can be sourced directly through the CD.

- | | |
|----------------|--|
| Chapter 1 | focuses on how to establish a WASH Cluster and things to consider in getting started in the job . |
| Chapter 2 | looks at practical skills in relation to managing coordination . |
| Chapter 3 | outlines the Information Management considerations and highlights a range of systems and tools available to support WASH Cluster coordination. |
| Chapters 4 - 6 | focus on specific functions of the WASH Cluster in line with the project cycle , from initial assessments through to mobilising resources. |
| Chapter 7 | highlights considerations for ensuring quality and accountability in relation to the WASH response |
| Chapter 8 | provides an overview of the Cluster Approach including the role and services provided by the Global WASH Cluster . |

Symbols and terminology

Different bullet points have been used for faster reference:

- ✓ Important principles or actions
- ✗ Pitfalls and negative consequences
- Sub points
-  Reference documents, with live links on the Handbook CD
- Useful web-sites for further information and guidance

Terminology and concepts used throughout the Handbook are explained in the Glossary.

Feedback Form

Please complete and send the form below, or send further comments or suggestions to Toby Gould at wash.cluster@redr.org

Name (optional)	Organisation and job title:
In what ways has the Handbook assisted you in your work?	
How can the format of the Handbook be improved or made more user friendly?	
Which aspects of the Handbook content are most useful and why?	
Which aspects are least useful and why?	
Please list any additional information or key resources which you feel should be included.	
Would you be willing to assist in on-going development of the Handbook? If yes - please provide a contact email address:	

Acronyms and abbreviations

Acronym	Full term
ACF	Action Contre La Faim
AIDS	Acquired Immunodeficiency Syndrome
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CA	Cluster Approach
CAP	Consolidated Appeals Process
CAT	Coordinated Assessment Tool
CAST	Cluster Advocacy and Support Team
CBO	Community Based Organisation
CCC	Core Commitments to Children
CCCM	Camp Coordination and Camp Management
CD	Compact Disc
CERF	Central Emergency Response Fund
CHAP	Consolidated Humanitarian Action Plan
CLA	Cluster Lead Agency
DFID	Department for International Development
DRMT	Disaster Response Management Team
ECHO	European Commission Humanitarian Aid Office
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
ES	Emergency Shelter
FBO	Faith Based Organisation
GIS	Geographical Information System
GPS	Global Positioning System
HAP	Humanitarian Action Plan
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HIC	Humanitarian Information Centre
HIV	Human Immunodeficiency Virus
HF	High Frequency
HP	Hygiene Promotion
HR	Human Resources
IASC	Inter Agency Standing Committee
ICRC	International Committee of the Red Cross
IFRC	International Federation of Red Cross and Red Crescent Societies
IM	Information Management
IMWG	Information Management Working Group
INGO	International Non Government Organisation
IOM	International Organisation for Migration
IRA	Initial Rapid Assessment Tool
LFA	Log Frame Analysis

LNGO	Local Non Government Organisation
MDTG	Multi Donor Trust Fund
MYR	Mid Year Review
NGO	Non Government Organisation
OCHA	Office for the Coordination of Humanitarian Affairs
PLWHA	People Living With HIV and AIDS
POLR	Provider of Last Resort
RAT	Rapid Assessment Tool
RC	Resident Coordinator
REWA	Regional Emergency WASH Advisor
SAG	Strategic Advisory Group
TOR	Terms of Reference
TWG	Technical Working Group
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
VHF	Very High Frequency
WCC	WASH Cluster Coordinator
WES	Water Environment Sanitation
WHO	World Health Organisation
3W	Who-What-Where
4W	Who-What-Where-When

Cluster coordination Aide Memoire

Adapted from Aide Memoire, Cluster Coordination, www.clustercoordination.org

Practice active listening, facilitation and negotiation skills ...

- ✓ Don't interrupt;
- ✓ Maintain eye contact;
- ✓ Lean forward;
- ✓ Ask open-ended and probing questions to draw people out;
- ✓ Listen and uncover interests, rather than positions;
- ✓ Reiterate main points, summarise differing perspectives and note areas of agreement;
- ✓ Seek common ground as a basis for building on areas of agreement;
- ✓ Generate ideas through brainstorming – evaluate ideas by exploring options or potential solutions;
- ✓ Arrange for translators to facilitate communication.

The Cluster Approach enhances:

- Transfer of knowledge ,
- Legitimacy through wider engagement and inclusivity,
- Coherence of standards,
- Leverage at national, local authority, and community level,
- Sharing of values,
- Strategic Planning,
- Advocacy, with the Cluster speaking with one voice,
- Predictability,
- Accountability.

CLUSTER COORDINATOR'S PRIORITY TASKS

- Manage coordination at national and sub-national level,
- Assess Needs,
- Avoid gaps and duplications,
- Develop a Cluster Strategy and Work Plan,
- Manage information content and flow,
- Apply appropriate technical standards,
- Monitor performance,
- Build capacity,
- Mobilize resources,
- Report.

PARTICIPATORY COORDINATION involves

- Team-work
- Complementarity
- Transparency
- Dialogue & Interaction
- Partnership
- Trust
- Facilitation
- De-centralisation
- Devolved Authority

WASH Cluster Steering group ToR

- ✓ Agree composition and ways of working;
- ✓ Determine Cluster ToR;
- ✓ Forge & maintain national level partnerships;
- ✓ Provide strategic guidance;
- ✓ Proactively review & adjust response;
- ✓ Advocate for the Cluster;
- ✓ Set and monitor performance standards.

www.humanitarianreform.org

PRINCIPLES OF COORDINATION

- ✓ A limited number of core priorities including addressing the needs of the most vulnerable;
- ✓ Equitable involvement and respect for all Cluster partners;
- ✓ Building on the complementarity of different agencies;
- ✓ Relevant information is shared in a timely manner through Cluster mechanisms;
- ✓ WASH Cluster agency programmes are adjusted to reflect agreed strategic Cluster priorities;
- ✓ WASH Cluster agencies practice accountability to their beneficiaries, other WASH actors, their donors, their own organizations and the HC;
- ✓ Bridges to transition and early recovery are built through engaging and building local capacities as early as possible;
- ✓ Clear separation is maintained between military and political operations.

1 ORGANISATION, ROLE AND FUNCTION OF THE WASH CLUSTER

Chapter One relates to the **following WCC responsibilities:**

- ✓ Managing coordination at national and sub-national level amongst WASH Cluster partners and other actors outside the WASH Cluster;
- ✓ Promoting inclusion.

The chapter is split into the following **five sections:**

1.1	Getting started and the WASH Cluster Coordinator role	<ul style="list-style-type: none"> ▪ Immediate priorities for establishing the cluster ▪ Planning activities for the WASH Cluster ▪ The WASH Cluster Coordinator (WCC) role
1.2	WASH Cluster structure and functions	<ul style="list-style-type: none"> ▪ WASH Cluster coordination structure ▪ WASH Cluster organisational structure
1.3	UNICEF and the role of the Cluster Lead Agency	<ul style="list-style-type: none"> ▪ Role of the Cluster Lead Agency (CLA) ▪ UNICEF: headquarters and regional ▪ The UNICEF Country Office ▪ Operational support for the WCC ▪ WCC reporting and accountability ▪ UNICEF guiding principles and protocols
1.4	Key Cluster actors and building relationships with them	<ul style="list-style-type: none"> ▪ Strategies for promoting the Cluster Approach ▪ Working with national and local government ▪ Role of WASH Cluster partners ▪ Identifying potential Cluster partners
1.5	Coordination with other Clusters and groups	<ul style="list-style-type: none"> ▪ Inter-Cluster coordination ▪ Other coordinating bodies ▪ Relationships with peace-keepers and the military

1.1 Getting started and the WASH Cluster Coordinator role

Key strategies in getting started

- ✓ Engage experienced WASH actors as early as possible;
- ✓ Build on and work within existing structures and mechanisms;
- ✓ Plan the immediate and week one activities needed;
- ✓ Be proactive in gathering contacts.

1.1.1 Immediate priorities for establishing the Cluster

The decision to appoint a WCC will be made by the CLA. In a rapid onset emergency this may be done before the formal introduction of the Cluster Approach by the RC/HC.

The WCC is likely to arrive in country two to five days after the onset of a sudden emergency. Before arrival a representative of the CLA will need to cover the WCC role. In the case of UNICEF this may be the Chief of WES.

Essential information for preparation and self briefing

- ✓ Bring a good map of the country and affected areas.
- ✓ If a national contingency plan exists try to get a copy as soon as possible.

For background information, try the following websites:

- ▶ <https://www.cia.gov/library/publications/the-world-factbook/>
- ▶ <http://countryanalysis.eiu.com/>

The 24-hour checklist below outlines typical priorities for a new WCC on arriving in-country, in getting started, and establishing the WASH Cluster. The actual details will vary depending on the nature and scale of emergency and timing of arrival. In addition, a detailed **Mission Readiness checklist** can be found under Resources at the end of this section.

24-hour checklist for Cluster priorities	Handbook sections
1. Arrange briefing from the CLA representative (normally Country Representative) and the temporary WCC.	1.3
2. Meet representatives of key WASH sector actors who are present in-country (UN and INGO).	1.4
3. Locate and talk to government partners (relevant line ministries and/or focal departments) and get details of existing structures, systems, capacities, and key informants.	1.4; 1.2
4. Attend (or convene) a general coordination meeting , such as the Inter-agency coordination meeting chaired by the RC/HC or UN OCHA, and establish contacts.	1.5; 2.2
5. Arrange Security briefing . Can be arranged in advance.	1.3
6. Set up initial WASH coordination meeting e.g. agenda, poster with contact information, venue.	1.1; 2.2
7. Review current information about the situation, e.g. Sit Reps, assessments, national contingency plans.	3.1
8. Establish data management system (in collaboration with UNOCHA), e.g. contacts, information sources, capacity information.	2.4
9. Find out about, and input to, initial assessment processes e.g. what is being organised, by whom, where, what capacity is available?.	3.2; 4.1
10. Plan immediate and week one actions and priorities.	1.1

Initial contacts: what do you want to know?

- ✓ What is the current emergency situation and state of the response?
- ✓ What role is government taking and who are the principle government stakeholders in WASH?
- ✓ Who are the best sources for relevant, up-to-date information?
- ✓ What are the existing forums for coordination and who is leading them? Is there an existing inter-agency contingency plan?
- ✓ Who are the key players in the WASH response, where are they?
- ✓ What information is already available and where can you find it?

The first WASH Cluster meetings

The first WASH Cluster meeting needs to be organised as soon as possible. If possible get assistance from the CLA in finding a venue, making contact with key WASH sector actors, etc. A **contact poster** for the WASH Cluster Coordination team will help in establishing contact with potential Cluster partners (see further details under *section 2.3*).

Strategies in managing the first WASH Cluster meetings

Some of the problems encountered in the first meeting may include:

- ✗ Challenging and limited understanding of the Cluster Approach;
- ✗ Diverse priorities and demands for information and action;
- ✗ Poor support from government;
- ✗ Highly conflicting information and forecasts of needs and response requirements;
- ✗ Managing large numbers of partners;
- ✗ Language difficulties.

These can be managed initially through:

- ✓ Establishing immediate contact with government partners and meeting them before the WASH Cluster meeting;
- ✓ Requesting that the government chair the meeting or, if they prefer, arrange to co-chair;
- ✓ Briefing people in advance of the meeting (agenda, IASC Guideline on the Cluster Approach, etc.);
- ✓ Establishing immediate ground rules;
- ✓ Displaying available information on who is doing what, where, and updating and adding to this. Avoid going round the room and asking for updates from all partners;
- ✓ Inviting new agencies and partners to briefly explain who they are and what they are doing;
- ✓ Directing partners to previous meeting notes and, briefing papers (e.g. IASC Guidance Notes) for background information on the WASH Cluster and decisions taken to date. Avoid spending time going over previous discussions and decisions.
- ✓ Being clear about the expectations of the WASH Cluster from, to, and between partners;
- ✓ Reaching early agreement on the on-going cluster coordination mechanism to facilitate rapid decision making.

The agenda for the first few meetings will be similar and some of the items may be covered in separate committee or working group meetings. A **sample agenda** is included under Resources at the end of this section.

Further guidelines on managing WASH Cluster meetings can be found under *section 2.2*.

Agenda items for the first meeting(s)

- ✓ Welcome and introductions (if feasible, given no. of attendees).
- ✓ Outline **purpose and expectations** of WASH Cluster.
- ✓ Govt/WCC **briefing** on emergency situation and **immediate actions required**.
- ✓ Exchange **WWW information** and outline on-going info. requirements.
- ✓ Identify known information and WASH response **gaps**.
- ✓ Make arrangements for separate meetings (e.g. to consider Cluster coordination mechanisms, or to organise the **rapid assessment process**).

1.1.2 Planning activities for the WASH Cluster

Timeline for week 1

Having an outline of required activities for the first week or so helps to ensure that priorities are not overlooked. Some activities may already have been undertaken or started by the temporary WCC, and the timeline will need adjusting daily once in country.

Activities to be completed by the first week of arriving in country	Approximate timing after disaster onset						
	1	2	3	4	5	6	7
Orientation							
Briefing on emergency situation, local context, government and donor strategies, key national policies and standards							
Building relations with Cluster stakeholders							
On-going meetings with stakeholders: government (line ministries, focal departments), donors, INGOs, local actors							
Inter-agency meetings							
Collection of WASH actor profiles and initial mapping of Who What Where When (4W)							
Establishing the Cluster							
Setting up first WASH Cluster meeting							
WASH Cluster coordination meetings							
WASH Cluster steering meetings							
Outlining Cluster structure and staff requirements							
WASH Cluster ToR, finalising and disseminating							

coordination mechanism and structure								
Establishing operational systems								
Logistics: Communications (internet, phone, radio, etc., transport, accommodation, etc.								
Set up appropriate communication and contact management systems (email lists, Google group, website, etc.)								
Establish data management system								
Sourcing staff, translators, etc.								
Planning and reporting								
Drafting of initial (three to four week) WASH response plan with principle strategies, objectives, indicators								
Drafting and disseminating daily sit reps and inputting to inter-Cluster sit reps								
Assessments and resource mobilisation								
Preparation for an initial rapid assessment								
Qualifying baseline data, assessment proposals, and Flash Appeal/CERF requirements with HC and Humanitarian Country Team								
Meta-analysis of WASH actors assessment data								
Initial rapid assessment process								
Input to Flash Appeal, CERF								

Longer-term activity planning

Developing a longer-term activity plan as early as possible will help in prioritising a multitude of tasks, identifying the skills and capacities required, and providing clarity of direction for Cluster partners. This process should be complementary to the response planning activities being undertaken (see chapter 5) to ensure that operational aspects of the Cluster are put in place in line with requirements for coordinating the WASH response, e.g. data and information management systems, sub-national level communication and coordination structures, etc.

The checklists below provide a guide for planning the WASH Cluster activities in the first month of a chronic or rapid-onset emergency situation. In addition, a detailed **30 day WASH Cluster timeline** is incorporated into the Appendices. Additional examples of WASH Cluster timelines used in Bangladesh can be found under Resources.

Checklist for Month 1 activity planning in a chronic emergency	Checklist for Month 1 activity planning in a rapid onset emergency
Specific activities will depend on whether you are based at national or sub-national level.	
<ul style="list-style-type: none"> Identify key partners: government, UN agencies, NGOs, donors, private sector. Establish / strengthen the existing Cluster steering group. Comprehensive situation analysis. Gap analysis. Develop medium-term Cluster response plan and strategic operational framework (see <i>sections 5.1 & 5.2</i>). Establish technical or working groups. Agree and assign roles and responsibilities. Set Cluster principles and standards (see <i>section 8.1</i>). Establish on-going process for monitoring and review. Address requirements for emergency and contingency planning and transition of the Cluster. 	<ul style="list-style-type: none"> Identify key partners: government, UN agencies, NGOs, donors, private sector. Establish Cluster steering group. Establish coordinated Information Management systems/tools. Coordinated rapid needs assessment (inter-Cluster). Gap analysis and prioritisation. Flash Appeal / CERF proposals. Develop medium-term Cluster response plan and strategic operational framework (see <i>sections 5.1 & 5.2</i>). Establish technical or working groups. Agree and assign roles and responsibilities. Set Cluster principles and standards (see <i>section 8.1</i>). Coordinated comprehensive (WASH sector) assessment. Formulation of advocacy messages. Establish on-going process for monitoring and review. Address requirements for emergency and contingency planning and transition of the Cluster.

1.1.3 The WASH Cluster Coordinator (WCC) role

The purpose of having a dedicated WCC is to facilitate improved coordination and equal partnership between all actors involved in responding to WASH sector needs.

WASH Clusters reviews to date¹ have highlighted:

- the time required in effectively managing the Cluster coordination role;

¹ Global WASH Cluster Learning project, Implementation of the WASH Cluster Approach : Good practice and lessons learned, Oct 2008, ACF

- the importance and challenge in maintaining separation between roles where the WASH Cluster Coordination post-holder takes on this role in addition to an existing role within the UNICEF Country Office, e.g. within the WES team.
- The value in having a dedicated WCC to address these issues, as demonstrated in Uganda, Bangladesh, and Myanmar.

a) Major challenges of the WASH Cluster Coordinator role

Responsibility without authority

The WCC's primary role is to facilitate the WASH co-ordination process, and contribute to a more effective humanitarian response. However, this responsibility comes without the authority to enforce compliance with the Cluster coordination requirements.

This can only be achieved through the meaningful engagement of key WASH sector actors, and the pro-active support of the CLA in both working within the parameters of the WASH Cluster and providing operational support.

Strategies to assist in generating support from the CLA (UNICEF)

- ✓ **Sensitising staff in the UNICEF Country Office to the Cluster Approach.**
- ✓ **Determining clear roles between WES and the WCC** (where all are present). This will help clarify responsibilities and procedures for WASH project prioritisation and selection, management of funding which is channelled through UNICEF and project M&E, and mitigate the problem of UNICEF/ WES staff entering unilateral agreements with Cluster partners without going through the cluster mechanism, and
- ✓ **Finding an ally in UNICEF** to help navigate necessary procedures e.g. access to funds for procurement, security clearance, authority to travel, etc.

Achieving the desired results will also depend on clarity of direction, collaborative leadership and continuous negotiation, effective information exchange, and supporting WASH Cluster agencies in achieving their own objectives.

Effective collaborative leadership demands a shift in mindset and practice from authoritative leadership to a collaborative approach, e.g.

<i>from...</i>	<i>to...</i>
✗ leading based on line authority...	✓ leading based on trust, relationships, services
✗ unilateral decision-making.....	✓ shared decision-making and consensus management
✗ command and control.....	✓ facilitate, network, and enable
✗ implementing partners.....	✓ equal partners
✗ focus on agency interest.....	✓ focus on broader sector and emergency as a whole
✗ being out in front.....	✓ to facilitating and networking “behind-the-scenes”

Role as an Honest broker

The role of the Cluster Lead Agency (CLA) is to facilitate a process of equal partnership aimed at ensuring well-coordinated and effective humanitarian response.

To be successful, therefore, the WASH Cluster must function in a way that respects the roles, responsibilities, and mandates of different humanitarian organisations. This explicitly recognises the diversity of approaches and methodologies that exist amongst the WASH Cluster’s different actors.

To enable this, the WCC must remain independent and impartial, and must be prepared to act as an ‘honest broker’, i.e. without the biases or prejudices of parent agency affiliation, when negotiating and arbitrating on behalf of the WASH Cluster.

This approach implies that the WCC has no operational programming or fund-allocating role within their parent agency, and that they are also employed full-time in coordinating the WASH Cluster. Clearly, this will depend on the type, scale, and phase of the crisis. However, the initial assumption should always be that the roles are separated.

Particular areas of sensitivity include the selection of projects for inclusion in collaborative funding appeals, allocation of resources, and the degree of influence of the CLA within the cluster decision making structure.

The WCC’s credibility is, to a large extent, founded on his or her ability to act as an ‘honest broker’. One of the most effective ways of achieving this is to ensure that all humanitarian actors be given the opportunity to fully and equally participate in setting the direction, strategies, and activities of the WASH Cluster.

b) WASH Cluster Coordinator Terms of Reference

The WCC responsibilities are based broadly on those for the CLA as set out in the table below. The priority tasks can be summarized as follows:

- ✓ Managing coordination at national and sub-national levels
- ✓ Assessing needs
- ✓ Avoiding gaps and duplication
- ✓ Developing a Cluster strategy and response plan
- ✓ Managing information content and flow
- ✓ Applying appropriate technical standards
- ✓ Monitoring performance
- ✓ Building capacity
- ✓ Mobilising resources
- ✓ Reporting

Exact responsibilities will depend on the nature and scale of the emergency, and the role and capacity of national government and the international community. The complete **WCC ToR** is included under Resources below.

WASH Cluster Coordinator responsibilities	WCC skills identified ²
<ol style="list-style-type: none"> 1. Inclusion of key humanitarian partners. 2. Establishment and maintenance of appropriate humanitarian coordination. 3. Coordination with national/local authorities, state institutions, local civil society, and other Cluster actors. 4. Participatory and community-based approaches. 5. Attention to priority cross-cutting issues. 6. Needs assessment and analysis. 7. Emergency preparedness. 8. Planning and strategy development. 9. Application of standards. 10. Monitoring and reporting. 11. Advocacy and resource mobilisation. 12. Training and building capacity. 13. Provision of assistance or services as a last resort. 	<p>Management. Relational skills (networking, integration, motivation, moderation). Planning and organization. Strategic thinking. IT and Information Management skills. Communication (written and spoken). Understanding of WASH sector. Familiarity with relevant country context.</p>

² Through feedback from WCCs and the Implementation of the WASH Cluster Approach : Good practice and lessons learned paper, Oct 2008, ACF

Resources

- 📖 Cluster **Work Planning Checklist** (30 days)
- 📖 WASH Cluster, **Coordination Work Plan** (3 month), Bangladesh, Feb 2008
- 📖 Mwaniki, P., **WASH Cluster Process - 60 day timeline**, Bangladesh

- 📖 Emergency Shelter Cluster **mission deployment checklist**, IFRC, 2006
- 📖 Cluster **meeting agenda**, ESC sample, Yogyakarta
- 📖 'How to Contact Us' **poster**, ESC sample, Yogyakarta

- 📖 IASC (2006), **Guidance Note on Using the Cluster Approach** to Strengthen Humanitarian Response
- 📖 Mwaniki, P., **WASH Cluster Coordination - Report and Tools**, Madagascar, 2007
- 📖 WASH Cluster Coordinator Terms of Reference

- ▶ <http://www.clustercoordination.org>
Practical tools and advice for Cluster Coordinators
- ▶ <http://www.humanitarianreform.org/Default.aspx?tabid=301>
Emergency Shelter Cluster toolkit
- ▶ <https://www.cia.gov/library/publications/the-world-factbook/>
Essential background information for country briefings
- ▶ <http://countryanalysis.eiu.com/>
Essential background information for country briefings

1.2 WASH Cluster structure and functions

1.2.1 WASH Cluster coordination structure

Appropriate Cluster coordination arrangements will depend on the scale, phasing, and anticipated duration of the emergency. Other factors to consider include government, UN and NGO response capacity and the presence and effectiveness of existing coordination mechanisms. Whatever the structure adopted, it must be flexible enough to suit all stages of the emergency response e.g. expanding during intensive relief activities and scaling back as the Cluster merges or phases out (see *section 5.1* for further details of Phasing Out).

In a **large-scale emergency response**, such as the Pakistan earthquake, coordination is likely to take place at three levels:

- **National level** - primarily high-level liaison and strategic decision making.
- **Regional level** - primarily for technical and advocacy activities.
- **Sub-national level(s)** - primarily for coordination of planning and response activities.

In a **smaller-scale emergencies**, such as the conflict in Georgia, coordination may take place entirely at one level. All levels of coordination rely on efficient communication and information flow between them to be effective.

Effective coordination between WASH Cluster levels in DRC

Review of the WASH Cluster in DRC found that the effectiveness of WASH sector coordination improved considerably under the Cluster Approach because of direct links between provincial-level coordination, national-level coordination, and the Humanitarian Coordinator which had not been there in the past.

Actors at all levels were better informed of the changing response priorities and were able to engage in coordinated planning, resource mobilisation, and interventions.

Source: Review of the WASH Cluster in DRC, June 2007

a) National-level coordination

National-level coordination will focus on strategic aspects of WASH Cluster programming and contributing to the coherence of the overall emergency response. It involves:

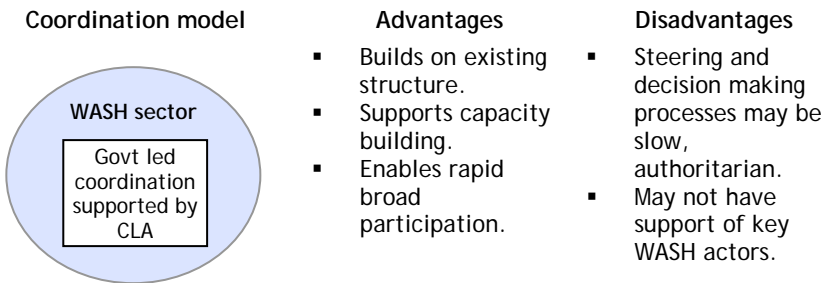
- ✓ Regular input to the overall government/Humanitarian Country Team coordination function;
- ✓ Support for joint assessments;
- ✓ Negotiation and agreement with government and other Clusters on policy guidelines, overall priorities, and resource allocations;
- ✓ Interpreting and establishing technical guidelines relative to international and national standards.

Identifying an appropriate coordination structure at national level will depend on the government structures and coordination mechanisms that are already in place.

A number of options have been used in practice, as illustrated in the models below.

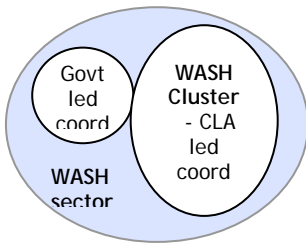
Example i) Existing government coordination supported by WASH Cluster

This assumes WASH Cluster coordination will be undertaken through an existing government-led coordination mechanism, with the WASH CLA providing support.



Example ii) WASH Cluster coordination alongside government

This arrangement assumes that government are unable or unwilling to provide the coordination necessary for effective management of the WASH response. Or that they refuse to recognise legitimacy of international actors.

Coordination model**Advantages**

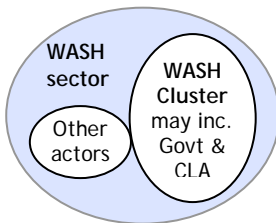
- May be necessary initially if govt will not work with CLA and existing coordination is very poor or excludes particular groups or locations.

Disadvantages

- Duplication.
- Undermines government role and capacity.
- Limits involvement of national and local actors.

Example iii) Coordination established through the WASH Cluster

This arrangement assumes that there is no pre-existing coordination mechanism. The WASH Cluster is established and led or co-led by national government, depending on their capacity and willingness to be involved.

Coordination model**Advantages**

- Rapid coordination and decision making.
- Impartiality and more equitable involvement of all actors.
- Good capacity building opps.

Disadvantages

- Time and effort needed in identifying and getting WASH actors on board.
- May be a tendency for international orgs to dominate.

b) Sub-national level coordination

Sub-national level coordination focuses on the detail of planning and implementation of WASH related activities, i.e. who is doing what, where. It is also at this level that early recovery, emergency preparedness, and capacity building measures can practically be achieved. An effective Cluster coordination structure at sub-national level will help facilitate effective information exchange, monitoring of the emergency situation, progress of the WASH response, and adherence to agreed standards.

Depending on the nature, scale, duration, and phasing of the emergency, there may be a requirement for dedicated field coordination staff (see the **WASH Field Cluster Coordinator ToR**, under Resources). Alternatively, government or WASH Cluster agency representatives may act in the capacity of sub-national level Coordinators or Focal Points. These tend to be identified by default (e.g. due to

presence or experience in a particular location) rather than personal choice, and they may be established UNICEF WES posts that have been in place, and operated in a certain way, for many years.

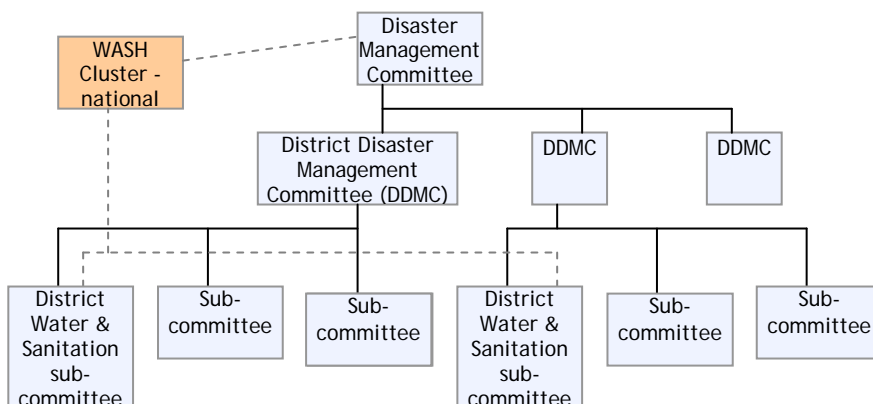
These challenges can be mitigated through:

- ✓ Building on existing communication and coordination structures as far as possible;
- ✓ Ensuring that communication and information exchange is two-way so that Coordinators and Cluster actors at sub-national level are well informed;
- ✓ Keeping information demands to an absolute minimum and adopting communication and reporting media that address the needs and constraints of those in the field (see *section 2.3*);
- ✓ Valuing and acknowledging the contributions from sub-national level WASH actors;
- ✓ Recognising the importance to actors at sub-national level of active community involvement in all aspects of the response.

A range of coordination structures has been used in practice, as illustrated below.

Example i) Uganda

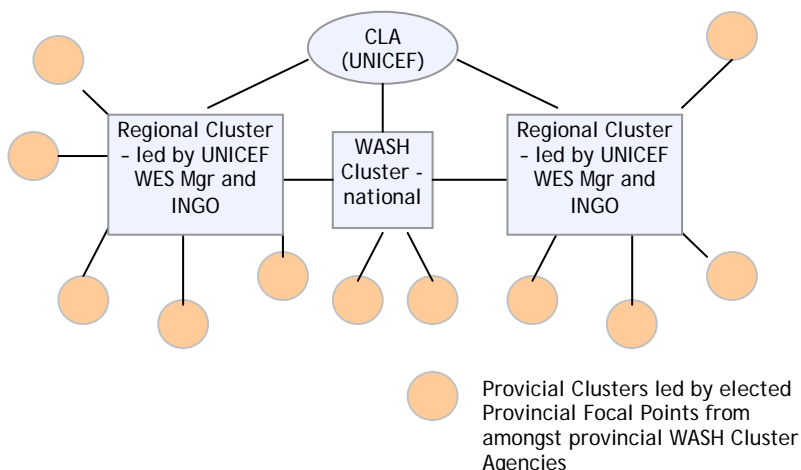
In Uganda the WASH Cluster at district level is integrated with the local government system, which has helped to foster buy-in and ownership of international, national, and local actors and establish an effective working relationship with the government disaster management structure.



Advantages	Disadvantages
<ul style="list-style-type: none"> ▪ Built on existing structure. ▪ Chaired by government. ▪ Strong participation of local actors, inc. Ugandan Water and Sanitation NGO Network members. ▪ Supports phase out / transition. 	<ul style="list-style-type: none"> ▪ Limited government resources for coordination / monitoring. ▪ Poor supervision and quality control. ▪ Significant challenge in channelling large amounts of information from field to national level. ▪ Limited local authority support for implementation - restricted to coordination. ▪ Close links with government not reflected at national level.

Example ii) DRC

In DRC the WASH Cluster is highly decentralised, with 13 provincial Clusters supported by three regional Clusters (including the national Cluster in Kinshasa, which acts as a regional coordination hub). As there are no dedicated WCCs, the regional Clusters are co-led by a UNICEF WES staff member and an INGO representative. Links with government at national and regional levels are weak, but representation of local and national actors at provincial level is high due to the field based focus of coordination.



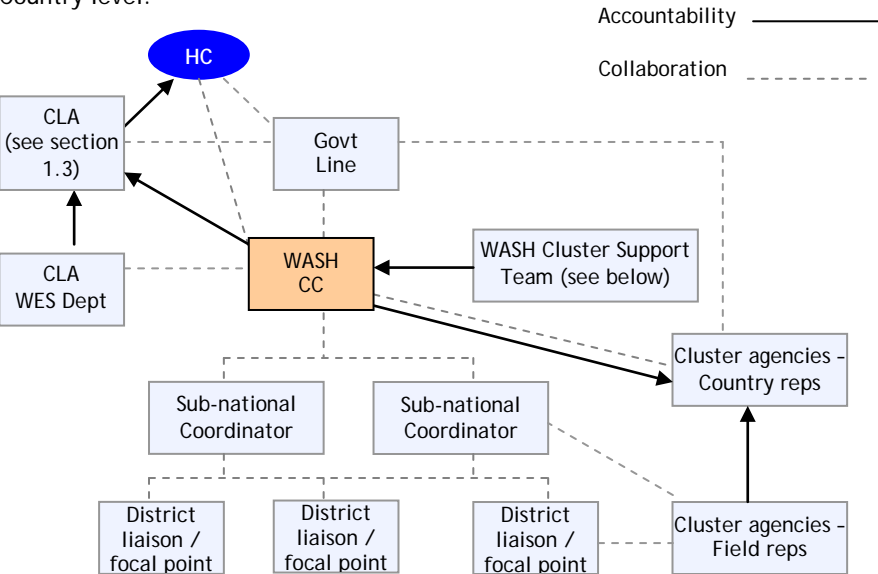
Advantages	Disadvantages
<ul style="list-style-type: none">▪ Good Cluster coverage in all affected areas through 13 provincial WASH Clusters.▪ Facilitates assessments and monitoring.▪ Good participation by national and local actors.▪ Supports broad representation by Cluster partners through electing and rotating provincial Focal Points.	<ul style="list-style-type: none">▪ No link to government structures.▪ Problem in engaging agencies and donors outside the Cluster Approach.▪ Absence of a clear overall WASH strategy.▪ Weak participation or representation in the national-level Cluster.▪ Regional Clusters dominated by UNICEF, although they were co-led by the UNICEF Regional WES Manager and a WASH Cluster agency.

1.2.2 WASH Cluster organisational structure

Outlining the Cluster organisational structure can help in explaining the relationship between cluster partners and highlighting where accountabilities lie. Details of reporting requirements (e.g. WWW information) to enable coordination within and between Clusters are illustrated in *section 2.4*.

a) WASH Cluster inter-organisational relationships

The diagram below illustrates the principle WASH Cluster relationships at Country level.



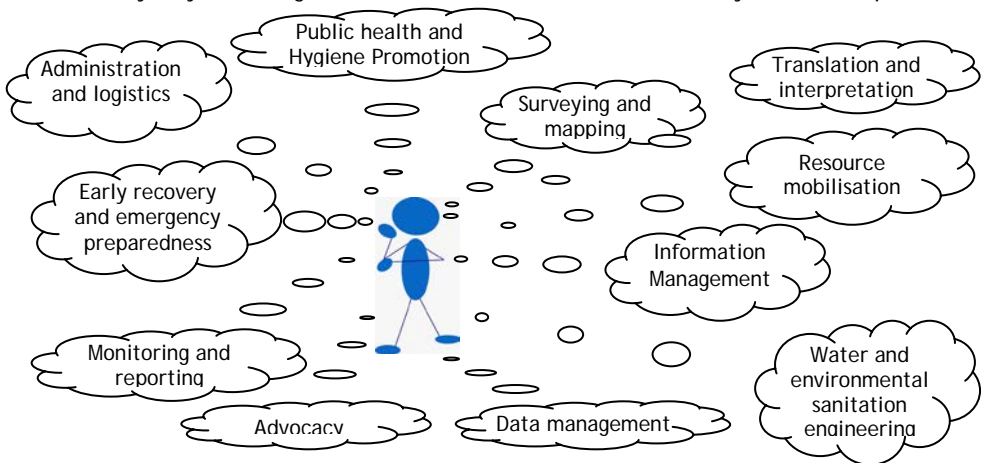
A detailed **WASH Cluster organogram** from Bangladesh detailing the inter-organisational arrangement between the CLA and government counterpart is incorporated under Resources below.

In smaller emergencies, the HC is likely to be directly involved in coordinating assessments, planning, information exchange, resource mobilisation and response activities between the Clusters, and, in chairing inter-Cluster coordination meetings (refer to *section 8.2* for full details of the HC role).

In a large-scale emergency this coordination role is taken on by UNOCHA and may involve the UN Disaster Assessment and Coordination Team (UNDAC - see *section 8.2* for further details). An OCHA Inter-Cluster Coordinator or designated staff member has responsibility for managing inter-Cluster coordination and will liaise directly with the HC as required (see further details of OCHA's role in *sections 1.4 and 3.3*). Direct liaison between the government and HC is still maintained, as indicated in the diagram above.

b) WASH Cluster support team

The only way to manage the WASH coordination role effectively, is with help!



This may be provided through:

- dedicated WASH Support Team posts, e.g. Information Management,
- the support of individual WASH Cluster specialists, e.g. Hygiene Promotion or GIS,
- or the collective support of technical or working groups.

The principal functions needed in a large-scale emergency are highlighted in the **Functional Relationship Chart** in the Handbook Appendices.

Information Management

Large scale emergency response will require the support of a full-time dedicated IM professional. See the sample **Information Manager ToR** below and *sections 3.2 and 3.3* for details of WASH Cluster IM and GIS support requirements.

Administrative / financial / logistical staff support

Daily administrative and logistical support will be needed for a wide variety of tasks, such as reporting, data management, finance, logistics and procurement, translation, driving, etc. and may be best addressed through the CLA or local staff.

Persistence may be required in getting the support needed from the CLA, and a range of strategies are outlined under *section 1.2* for obtaining this support.

Technical support

Specialist technical support may be needed in relation to environmental sanitation, solid waste, water supply, hygiene promotion, and vector control. In such cases, detailed standard setting, planning, and coordination is undertaken most effectively through smaller technical groups. The Cluster steering group can identify a focal point, usually a specialist in the subject, to set up and lead the working group.

It is important, however, to ensure these issues do not become pigeon holed as something to be dealt with by experts. This can be addressed by ensuring that the outcome of discussions in relation to technical issues are fully integrated in the agenda and discussion during WASH Cluster meetings.

c) Steering or advisory groups

Setting up a smaller steering or advisory group can assist in facilitating decision making, providing a balance between the need for rapid decision making and effective management, and the need for broad participation.

The group should involve all major stakeholders. As the response progresses, it is important to strive for **equitable** representation for both those **affected** by WASH Cluster actions, and those responsible for **implementing or resourcing** them.

The most effective strategy for achieving equitable representation is to rotate both the chair and membership.

In many cases, the language and meeting/decision-making style is determined by international actors, which can constrain national and local stakeholders in ensuring that their interests are fully considered.

Examples of Steering or Advisory arrangements used in practice

Group composition	Advantages	Disadvantages
Example i) Strategic Advisory Group (SAG) Used in Bangladesh and Myanmar Well suited to large scale emergencies		
National/local (3-4): Government focal point, national NGO rep, national Red Cross/Crescent Society rep, Military liaison. International (10-14): WCC, Donors (2-3), INGOs (2-3), IFRC, Early Recovery Cluster, other related Cluster reps, OCHA inter-Cluster Coordinator, ICRC, International military or peace keeping liaison.	Builds strong links with donors. Rapid decision making. Facilitates guidance from more experienced actors. Facilitates development of concise, clear plans and operating procedures (see Strategic Operating Framework in <i>section 5.1</i>).	Limited national/local representation and capacity building. Risks weakening cluster participation. ³ Can reinforce NGO concerns about Cluster serving elitist interests.
Example ii) Shared CLA and Govrenment steering of WASH Used in Uganda, Somalia Well suited to smaller-scale emergencies or long-running conflicts where there are well-established government-led coordination mechanism in place.		
Decisions taken within the main WASH Cluster forum and through delegated responsibility to sub-committees. Broad cross-section of actors involved. N.B. Generally more effective collaboration and shared decision making found at field, rather than national, level	Builds strong links with government (may link to or strengthen disaster preparedness structure) Good input in relation to the local context. Encourages local ownership and capacity building. Same structure can be used down to district level.	Risk of bureaucracy, slow decision making. Experienced NGOs may 'break away' and set up own coordination. Can undermine impartiality, risk exclusion of particular groups (e.g. those opposed to gov't)

³ The WASH Cluster review in Bangladesh found Cluster participation declined after setting up the SAG, leaving no mechanism for broader endorsement of decisions taken by the SAG.

Whatever the advisory or steering group arrangement, it should support the WCC in:

- ✓ Agreeing on the steering group composition and ways of working;
- ✓ Agreeing the ToRs for Cluster partners;
- ✓ Forging and maintaining national-level partnerships and equitable representation of diverse WASH sector interests within the Cluster;
- ✓ Providing strategic guidance;
- ✓ Keeping the response moving, i.e. proactively review and adjust;
- ✓ Collectively representing the WASH Cluster interests and position including advocating for necessary resources and provisions;
- ✓ Setting performance standards and indicators (based on advice from technical working groups as appropriate).

d) Technical working groups and sub-groups

Technical, working, or sub-groups are useful in analysing problems, resolving concerns, and formalising principles and responsibilities, e.g. setting standards, defining technical specifications, Information Management, quality assurance, as consensus is more easily achieved within a smaller group.

Example: Technical Working Group in Pakistan

The WASH Cluster in Pakistan (NWFP Province) assigned Oxfam to lead in standard setting for latrine construction in coordination with the WASH and Camp Management Clusters.

Oxfam helped all the Cluster partners to understand the designs. Latrine spacing in the camp, and cleaning and disinfection. Oxfam was not leading the Cluster, but leading in technical standards setting. This was a good way for the Cluster to manage who should lead in water quality, water supply, sanitation, and hygiene, because different Cluster partners have comparative advantages that can add value to the implementation of WASH activities coordinated by the Cluster.

Example provided by Mahboob Ahmed Bajwa, Chief WES, UNICEF Laos






To establish a group, the Steering Group identifies a focal point with responsibility for establishing the group and feeding back on their activities and recommendations, either to the Steering Group, or all WASH Cluster partners. Once decisions are agreed or standards set, these need to be reflected in Cluster response plans and strategy development. A group's life-span will be determined by its purpose. See Resources below for a **sample Technical Working group ToR**.



Partners can self select, although special expertise may be required. They may be drawn from within or outside the WASH Cluster, e.g. government, academic, and professional institutions, and civil society or private sector organisations may be able to assist.







Examples of Technical or Working groups used in practice

Composition and purpose	Advantages	Disadvantages
Example i) Technical Working group (TWG) Used in Bangladesh and Myanmar		
Led by a focal point appointed by the SAG. Oral and written reporting through the SAG to the WASH Cluster. Self selecting but fewer than 15 members. Set up sub-groups if needed. Purpose is to develop policy guidelines and technical standards.	Specific ToR with clearly defined outputs. Limitations on group size and lifespan promote efficiency. Clear lines of responsibility and reporting.	Leadership is pre-defined. Limited lifespan limits opps for partnership and capacity building. Limited focus on technical issues, rather than sharing operational resp's.
Example ii) Sub-groups and Sub-committees Used in Uganda		
Mix of international, national, and local actors. Lead / chair shared amongst different organisations. Substitute for central 'steering' function. Covered issues such as coordination, mapping and monitoring, standards and guidelines, capacity building, advocacy, and resource mobilisation.	Facilitates active participation of all Cluster actors in Cluster planning and decision making. Addressed different aspects of WASH Cluster responsibilities. Provided opportunity for building capacity in steering different issues.	Groups were difficult to disengage once established. Some complaints of too many meetings and groups. No guarantee of quality or expertise in group decisions. Communication between groups and the Cluster was challenging.

Resources

-  WASH Cluster **Organogram**, Sidr Response, Bangladesh, March 2008
-  WASH Cluster **Functional Relationships chart**, Sidr Response, Bangladesh, 2008
-  WASH Cluster - **Field Cluster Coordinator ToR**, Sidr response, Bangladesh
-  WASH Cluster - **District Coordination Facilitator**, Sidr response, Bangladesh
-  **ToR for WASH Cluster Information Manager**

-  IFRC Terms of Reference Cluster **Strategic Advisory Group (SAG)**, B3 Associates, Nov 2006
-  WASH Cluster **ToR for Technical Working groups (TWG)**

-  Global WASH Cluster Learning project, Review of the WASH Cluster in Bangladesh Sidr Response, March 2008
-  Global WASH Cluster Learning project, Review of the WASH Cluster in Uganda, Nov 2007
-  Global WASH Cluster Learning project, Review of the WASH Cluster in Democratic Republic of Congo, June 2007
-  Interagency Global WASH Cluster Review of the Watsan Cluster in the Java Earthquake Response, Aug 2006
-  McCluskey, J., Summary Report, Visit to UNICEF Liberia, Roll-Out Country for the Cluster Approach, July 2006
-  Lessons learnt WATSAN Cluster CSZ Drought Response 2006

1.3 UNICEF and the role of the Cluster Lead Agency

1.3.1 Role of the Cluster Lead Agency (CLA)

At country level, the Cluster Approach aims to ensure a more strategic, coherent and effective humanitarian response through coordinated mobilisation of sector actors under the lead of a designated Cluster Lead Agency (CLA).

These agencies are assigned by the Humanitarian Coordinator (HC) or Resident Coordinator (RC), in collaboration with the Humanitarian Country Team and relevant global CLA, and are aligned, as far as possible, with the CLAs at global level. Further details of the global CLAs and process for formalising the Cluster Approach, can be found in *section 8.2*.

The CLA at country level has responsibility for appointing a Cluster Coordinator, and any other support staff as required, for effective functioning of their Cluster. Each CLA is accountable to the HC for facilitating effective sectoral coordination (see 1.3.5 below for further details). Full **ToR for the CLA** are provided under Resources below, and form the basis for the Cluster Coordinator ToR.

Provider of Last Resort (POLR)

Perhaps the most difficult and controversial aspect of the CLA role is that of 'Provider of Last Resort'. As agreed in the IASC principles underpinning the Cluster Approach, CLAs (as the POLR) are responsible for addressing critical life-saving needs in circumstances where no other agency is able to do so.

Example: UNICEF as Provider of Last Resort

UNICEF was the WASH Cluster Lead Agency in Tajikistan, and although they had no WES program, the UNICEF Education programme was reasonably familiar with WASH interventions from their WASH programme in schools. As POLR for the WASH Cluster, UNICEF had to turn to their education programme to perform complex WASH interventions that no one else within the WASH Cluster was able to undertake.

Being the POLR does not mean UNICEF (or the WCC) must do everything, but should limit themselves to interventions that are absolutely necessary and within their technical and management capacity.

Example provided by Peter Wallis, UNICEF, Tajikistan

This requirement is subject to reasonable access, security, and availability of funding, and the HC and ERC have an obligation to support the CLA in mobilising the necessary funding needed. A detailed explanation is given in the **IASC Operational Guidance on the Provider of Last Resort**.

WASH Cluster Lead Agency

In most countries where the Cluster Approach has been implemented, UNICEF has been the Cluster Lead Agency (CLA) for WASH. Exceptions include shared responsibility with OXFAM in Zimbabwe, and the lead role taken by PAHO/WHO in the Dominican Republic.

If UNICEF capacity in country is weak, another organisation may be given delegated authority by UNICEF, as the Global WASH Lead Agency, to take on the role as CLA at country level.

Similarly, if UNICEF are CLA at country level but have limited capacity in some affected parts of the country, they may delegate authority for Cluster coordination to other agencies at sub-national level. This will need to be formally acknowledged through a Letter of Understanding. UNICEF will ultimately remain accountable to the HC for the effectiveness of the overall WASH Cluster response.

Other Cluster Lead Agencies key to WASH

The WASH CLA works in close collaboration with a number of other CLAs. In particular Health (WHO), Nutrition (UNICEF), Protection (UNHCR/OHCHR/UNICEF), Emergency Shelter (UNHCR/IFRC), CCCM (UNHCR/IOM) and Education (UNICEF/SCF UK). **Matrices** outlining mutual roles and responsibilities, and principle guidelines used in these clusters, can be found in the Appendices.

1.3.2 UNICEF: headquarters and regional

The WCC is likely to have contact with UNICEF at all levels and can approach different parts of the organisation for support:

Global level:

- ✓ Global WASH Cluster Advocacy and Support Team based in UNICEF WES section (see section 8.3).
- ✓ Office of Emergency Programmes (EMOPS): coordination of response, humanitarian information, humanitarian policy, early warning and preparedness, disaster risk reduction, recovery, and humanitarian partnerships.
- ✓ UNICEF's Operations Centre (OPSCEN) is a 24-hour, 7 days-a-week information gathering and dissemination hub within EMOPS.
- ✓ UNICEF resources http://www.unicef.org/wes/index_documents.html.

Regional level:

- ✓ Technical and advocacy support through regional offices in Switzerland, Panama, Thailand, Kenya, Jordan, Nepal, and Senegal.
- ✓ Linking Global WASH initiatives with country Clusters and support with Cluster coordination and local capacity building from Regional Emergency WASH Advisers (REWAs) (see *section 6.2*).

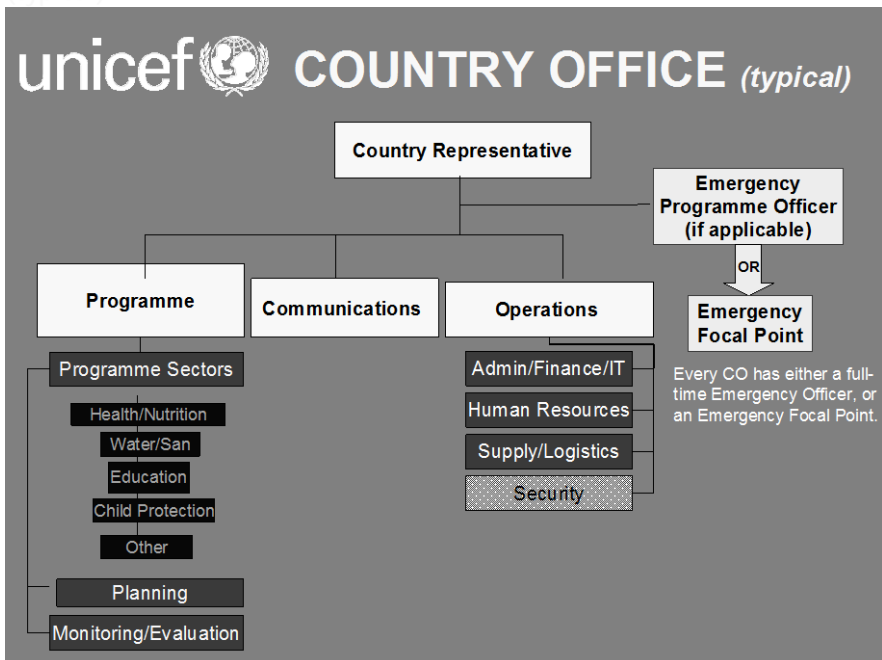
Country level:

- ✓ UNICEF Country Office for technical support in relation to health, nutrition, water, sanitation, hygiene, education, and protection, and administrative and logistical support for Cluster coordination - see details below.

Comprehensive details about UNICEF can be found at www.unicef.org.

1.3.3 UNICEF Country Office

(typical)



Within the Country Office support may be needed, and sourced from all departments, e.g. Programme, Communications, and Operations. CE

Emergency management

Every Country Office has an Emergency Programme Officer or part time focal point. This may be a staff member with another role within the office.

The Emergency Programme Officer is responsible for providing internal briefings and arranging security briefings and updates. WES or health staff can provide local knowledge about the country context, background information about WASH and in-country WASH capacities, and assist in making contacts and sourcing information.

Further guidelines on planning and operational aspects of UNICEF emergency programmes can be found in the **UNICEF Emergency Field Handbook** under Resources below.

The WCC will have contact with, and need to cooperate with, a diverse range of existing and temporary staff, and short-term consultants within the UNICEF Country Office, many involved in emergency-related activities.

Staff can be re-deployed from UNICEF HQ, regional offices or other country offices to assist in the response to a major emergency. Additional personnel may also be brought in as consultants, or through UNICEF's stand-by arrangements (see section 6.2.5 for further details).

WES Programme

WASH projects undertaken directly by UNICEF are the responsibility of the WES (Water, Environment, Sanitation) section within the Country Office. In some countries this may be within the Health section. The CLA role as POLR is most likely to be undertaken by the WES section.

The WCC will need to work in close collaboration with this team, both as a key WASH Cluster actor and a source of technical support and guidance. In some situations, particularly at sub-national level, WES staff will be responsible for managing both UNICEF programmes, and Cluster coordination.

It is important to guard against giving priority or showing preference for WES initiatives, as this will seriously undermine the WCC role as an honest broker. Equally, ensure that the WES team are aware of the need to work through the Cluster coordination mechanism, rather than approaching other agencies directly.

Communications

The UNICEF communications staff can support Cluster advocacy through existing links with the media and donors and expertise in drafting advocacy communications. They are likely to focus on advocacy in relation to fundraising rather than rights, but will still be a valuable resource for the WCC. See *section 7.5* for further details.

Operations

Establishing early contact with UNICEF Operations staff will be key to setting up the Cluster. In particular:

Administration -	for secretarial and IT support, meeting facilities, access to office systems, etc.
Finance -	for operating budget, rental and lease contracts, grant management requirements, etc.
Supply -	for transport, office space, communications, supplies, etc.
HR -	for recruitment of local staff, salaries, insurance, etc.

1.3.4 Operational support for the WCC

Getting support and supplies from the Country Office may prove difficult in practice, particularly as the WCC has no direct access to, or authority over, financial, human, and material resources. Difficulties have been experienced in getting access to vehicles, direct phone lines, email accounts, and general administrative and logistical support.

The following strategies can help to overcome these barriers:

- ✓ Try to clarify requirements in advance and make arrangements for critical items on arrival, e.g. security briefing, ID card, email address, and mobile phone number for the WASH Cluster contact poster (see *section 1.1*);
- ✓ Ask the Country Representative to clarify your role and authority amongst UNICEF staff;
- ✓ It may be useful to attend management team and staff meetings within the Country Office in order to build relations with the staff;
- ✓ Facilitate a briefing for UNICEF staff on the Cluster Approach, the role of UNICEF as CLA, and the role of the WCC;
- ✓ Advocate for separate - but fully equipped - office accommodation (ideally close to other CCs) to promote your role as an 'honest broker';
- ✓ Advocate for employing dedicated local administrative and logistics staff;
- ✓ Detail and agree a specific budget for the Cluster coordination function.

Pre-deployment support

The type of operational support available to a WCC will depend on the emergency situation and the nature of the WCC contract. This will usually be a short-term consultancy contract. See <http://www.unicef.org/about/employ/index.html>. **Practical checklists** for personal and **mission pre-deployment** items can be found under Resources below.

Once in country, immediate arrangements will need to be made for secure office space with administrative and secretarial support, communications (telephone, mobile, VHF radio, Thuraya, etc.), transport, translation, meeting, and photocopying/printing facilities. A useful **'Office-in-a-box' checklist** for stationary and other office requirements, developed by the Emergency Shelter Cluster, is included under Resources below.

Quick checklist for pre-deployment items

- ✓ Short term Service Agreement (SSA)
- ✓ Confirmation of DSA entitlements
- ✓ Cash advance and banking arrangements
- ✓ Visa / residency permit
- ✓ Security / government / police clearance
- ✓ ID / security clearance / pass (involves an e-exam taken before departure)
- ✓ Medical report (completed)
- ✓ Email account and internet access
- ✓ Authority to use UN transport and internal flights (as applicable)
- ✓ Permission to use UN guest house facilities
- ✓ Submit request for a mobile phone with international roaming facility

1.3.5 WCC reporting and accountability

As CLA, UNICEF has responsibility for ensuring that the obligations for Cluster leadership are fulfilled and is accountable to, and should report to, the Humanitarian Coordinator (HC) on all issues related to the WASH Cluster.

Accountability and reporting responsibilities generally rest with the UNICEF Country Representative in major rapid-onset emergencies. However, authority may be delegated to another member of UNICEF programme staff, such as the Emergency Programme Officer or Focal Point, the Chief of WES, or to the national level WCC. Such arrangements are likely in on-going emergencies or countries with an established UNICEF emergency programme.

Example: WASH Cluster accountability arrangements in Sri Lanka

In Sri Lanka, the WCCs at national and sub-national levels report to the Chief of WES, rather than the UNICEF Country Representative. Furthermore, the UNICEF Emergency Focal Point is responsible for reporting to the HC on behalf of UNICEF in its role as CLA for both WASH and Nutrition.

Example provided by Kelly Naylor, WASH Specialist, UNICEF, DRC

The national-level WCC is accountable to, and, required to report to, the UNICEF Country Representative or designated UNICEF (CLA) representative, on all issues related to the WASH Cluster and UNICEF's ability to fulfill its obligations as WASH CLA. In practice, the WCC may also report directly to the HC through inter-Cluster coordination meetings, etc., where the designated UNICEF (CLA) representative is not present.

The WCC is also responsible to the WASH sector, and accountable to the affected populations that the WASH Cluster is trying to serve. *Section 1.4* provides details of the mutual roles and responsibilities of WASH Cluster members.

At sub-national level, the WCC will often be an existing member of UNICEF WES staff. Or in locations where UNICEF is not represented or has limited WASH capacity, sub-national level WCCs may be representatives of other WASH Cluster agencies, such as Oxfam, CARE, Medair, CRS, etc.

1.3.6 UNICEF guiding principles and protocols

UNICEF is likely to be working in-country before an emergency occurs, and this role continues independently of the Cluster Lead role. UNICEF's role in emergencies is to protect women and children, and a typical country programme may cover protection, child and maternal health, education, and nutrition, in addition to WASH.

Core Commitments to Children in Emergencies (CCC)

The CCC outline the minimum requirements for the design and delivery of UNICEF programming in emergencies, to ensure adequate child protection and improved child survival. These commitments are complementary to Sphere, the only difference being that they focus on women and children. A brief **booklet setting out the CCC** can be found under Resources below.

Any projects implemented by, or through, UNICEF under the WASH Cluster, e.g. via a Flash Appeal or the CERF mechanism, are required to support the objectives of the CCC. This can create conflict, as the WASH Cluster mandate is to equitably assist all those affected by an emergency, not only women and children.

UNICEF WASH strategy 2006-2015

The **WASH strategy** provides a guiding framework within which UNICEF country programmes can prioritise their activities. There are three strands, covering:

1. Countries with high child mortality and low WASH coverage,
2. Emergency countries,
3. All other countries where UNICEF is active.

In emergency countries, the focus is on meeting the CCCs as a minimum and meeting coordination obligations as a CLA.

Resources

- 📖 IASC Generic ToR for Sector / Cluster Leads at Country Level
- 📖 IASC Operational Guidance on the Provider of Last Resort, June 2008

- 📖 Emergency Shelter Cluster mission deployment checklist, IFRC, 2006
- 📖 Emergency Shelter CC Personal pre-deployment checklist, IFRC, 2006
- 📖 Emergency Shelter Office in a box checklist, IFRC, 2006

- 📖 UNICEF Core Commitments to Children in Emergencies
- 📖 UNICEF WASH Strategy 2006-2011
- 📖 UNICEF Emergency Field Handbook, 2005

- ▶ <http://www.unicef.org>
- ▶ http://www.unicef.org/emerg/index_33578.html
EMOPS website
- ▶ <http://clustercoordination.org>

1.4 Key Cluster actors and building relationships with them

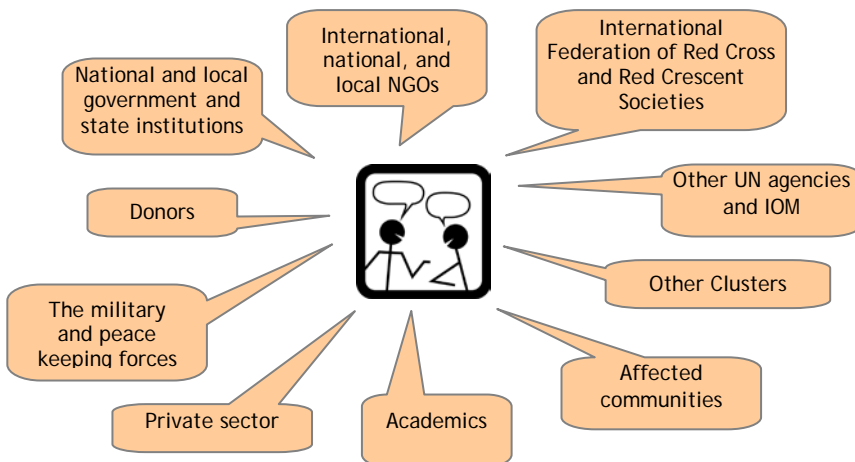
1.4.1 Strategies for promoting the Cluster Approach

The Cluster Approach has been described as an organisational tool to promote improved coordination and partnership; an analytical tool for collective management of all aspects of WASH programming; and a service-delivery tool to improve the quality and effectiveness of WASH services.⁴

Who are the key WASH actors?

Humanitarian partnerships may take different forms, from information sharing, through cooperation, to joint collaborative programming. Often, this entails setting up formal or informal loose associations based on the need to avoid duplication and enhance complementarity.

Successful establishment of the WASH Cluster depends on demonstrating the benefits of participation to key WASH sector actors. It cannot function without their support.



⁴ Learning from the WASH Cluster Approach – Good Practice and Lessons Learned, 2008, ACF

Key points in advocating the Cluster Approach

What is it?

- ✓ A dynamic approach that aims to optimise emergency response capacity through joining forces, supporting the intervention strategy of the authorities, and filling gaps where needed;
- ✓ a pre-determined structure for rapid organisation of relief efforts;
- ✓ a flexible approach, recognising that each emergency is unique.

What is it not?

- ✗ It is not an attempt to undermine the government response, but strives to help strengthen government coordination;
- ✗ It is not UN-centric, depending on the active participation of all IASC members, i.e. UN agencies, the Red Cross Movement, and NGOs.

What does it offer?

To all:

- ✓ a structured approach improving predictability and quality of response;
- ✓ resources and capabilities to respond quickly and effectively;
- ✓ a process for avoiding, and filling, gaps in the humanitarian response.

To government:

- ✓ Continued control with improved speed, coverage, and quality of response;
- ✓ Clear terms of reference and streamlined communications through pre-designated Cluster Lead Agencies;
- ✓ Reduction in workload through Cluster role in organisation and coordination of efforts;
- ✓ Critical external experience and technical expertise;
- ✓ Opportunity for attracting additional resources and popular support.

To INGOs:

- ✓ Access to technical support and clarity on standards of response;
- ✓ Reduced risk of duplication or conflict between agencies or beneficiaries;
- ✓ Increased networking and means to engage with donors and government;
- ✓ Collective power in advocacy, mobilising resources, etc.;
- ✓ Reduced risk of lone decision making and improved accountability to the affected populations.

To donors:

- ✓ More strategic and evidence-based rationale for funding;
- ✓ Greater consistency and reduced duplication between proposals;
- ✓ Closer dialogue and access to a range of implementing partners;
- ✓ A more active role in response planning.

To local actors:

- ✓ Increased chance of involvement in the response;
- ✓ Access to resources and capacity building opportunities;
- ✓ Better understanding of the international aid process, standards etc;
- ✓ Access to donors and potential partners;
- ✓ Means of promoting local interests and initiatives;
- ✓ Better organisation and access to information at local level.

What challenges can be expected in promoting the WASH Cluster?

From the perspective of Cluster partners, Cluster participation may be seen as more work and reduced autonomy, with no guarantee of additional resources. Concerns expressed include:

- ✗ It undermines government authority in coordinating the humanitarian response;
- ✗ Seen as UN centric, favouring the interests of UN agencies;
- ✗ The CLA (UNICEF) will not be objective, particularly in the allocation of resources;
- ✗ Seen as duplication of coordination, a parallel structure;
- ✗ It will be time consuming; too many meetings, demands for information, etc.;
- ✗ It will oppose organisational priorities or mandate, e.g. ICRC, MSF requirement for independence;
- ✗ Lack of confidence in the tangible benefits, e.g. improvements in predictability, effectiveness, and accountability of response;
- ✗ NGO fear of competing or limiting opportunities to generate direct funding through traditional donors;
- ✗ Unwillingness to accept the quality of, or work with, other Cluster actors.

1.4.2 Working with national and local government

As required by international Human Rights, Humanitarian, and Refugee law, it is the **primary responsibility of the state to provide assistance to peoples affected by disaster or armed conflict** within its own territory, when they no longer have the capacity to cope.

The Cluster Approach aims to help government and local authorities in doing this, through identifying who to approach in relation to the different sectoral needs.

Ideally, coordination under the Cluster Approach should be a shared activity, led by government with support from the HCT and designated CLAs. In practice, this depends on the emergency context and the willingness and capacity of government actors to lead or participate in humanitarian activities.

In many cases it will come down to personal relations and even the interest and commitment of particular individuals. Perseverance may be needed in finding the most productive people to work with.

The better the personal relationships, the better the coordination

Ways to promote partnership with national and local government?

- ✓ Advocate for close collaboration amongst WASH sector actors;
- ✓ Supporting the government's response efforts, e.g. The Myanmar joint assessment (Refer to *section 4.1 Resources*) facilitated linking national priorities and Cluster recovery efforts.
- ✓ Adapt the Cluster Approach to government coordination structures.
- ✓ Advise on modification or application of national policy and standards, e.g. in Bangladesh, the WASH Cluster supported development of clearer national standards for pond cleaning and pond sand filtration.
- ✓ Exchange information with government actors so that they are fully informed of response planning, capacities, and results.
- ✓ Build government capacity through shared planning, decision making and review, and inclusion in training and learning activities.
- ✓ Advocate for impartiality in conflict situations.

1.4.3 Role of WASH Cluster partners

The WASH Cluster structure and its coordination mechanisms will need to accommodate the interests of all sector actors, whether or not they are participating, to:

- influence and engage in WASH Cluster response plans,
- share information,
- or simply to observe.

What is expected of WASH Cluster partners?

That they will:

- ✓ Endorse the overall aim and objectives of the WASH Cluster.
- ✓ Be proactive in exchanging information and reporting, highlight needs, gaps, and duplication, mobilise resources (financial, human, material), engage with affected communities, build local capacity.
- ✓ Share responsibility for WASH Cluster activities, including assessing needs, developing plans, and developing policies and guidelines through working groups.
- ✓ Respect and adhere to agreed principles, policies, priorities, and standards.
- ✓ Work as a team

The value of multiple stakeholder involvement is in the diversity of partners and the potential complementarities between them. The WCC role is to find the

strengths within this diversity and maximize the complementarities that can be drawn from it.

As WCC you may need to consider various forms of partnership: from shared assessments and joint programming, e.g. with agencies contracted to implement projects with funding administered through the CLA, to looser associations based on the need to share information, avoid duplication, and enhance complementarities. However, there are challenges to establishing and sustaining partnerships,⁵ including:

- ✗ **competition** - for visibility and funding;
- ✗ **participation levels** in Clusters - not all Cluster partners can or want to engage in the Cluster in the same way;
- ✗ engaging key humanitarian actors who have **sufficient and independent sources of funding**;
- ✗ **including national and local actors** in Cluster proceedings, and building their capacity;
- ✗ **diversity** - accommodating and engaging the wide-ranging interests and mandates of government, and national and international NGOs;
- ✗ **working with national authorities** where government institutions are weak or are party to a conflict;
- ✗ **managing conflict of interests** as WCC when your agency controls the funding and wants to control the priorities.

Recommendations for developing effective partnerships

1. Develop clear and jointly agreed ToR for the WASH Cluster as a whole to encourage Cluster partners to undertake their agreed responsibilities.
2. Avoid drafting individual ToRs or Letters of Understanding with individual Cluster partners unless a similar agreement is in place at global level.
3. Facilitate joint working and shared responsibilities, e.g. through local coordination arrangements, technical and working groups, joint project implementation, while recognising that government and NGO resources may be limited.

Extract from Implementation of the WASH Cluster Approach – Good Practice and Lessons Learned, 2008, ACF

⁵ From Partnerships in Clusters - <http://www.humanitarianreform.org/humanitarianreform/Portals/1/Hom%20page/Training/Workshops/One%20day/Partnership.doc>

Accountabilities within the Cluster

The Cluster Approach does **not** require that Cluster partners be held accountable to the WASH CLA or CC. Individual agencies can only be held accountable to the CLA when they have a contractual obligation e.g. as an implementing partner for projects funded through the CLA.

However, the WCC, in collaboration with government, may develop **WASH Cluster ToR** for endorsement by those agencies involved in implementation and decision making, to ensure that they are clear about WASH Cluster expectations, and committed to working within agreed principles, policies, and priorities. See an example in Resources below.

Conversely, the WCC and CLA are responsible to the WASH Cluster partners. Concerns or complaints about their performance can be taken to the HC, who will consult with the UNICEF Country Rep and Global WASH, and where necessary, propose alternative arrangements.

1.4.4 Identifying potential Cluster partners

Alongside the need for equitable involvement of WASH stakeholders, there is also the need to be strategic, and certain WASH actors can be seen as critical to an effective WASH sector response. These include:

- ✓ Principal government partners at national and sub-national level;
- ✓ UN agencies and INGOs with established presence in country;
- ✓ INGOs, national and local organisations with proven experience in the sub-sectors of WASH that are key to a particular response;
- ✓ INGOs with reliable access to financial, human, and material resources without dependence on pooled funding;
- ✓ Other Clusters whose activities will complement, or potentially overlap with WASH;
- ✓ Donors with an expressed interest or tradition in supporting WASH.

Strategies for engaging Cluster partners

- ✓ Source information about WASH sector actors and donors through the relevant government ministry, existing coordination groups, NGO registration details, word of mouth, the RC/HC, or other Clusters.
- ✓ Establish immediate contact with decision makers within strategic organisations and keep them fully informed through personal contact.
- ✓ Ask Cluster partners to complete a brief **Agency Profile** document. This will provide basic information for assessing sector capacity and starting a WASH Cluster Contact List (see example below).

WASH CLUSTER
Georgia
IDP Emergency Response

PARTNER CAPACITY

NAME OF AGENCY	
COUNTRY DIRECTOR (Name & E-Mail)	
WASH FOCAL POINT (Name, Mobile, E-Mail, Location)	
No. of STAFF (National & International)	
APPROX BUDGET (inc % of Water, Sanitation, Hygiene)	
DESCRIPTION OF OPERATIONS (including Number of Beneficiaries by age and gender)	
LOCATIONS OF OPERATION	
ACHIEVEMENTS TO DATE	
FUTURE INTENTIONS (2009)	
ADDITIONAL RESOURCES REQUIRED (Human, Financial, Material – if any)	

Date Completed & By Whom

- ✓ Provide briefings and disseminate information about the Cluster Approach and de-mystify concepts such as the Provider of Last Resort.
- ✓ Widely disseminate details of the Cluster Support Team, contact details and meetings through the HC, UNOCHA, and government channels, relevant web-sites, email lists, and **posters** in meeting places

(an example is included under Resources). Ensure that information is also available in local languages.

The mandate of agencies such as ICRC and MSF may prevent them coordinating with the WASH Cluster, but they are a key actor in the WASH response. In some previous emergencies they have also offered critical support to the WASH Cluster Agency and WCC in addressing gaps and resource shortages.

Although unable to formally coordinate with the Cluster, these agencies should be encouraged to participate informally in Cluster meetings and in the exchange of information.

Engaging with local actors

The 2007 Evaluation of the Cluster Approach highlighted weaknesses in the development of partnerships with national and local NGOs. Although improving partnership is the foundation of the humanitarian reform process, national and local NGOs had seen no significant improvement in opportunities for participation, partnership, or funding through the Cluster Approach.

National and local NGO involvement is often constrained by lack of funding or resources, language, organisational culture, access to information, and the overall organisational capacity of civil society.

Participation can be improved through:

- ✓ providing information and resources in local languages,
- ✓ maintaining simple Information Management and reporting tools,
- ✓ working within existing local structures,
- ✓ facilitating partnerships between more experienced Cluster actors and less experienced national and local NGOs through training, small scale funding, and shared Cluster responsibilities, and,
- ✓ providing meaningful opportunities for involvement in decision making.

A range of other institutions within and outside the WASH sector may also strengthen, or be influential to, the WASH Cluster response.

- **Traditional authorities, elders, religious leaders**, etc., for example in resolving land and water rights, community mobilisation.
- **Academic and research-based institutions**, e.g. for expertise, information, personnel, equipment.
- **Civil society / professional associations**, e.g. umbrella orgs (women, youth etc) and professional institutions (for expertise, personnel, local knowledge, mobilising materials, equipment).
- **Faith based orgs**, e.g. missions (for accommodation, warehousing, staff, local expertise).
- **Police, customs**, etc., for example in enabling access, security, clearances, etc.
- **Media**, e.g. radio, newspapers (for information dissemination, advocacy).

Strategies used to get national and local NGOs on board

Uganda - working within an existing coordination structure enabled the WASH Cluster to establish links with over 150 NGO members of the Uganda Water and Sanitation NGO Network (UWASNET).

Myanmar - problems of access and an IASC team focused on partnerships placed strong emphasis on the engagement of local NGOs. Strategies used included:

- ✓ CLAs providing translation on demand;
- ✓ Establishment of a local NGO Resource Centre to facilitate meetings with local NGOs, provide bi-lingual note taking services for meetings, provide information and advice to local NGOs on the humanitarian process including the Cluster Approach and Flash Appeal and CERF funding mechanisms;
- ✓ Organisation of a UN/INGO/local NGO networking day;
- ✓ Promotion of the Principles of Partnership (see *section 8.1*) and a 'Good Partners' checklist among humanitarian actors.








DRC - reaching out to local organisations through a highly decentralised sub national coordination structure, and striving to increase pooled funding as a 'pull factor' in attracting national and local NGOs to the WASH Cluster.

Maintaining relations with Cluster partners

Maintaining Cluster participation can be as big a challenge as getting actors on board at the outset. Learning from WASH Cluster experience has underlined a number of key points:

- ✓ Without the opportunity to express concerns and influence the Cluster, partners will soon lose interest. Offer meaningful **opportunities for involvement and feedback**, e.g. through technical and working groups.
- ✓ Cluster partners will resent excess decision making 'on their behalf'. **Devolve Cluster ownership and decision making**, e.g. rotate the chair, rotate membership of steering or technical groups, avoid creating a cluster 'elite'.
- ✓ As WCC, ask for, and **respond to feedback, and acknowledge the contributions** - big and small - of Cluster partners.
- ✓ Cluster partners will already have multiple and diverse demands for information - keep **information demands to a minimum**.
- ✓ Providing **interpretation, translated materials, accessible information and consultation forums at local level** will facilitate on-going participation of local Cluster actors

Resources

-  CRD Desk Officers Toolkit, 2007
Includes examples of advocating for the Cluster Approach with national authorities in Ethiopia and The Philippines (pp 6-9)
-  IASC Operational Note - **Coordination with government** / local authorities.
Basic list of points to consider in engaging with government actors.
-  WASH Cluster - **Terms of Reference for Cluster Partners**, Bangladesh, Feb 2008
-  IFRC **Terms of Reference, Emergency Shelter Cluster Partners**, B3 Associates, Nov 2006
Sample ToR which could be adapted for cluster partners
-  'How to Contact Us' poster, ESC sample, Yogyakarta
-  **WASH Cluster Partner Profile document, Georgia, Jan 2008**
-  **Emergency Shelter Cluster, Partner Summary template, Yogyakarta**

1.5 Coordination with other Clusters and groups

1.5.1 Inter-Cluster coordination

a) Role of UN OCHA in inter-Cluster coordination

Once the decision to implement the Cluster Approach is taken by the HC (refer to *section 8.2*), **UN OCHA** plays a key role in supporting the HC and HCT in four key areas of competency:

- Coordination
- Information Management
- Advocacy and Resource Mobilisation
- Policy Development

OCHA's role is **NOT** to:

- ✗ manage individual Clusters,
- ✗ provide secretarial support.

Coordination

OCHA is responsible for addressing coordination needs and putting in place an appropriate coordination structure at all levels: national and sub-national (regional/provincial and district). Key activities include:

- **Supporting the HC and identifying partners** for the HCT and individual Clusters. Then working with these humanitarian actors to determine appropriate mechanisms for Cluster coordination and participation in inter-agency meetings.
- **Building and maintaining cross-cluster linkages** through chairing inter-Cluster meetings, establishing common Information Management systems, etc. to ensure that there is an effective mechanism for coordinating and streamlining individual Cluster operations, and regular strategic review of the overall situation.
- **Facilitating cross-Cluster strategic planning and assessment processes**, such as coordinated rapid assessment, pooled funding appeals, and contingency planning. Along with ensuring linkages between preparedness and early warning, emergency response, and longer-term recovery and development strategies.
- **Mainstreaming cross-cutting issues**, including advocating for adherence to relevant IASC policies (see the list of policy documents under Resources in *section 8.1*)

Information Management

OCHA's responsibilities for Information Management are set out in *section 3.3*.

Advocacy and Resource Mobilisation

- Working with partners to identify key **common advocacy concerns**.
- Supporting the HC in developing and **implementing inter-agency advocacy strategies**.
- **Advocating for donors** to fund Cluster partners in carrying out priority activities.
- Advising individual Clusters and the HCT on **funding mechanisms**.

Policy Development

- Advocating for **adherence to humanitarian principles, policies and standards** as defined in international humanitarian law, the Code of Conduct, etc. The WASH CLA is responsible for advocating for, and monitoring the application of humanitarian policies and technical standards among WASH Cluster partners (see *section 8.1*).
- Disseminating policy and **guidance on the Cluster Approach** and development in the broader humanitarian reform process.

OCHA expects that the WCC will:

- ✓ Understand and apply IASC policies,
- ✓ Support overall strategic objectives of the HCT,
- ✓ Lead and represent the WASH Cluster,
- ✓ Facilitate effective coordination within the WASH Cluster,
- ✓ Support OCHA by providing meaningful input to the inter-Cluster coordination process.

b) Principle inter-Cluster linkages with WASH

The WASH Cluster has overlapping responsibilities with a number of other Clusters (in particular Health, CCCM, and Emergency Shelter). **Matrices** setting out agreed mutual roles and responsibilities have been developed at global level, and are included in the Appendices. These provide a framework for agreeing shared responsibilities at country level.

In addition, the following key reference documents for other Clusters are in the Resources section below:

- Camp Management Toolkit
- INEE Minimum Standards for Education in Emergencies
- Handbook for the Protection of Internally Displaced Persons
- IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings
- Community based management of severe acute malnutrition

Cluster	Link with the WASH Cluster
Health	<ul style="list-style-type: none"> shared surveillance and monitoring of public health indicators. identify water, sanitation, or hygiene-related health issues/hotspots and outbreaks. verify standards and support needed for WASH and health care waste management in health care settings. agree coordinated strategies for vector control and hygiene promotion outreach.
CCCM	<ul style="list-style-type: none"> agree roles and responsibilities in camp settings with relation to WASH. input to site planning, especially for adequate sanitation. agree implementation and monitoring roles.
Emergency shelter	<ul style="list-style-type: none"> ensure adequate WASH planning for settlements, from emergency to recovery. coordination of NFIs, including plastic sheeting.
Protection	<ul style="list-style-type: none"> ensure awareness of all protection issues, and design WASH facilities to ensure populations are not put at additional risk.
Education	<ul style="list-style-type: none"> include WASH in schools and child friendly or learning spaces. child friendly designs and promotion of child participation in WASH programme planning, and hygiene promotion.
Nutrition	<ul style="list-style-type: none"> ensure effective WASH information collection and alerts from nutrition assessments and surveys.

Maintaining inter-Cluster linkages will help facilitate the use of common Information Management processes and tools, sharing of useful assessment and monitoring data, and working to common standards. The document **‘Key Things To Know’** in the Resources section provides background information about all 11 Clusters, including principal partners, tools and support services, contact details, etc. Check www.humanitarianreform.org for the most up-to-date information.

The WCC or dedicated WASH Cluster focal points will need to attend the other key Cluster meetings and play a proactive role in promoting shared activities and information exchange. In Uganda, the WASH Cluster elected focal points who were also active in another Cluster, and therefore familiar with the requirements and constraints of working in both sectors, e.g. Oxfam in shelter.

c) Inter-Cluster coordination meetings

Participation in inter-Cluster coordination meetings is a key part of the WCC role. Chaired by the HC or a UN OCHA Coordinator, these meetings are often daily in the early response, when a significant amount of interaction is needed in agreeing

baseline data, common indicators, planning and organising assessments, and coordinating Flash and CERF appeals.

Inter-Cluster meetings are also key to addressing matters of concern to all Clusters, such as priority cross-cutting issues, contingency planning, emergency preparedness, early recovery, and advocacy issues, e.g. import taxes, registration.

1.5.2 Other coordinating bodies

In situations where there is an existing sectoral coordination mechanism, particularly when government-led, difficulties may be experienced in introducing the Cluster Approach. If needed, get support from the HC and CLA, in order to build on this mechanism.

Working in collaboration with government disaster management mechanisms is particularly important. As seen in Uganda, basing field-level Cluster coordination within the district-level disaster management structure paid significant dividends in engaging and building local capacities. Despite the challenges, in the long term it is likely to be a more sustainable approach.

1.5.3 Relationships with peace keepers and the military

Coordination with the military or peace-keeping forces may be necessary in a complex emergency situation and should where possible be undertaken through UNOCHA and the inter-Cluster coordination mechanism. Any interaction must respect humanitarian law and serve the primary purpose of relieving humanitarian suffering and assuring protection and assistance for all non-combatants affected by conflict or disaster.⁶

It is important for all WASH Cluster actors to be aware of, and guard against, the risks of too close an affiliation with the military, or even giving a perception of the same, as it can:

- ✗ Put the affected population and humanitarian workers at greater risk;
- ✗ Compromise the independence, impartiality, and neutrality of the humanitarian response;
- ✗ Increase tension and conflict;
- ✗ Fuel discrimination and increase suffering for vulnerable groups.

In some situations, negotiations may be necessary to:

- ✓ ensure assistance and protection for vulnerable groups,
- ✓ gain access to affected populations,
















⁶ Refer to the Sphere Humanitarian Charter and The Code of Conduct

- ✓ maintain and protect humanitarian space,
- ✓ provide critical additional capacity which cannot be drawn from civilian sources.

See Resources for the **IASC guidelines on Humanitarian Negotiations with Armed Groups** and **IASC Civil-Military Guidelines and Reference for Complex Emergencies**.

Particular care is needed in the use of military assets to support humanitarian action. This may include air and road transport, armed escorts, or joint humanitarian-military operations, and such measures should only be taken as a last resort when there is no civilian alternative. Further details can be found in the **Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief** below.

Resources

-  **IASC Key things to know about Clusters**
Overview of key information about all 11 Clusters.
-  **WASH & CCCM Roles and Responsibilities Matrix - Inter-Cluster mapping**
Sets out mutual roles and responsibilities between WASH and CCCM.
-  **DRAFT Responsibilities and Accountabilities Matrix - Health, Nutrition and WASH (Water Sanitation Hygiene) Clusters, Feb 2008**
Sets out mutual roles and responsibilities between WASH, Health and Nutrition Clusters.
-  **DRAFT Responsibilities and Accountabilities Matrix - Education and WASH (Water Sanitation Hygiene) Clusters, May 2008**
Sets out mutual roles and responsibilities between WASH and Education.
-  **DRAFT Responsibilities and Accountabilities Matrix - Emergency Shelter and WASH (Water Sanitation Hygiene) Clusters, May 2008**
Sets out mutual roles and responsibilities between WASH and Emergency Shelter.
-  **OCHA's Role in Humanitarian Response, Power Point, UNOCHA**
-  **Camp Management Toolkit, NRC, 2008**
Guidelines for interventions in CCCM.
-  **INEE Minimum Standards for Education in Emergencies, Chronic Crises and Early Reconstruction, 2006**
Guiding principles for interventions in education.
-  **IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings, 2007**
Guiding principles and considerations for protection and mental health.
-  **Handbook for the Protection of Internally Displaced Persons, Global Protection Cluster Working Group, 2007**
Guiding principles for protection.
-  **Community based management of severe acute malnutrition, A joint statement by WHO, WFP; UN Standing Committee on Nutrition and UNICEF, 2007**
Agreed standards for managing acute nutrition.
-  **IASC Humanitarian Negotiations with Armed Groups, 2006**
Guidance on the rationale and legal basis for negotiating with armed groups (ch 1-3), and negotiation tips on different issues (ch 4-6).
-  **Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief, version 1.1, Nov 2007**
-  **IASC Civil-Military Guidelines and Reference for Complex Emergencies, 2008**
-  <http://www.humanitarianreform.org>
Updated resources, guidelines, and tools for all Clusters.

- ▶ <http://ochaonline.un.org/AboutOCHA/Organigramme/EmergencyServicesBranchESB/CivilMilitaryCoordinationSection/PolicyGuidelinesRelatedDocuments/tabid/4938/language/en-US/Default.aspx>
Resources on civil military cooperation.

2

MANAGING CLUSTER
COORDINATION

Chapter Two relates to the **following WCC responsibilities**:

- ✓ Managing coordination at national and sub-national levels among WASH Cluster partners and other actors outside the WASH Cluster;
- ✓ Reporting.

The chapter is split into the following **five sections**:

2.1	Coordination essentials and common challenges	<ul style="list-style-type: none"> ▪ A progressive approach to effective coordination ▪ Common barriers to coordination
2.2	Managing and facilitating Cluster meetings	<ul style="list-style-type: none"> ▪ Planning and preparation ▪ WASH Cluster coordination meetings ▪ Facilitating meetings ▪ Managing information for meetings
2.3	Managing contacts and communication	<ul style="list-style-type: none"> ▪ Communication systems ▪ Managing contact information
2.4	Reporting	<ul style="list-style-type: none"> ▪ Reporting requirements, and why reporting is important ▪ Reporting responsibilities within WASH ▪ Reporting formats
2.5	Negotiation, consensus building and conflict resolution	<ul style="list-style-type: none"> ▪ A collaborative approach ▪ Negotiation skills within the WASH Cluster ▪ Consensus building in Clusters ▪ Conflict resolution

2.1 Coordination essentials and common challenges

Principles for Cluster coordination

- ✓ All Cluster partners are equal and have an equal voice.
- ✓ Needs of the most vulnerable are prioritised.
- ✓ Individual Cluster partners are willing to adjust their programmes, and work on priorities agreed collectively by the Cluster.
- ✓ Relevant information is shared within the Cluster (horizontally and vertically) in a timely manner.
- ✓ Cluster partners are accountable to affected communities, to each other, to donors and to the HC.
- ✓ The comparative strengths and complementarities of different Cluster actors are recognised and drawn on to maximise the effectiveness and impact of the WASH Cluster response.
- ✓ A clear separation from military and political interests and operations is maintained.

Adapted from www.clustercoordination.org

2.1.1 A progressive approach to effective coordination

Coordination is teamwork, make each Cluster partner feel part of it. Without being too strict about the sequence, you can adopt a progressive approach.

i. As a start, have the partners sharing information on

- mandates, objectives, roles, and responsibilities,
- resources and capabilities,
- areas of operations, projects, and priorities,
- sources of data and perception of the general context.

ii. As a next step, have the partners work together at

- assessing needs, setting standards, and mobilising external resources,
- ensuring access to the beneficiaries,
- building local and national capacities, and training their own staff.

iii. In a more advanced phase, you will find that the team can share plans and resources through:

- joint planning: contingency, strategic, and operational,
- implementing joint operations,
- sharing their experts, security systems, and logistics.

Key strategies for effective coordination

- ✓ **Be inclusive** - involve and encourage all key WASH actors, including local organisations and authorities.
- ✓ **Build relationships** - network, communicate, and address any negative attitudes to the Cluster Approach.
- ✓ **Complement and strengthen** existing coordination structures, standards, and guidelines.
- ✓ **Respect differing** mandates, priorities, approaches and resources, and ensure that local knowledge is harnessed.
- ✓ **Act as an Honest Broker** and build trust through transparency and openness.
- ✓ **Share information and collaborate** in key coordination activities, e.g. assessments, planning , standard setting, monitoring, and review.

However, there are often challenges and barriers to coordination which WCCs have to overcome,⁷ such as:

Common barriers to coordination	Tips to overcome them
<p>Autonomy is threatened:</p> <p>The perception that coordination will reduce partners' freedom to make decisions and run their own programmes.</p>	<p>Have frank and open discussions about mutual goals for the coordination efforts and build these into a WASH Cluster Strategy (see <i>section 5.2</i>).</p> <p>Demonstrate that collective problem solving can still allow freedom of action within programmes.</p>
<p>Too many players involved:</p> <p>Concern that too many decision-makers or organisations will complicate the process and make any consensus and/or agreement, difficult to achieve, or so broad that it becomes meaningless.</p>	<p>Establish a smaller steering or advisory group representing all stakeholder groups.</p> <p>Consider a range of forums for different activities, e.g. information sharing, decision-making, and problem solving, and involve all Cluster actors as appropriate.</p>

⁷ Adapted from Coordination Challenges for Clusters, IFRC and B3 Associates, www.clustercoordination.org

Poor commitment and failure of decision makers to attend meetings:

Meaning some agencies constantly have to refer to headquarters before committing resources etc.

Unilateral actions:

Cluster partners ignore established coordination mechanisms and processes.

Ineffectual or inappropriate coordination leadership:

Decisions are imposed without a transparent process of involvement; certain organisations dominate.

Coordination process not working well:

Cluster has unclear objectives, and is seen to waste time without obvious benefits to those participating in it.

Cluster agencies protect their domain:

Cluster actors contest the involvement of other organisations, selection of beneficiary groups, priorities, and programme approaches, and compete over visibility and areas of geographic or thematic focus.

Clarify where and when decisions need to be made; communicate clearly and set up an appropriate forum (as above).

Establish decentralized coordination mechanisms at country and field levels.
Establish deadlines for decisions .

Consult and agree ToR for the Cluster with all partners, and reinforce agreed guiding principles.

Engage the Cluster in finding solutions to overcome such unilateral actions in future.

Ensure equitable representation of Cluster stakeholders in the steering/advisory group and encourage broad involvement in technical and working groups.

Periodically evaluate satisfaction levels within the Cluster coordination and decision-making process, e.g. through the Performance Review process.

Involve partners in the coordination process, e.g. rotate the chair.

Provide useful information and services.

Provide clear objectives that can be followed up.

Monitor agency actions to identify delivery failures.

Improve clarity of Cluster response plans and operational arrangements as needed.

Adopt a systematic process for response planning with transparent steps for prioritization, allocation of areas and thematic responsibilities, etc. (see *section 5.2*)

Develop an agreed policy framework such as the SOF (see *section 5.1*).

Ensure broad representation in decision making through working groups, etc.

Consider bi-lateral funding opportunities in addition to pooled funds.

Knowledge, language and working practices are assumed:

Cluster actors will have different levels of knowledge, technical expertise, working practices, and command of language, affecting decision making.

CLA is not accepted as an honest broker.

See section 1.1

Slow or insufficient mobilization of human, financial or material resources:

Limited ability to mobilize collective resources or capitalize on opportunities.

Lack of authority to address poor performance

See section 1.1

Lack of confidence:

Cluster actors are hesitant to share information, opinions or concerns in public, or have concerns over their legitimacy.

Information management constraints:

Quality and flow of information

Draw on technical input from respected third parties, e.g. national research and professional bodies, government departments, other Clusters, international experts.

Adopt simultaneous translation (see *section 2.3*).

Focus on facilitation and supporting the government lead.

Ensure broad participation and transparent processes for sensitive decisions, e.g. allocation of response activities, project selection for funding appeals, etc.

Invest in IT expertise, systems and tools for accurate details of resource requirements, and availability, and in advocating for support.

Seek external or third party advice on likely resource requirements, e.g. CLA, OCHA, other Clusters, and Global WASH.

Draw on authority of government partner.

Monitor WASH response.

Name and shame.

Maintain regular personal contact and provide opportunities for private and confidential feedback.

Encourage and acknowledge all contributions.

Ensure anonymity of assessment data.

Identify donors, the media, other Cluster reps, etc. in meetings.

See details under section 3.1.4

Resources

- <http://www.clustercoordination.org/>

2.2 Managing and facilitating Cluster meetings

Meetings are essential to communicating in disasters, but they frequently produce limited outcomes. Creating a format and process that produces results is vital. Here are some essential questions to consider before any meeting:

2.2.1 Planning and preparation

WHY	<p>What are the purpose and expected outcomes of the meeting?</p> <ul style="list-style-type: none"> ▪ <i>Give or share information, feedback, reports</i> ▪ <i>Generate ideas</i> ▪ <i>Find solutions / solve problems / make decisions</i> ▪ <i>Develop trust, relationships, teams</i> <p>Who needs to agree these objectives? What do partners want from the meeting? Is the meeting part of a continuous process?</p>
WHAT	<p>What topics need to be on the agenda?</p> <ul style="list-style-type: none"> ▪ <i>Use the agenda to explain how different topics will be handled, and for how long. List what people need to bring.</i> <p>Is the agenda circulated beforehand? Bring spare copies!</p>
WHO	<p>Who should attend? Are the right people available?</p> <p>Is there a protocol for invitations, e.g. to technical or working group meetings?</p>
WHERE	<p>Which is the best location and venue to suit everyone?</p> <p>Does it have the space, equipment, ventilation, catering needed?</p> <p>What is the best layout for the style of meeting: formal or informal?</p>
WHEN	<p>When is the best time for this meeting? Is there a clear start and finish time which is culturally acceptable to all, e.g. respecting prayer times? Avoid conflicting with other coordination or Cluster meetings.</p> <p>Is there sufficient time to achieve the objectives? What breaks will be needed? Will it be free from interruptions?</p>
HOW	<p>What is the best way to start, engage all cultures, encourage contributions, and clarify purpose and expectations? <i>For example</i></p> <ul style="list-style-type: none"> ▪ <i>Introductions, ground rules, ice-breakers</i> <p>What translation and interpretation is needed?</p> <p>How will you record, clarify, and circulate decisions and actions? For example, on a flipchart or whiteboard, or in minutes?</p>



Role of the WCC in meetings

As WCC you will be required to attend a wide variety of meetings: Cluster coordination meetings, meetings with government, inter-Cluster meetings, etc. In each meeting your role may differ:

- ✓ **As the chair**, your role is to facilitate the meeting in such a way that the collective wisdom of the attendees is tapped into, while keeping discussions in line with the meeting's objectives.
- ✓ **As a partner**, your role is to prepare for, and engage constructively in meetings, so that results can be accomplished.

2.2.2 WASH Cluster coordination meetings

The quality of WASH Cluster coordination meetings will significantly affect continuing attendance of Cluster partners and the ultimate effectiveness of coordinating the WASH sector response.

The WCC is often the only person being paid to be at WASH Cluster coordination meetings, for everyone else it is a **voluntary process** ... and one of many.

Section 1.1 provides specific guidance on setting up the first few WASH Cluster coordination meetings. In addition, key learning points from the review of the WASH Cluster Approach and individual Cluster Coordinators include the need to:

General advice:

- ✓ **Advocate strongly for government involvement in chairing or co-chairing meetings**, particularly in the early response.
- ✓ **Provide refreshments** - this helps to create a positive atmosphere.
- ✓ **Develop standard templates** for agenda and meeting notes, to facilitate consistency and ease of cross referencing.
- ✓ **Make provision for simultaneous interpretation** during the meeting, and translation of the meeting agenda and meeting notes.

One Note software can be used to **record and project live minutes** onto an overhead screen in one or more languages.

Meeting preparation:

- ✓ **Rotate the chair** - even if the venue cannot be rotated, rotating the chair helps to facilitate broad engagement and keep agencies involved.
- ✓ **Offer to rotate the meeting venue** - this needs to be agreed in the initial meetings and can help to keep agencies involved. However, maintaining the same time, and place, also avoids confusion and time for attendees. The hosting agency may also be responsible for chairing and / or producing the minutes, taking the burden off the WCC.

Consider whether **venues are appropriate** for all Cluster actors, e.g. national and local agencies have experienced security restrictions, or felt uncomfortable attending meetings within UN compounds or in expensive hotels that are used mainly by expatriates.
- ✓ **Prepare people in advance** - circulate notes from the previous meeting and a clear **agenda** (see samples under Resources).
- ✓ **Engage and confirm attendance of decision makers** - encourage their involvement in meetings through maintaining regular, personal contact. If they cannot attend, ensure that key decision makers receive a brief (one page) written or verbal update of the meeting's outcomes.
- ✓ **Display updated visual representation of who is doing what, where, and when** in the meeting, e.g. maps, charts or matrices.

Key tips for a Meeting Agenda

- ✓ The agenda is what entices people to attend a meeting;
- ✓ State who needs to attend and identify which agenda items are for information sharing, which are for discussion, and those around which a decision will be made;
- ✓ Outline the purpose of each agenda item in a little more detail;
- ✓ Include an 'urgent issues' item to ensure that something is done to address critical issues from Day 1;
- ✓ Once the agenda is circulated, follow up with key agencies to ensure that appropriate decision makers attend.

During the meeting:

- ✓ **Restrict introductions** to representatives from new agencies.
- ✓ **Minimise discussion of old agenda items or policy**; refer people to previous meeting notes or display core information on posters, e.g. Cluster strategy, principles etc.

- ✓ **Limit discussion of detailed or specialised issues** to separate committee or working group meetings.

Follow up and persist in ensuring **completion of actions points** prior to the meeting.

Committed Cluster partners may not attend your meeting again if they find that action points have not been addressed.

- ✓ **Avoid going round the table for updates** from partners; use the **Agency Reporting** and monitoring mechanisms (see section 3.2) for tracking agency activity and limit discussion in meetings to an overall summary.

- ✓ **Review action points at the end of meetings** rather than the beginning. As most issues will come up anyway during the

course of the meeting; this avoids time wasted by discussing them twice.

- ✓ **Remind people to update the contacts list.**

Following the meeting:

- ✓ **Ensure prompt feedback** on decisions taken, agreed actions, etc. through brief **meeting notes** (see examples under Resources)
- ✓ **Follow up on agreed actions** - with decision makers, working groups, etc. to ensure that issues are moving forward and facilitate continuity through brief updates at the next meeting.

Writing up meeting notes places a significant burden on the WCC; consider getting the support of an **intern or local student** to assist.

A **practical checklist** of points to consider in planning and preparing for a Cluster Coordination meeting is incorporated under Resources.

2.2.3. Facilitating meetings

Chairing the WASH Cluster Coordination meeting is likely to be a major challenge - balancing the need to be seen as impartial, independent, a good listener, and open, with the importance of achieving the task facing the Cluster. The emphasis of the WCC role is on bringing discussions to a conclusion through focusing on the meeting process, as much as the content of the discussions themselves.

An effective facilitator....

Initiates	<ul style="list-style-type: none"> ✓ Makes suggestions on how the meeting can proceed. ✓ Encourages ideas from others. ✓ Looks for connections between others ideas. ✓ Limits their own opinions and ideas in order to remain neutral.
Encourages positive reactions	<ul style="list-style-type: none"> ✓ Checks the level of support and agreement for others ideas. ✓ Encourages reasoned disagreement to ensure constructive debate. ✓ Stays positive and focused on the purpose of the meeting.
Clarifies	<ul style="list-style-type: none"> ✓ Asks open-ended questions. ✓ Restates an idea or thought to make it more clear. ✓ Checks that others have understood. ✓ Limits too much detailed explanation from others, bringing the discussion back to the agenda item.
Summarises	<ul style="list-style-type: none"> ✓ Summarises regularly key points in the discussion, agreements, action points, etc. ✓ Arranges for a volunteer to record salient points as they arise; this helps the group stay focused, avoids repetition, and helps reach consensus.
Controls participation	<ul style="list-style-type: none"> ✓ Creates opportunities for everyone to participate and feel that they are listened to and their contribution valued. ✓ Encourages wide participation, and asks for information and opinions, especially from smaller NGOs and donors. ✓ Prevents exclusive side conversations. ✓ Avoids strong characters dominating, e.g. by moving from one speaker or topic to another.
Uses non-verbal and verbal signals	<ul style="list-style-type: none"> ✓ Listens actively. ✓ Allows time and space for reflection by pausing between comments. ✓ Combines body language and speech to communicate, e.g. uses eye contact to encourage or discourage particular behaviours. ✓ Is aware of cultural differences. Neutrality is important here, so that we don't encourage some people more than others.

Even an experienced facilitator will face some difficulties. Some of the common challenges experienced in facilitating WASH Cluster coordination meetings are outlined below, along with suggested strategies to address them.

Meeting challenges	Strategies to address them
Getting the people you need to attend	A clear agenda clarifying who needs to attend and the purpose, timing, and detail of each item. Maintaining personal contact with decision makers.
Keeping time	Indicate timings in the agenda. Elect a time keeper. Invest in consultation prior to meetings so that decisions can be taken more easily.
Dealing with aggressive partners	Determine the seating arrangement: do not place aggressive partners opposite each other, and mix people up so that the same people do not always sit together. Display agreed Cluster principles, policies, standards, etc. to diffuse old arguments. Ask people to refer to minutes for previous decisions.
Hidden or conflicting agendas	Be clear about who should attend, and specify this in the agenda. Invest in consultation before the meetings so that decisions can be taken more easily.
Language barriers	Advance agenda with clear objectives and purpose, timing, and detail for each agenda item. Refer issues outside this agenda to an alternative forum for discussion. Simultaneous translation.
Making meeting outcomes productive	Translated agenda, meeting minutes or notes, Cluster strategy, plans, principles, policies, standards, etc. Send minutes or notes from the previous meeting with the agenda. Adopt action orientated meeting minutes or notes. Follow up on actions before the next meeting. Name and shame.
Remaining patient and keeping focused	Advance agenda with clear objectives and purpose, timing, and detail for each agenda item. Refer issues outside this agenda to an alternative forum for discussion. Limiting inclusion of discussion to those items on the agenda: Allow for further discussion through working and sub groups.
Funding meetings and attendance	Incorporation of cluster coordination costs within pooled funding appeals. Clear policy on attendance costs, e.g. no <i>per diems</i> or payments for attendance.

2.2.4 Alternatives to face-to-face meetings

Meetings place a significant demand on people's time and attention. You need to use the time wisely, and consider alternatives where possible:

What is the purpose?	Key issues to consider	Alternatives to meeting
Information giving Information getting Problem solving Decision making	Is that information easily presented and understood without interaction? Who needs to input into the discussion or decision? Who needs to be committed to the outcome?	<ul style="list-style-type: none"> ✓ Written memos / reports ✓ E-mail messages / fax ✓ Phone calls ✓ Instant messaging ✓ Teleconferencing ✓ One-to-one exchange ✓ On-line options, e.g. Google Groups, websites ✓ video

2.2.5 Managing information for meetings

- ✓ Attendance and the effectiveness of WASH Cluster, and technical or working group meetings will be enhanced if Cluster partners have advance notice and details of the agenda, and can readily access the minutes or notes. This can be done through:
- ✓ Maintaining a **WASH Cluster Meeting Schedule** via the OCHA inter-agency web platform, or a WASH Cluster web site (see Resources).
- ✓ Circulating meeting agendas and minutes through appropriate channels, e.g. Google Group, by hand (to local government and NGOs).
- ✓ Developing standard **meeting agendas/minutes/notes** formats to facilitate consistency in reporting, etc. (also see *section 2.4*).
- ✓ Maintaining web-based meeting and reporting records.

Resources

- 📖 IASC Cluster Sector Leadership Training - Smarter Coordination Meetings
- 📖 IFRC, **How to Facilitate Coordination Meetings**
- 📖 Cluster **meeting agenda**, ESC sample, Yogyakarta
- 📖 WASH **Cluster Minutes**, 16 May 2008, Yangoon
- 📖 Emergency Shelter **Cluster Meeting Notes** example, Yogyakarta
- 📖 UN OCHA **Weekly Meeting Schedule**, HIC Pakistan, March 2006

- ▶ <http://www.seedsforchange.org.uk/free/tools.pdf> -
Excellent range of tools and techniques for use in meetings
- ▶ <http://www.seedsforchange.org.uk/free/facil.pdf> -
Guide to facilitating meetings
- ▶ <http://www.genderdiversity.cgiar.org/resource/MulticulturalMeetingsFinal2.ppt>
Guidelines on facilitating multi-cultural meetings
- ▶ http://www.allindiary.org/Home_Page.html
Guidelines on meeting management

2.3 Managing contacts and communication

2.3.1 Communication systems

Maintaining regular communications and the effective exchange of information is critical to the functioning and success of the WASH Cluster. However the diverse range of actors involved can make the process complicated and time consuming.

Give consideration to the pros and cons of different methods of communication and information exchange:

Means of communication / information exchange	Advantages (pro's)	Disadvantages (con's)
Shared web-site e.g. OCHA inter-agency web platform	<p>Accessible for all Clusters.</p> <p>Cluster partners working in several sectors have one source of information.</p> <p>Facilitates OCHA's role in coordinating information.</p> <p>Facilitates opportunities for shared activities, e.g. procurement, cross cutting interventions.</p>	<p>Some partners will be unable to access information.</p> <p>May have limited use at sub-national level where detailed coordination is needed once interventions begin.</p>
Email lists	<p>Quick, enables information sharing with large numbers of people.</p> <p>Not dependent on direct contact, e.g. as in telephone, meetings.</p> <p>Likely to reach most stakeholders inc. government.</p> <p>The OCHA website has a listserve function which enables information to be targeted to the right people and puts some responsibility on the end user for subscribing to the list.</p>	<p>Reliant on internet access</p> <p>Email lists quickly become outdated and very long.</p> <p>Needs to be administered to limit what is being sent and to whom.</p> <p>Can overload users with information that is not always relevant to them.</p>

Google / Yahoo Groups	<p>Good alternative to meetings, enables sharing and storing information, and discussion between Cluster partners and the Cluster.</p> <p>See Global WASH Cluster Yahoo Group Service Guidance Note under Resources below.</p>	<p>Limited membership size will exclude some partners.</p> <p>High turnover of actors means a lot of administration is needed.</p> <p>Reliant on reasonably good internet access.</p> <p>May not be acceptable in environments with strong government control.</p> <p>May exclude national / local actors due to poor internet connectivity, lack of familiarity with this method and language adopted for on-line discussions (not likely to be local language and no facility for translation).</p>
Telephone contact	<p>Reaches national and local partners.</p> <p>Enables immediate exchange of information, discussion, decision making.</p> <p>Can be used in most environments.</p>	<p>May be expensive.</p> <p>Not all stakeholders have access to a phone.</p> <p>Can be time consuming.</p> <p>More difficult to delegate to other staff / cluster actors.</p>
Delivery of hard copies	<p>Reaches national and local partners.</p> <p>Familiar method of communication at community level.</p> <p>Easily translated.</p>	<p>Slow, expensive and time consuming.</p> <p>Not inter-active - need a mechanism to allow people to respond.</p>
Public meetings	<p>Reaches national and local partners.</p> <p>Familiar method of communication at community level.</p> <p>Easily translated.</p>	<p>Time consuming</p> <p>In early response, when information changes very quickly can be hard to capture this through meetings.</p> <p>Can be dominated by powerful interests, strong personalities.</p>
Posters	<p>Reaches national and local partners.</p>	<p>Slow - not suitable for daily information exchange.</p>

	Easily translated. Useful for communicating standards, strategies, etc.	Not inter active - need a mechanism to allow people to respond.
The media (periodicals, local newspapers, radio, TV)	Useful for sharing public information and engaging community interest. Easily translated and can reach a wide range of people.	Expensive and can be slow and time consuming to arrange. Care needed in use of language and information being shared (can be read / interpreted by anyone). Not inter active.

Managing web-based information

- ✓ Encourage an informal network of Information Managers across UN agencies and NGOs to discuss standards and protocols for shared web sites. Refer to the 'Functional Requirements for the OCHA inter-agency web platform' in Resources below.
- ✓ An inter active web portal for the WASH Cluster will allow partners to share information with each other and input data directly, e.g. into WWW schedules or monitoring reports.
- ✓ Maintain clear signposting of folders and documents, e.g. clear dated file names, folders for historical documents in chronological order, means of highlighting current versions and new information.

2.3.2 Managing contact information

Effective communication depends on establishing and maintaining reliable contact information for all Cluster stakeholders. Options include:

- ✓ An on-line **contact directory** or list incorporated in the WASH Cluster web site or OCHA inter-agency web site platform (see Resources).
- ✓ **Contact information** managed through the UN OCHA 3W database system (see *section 3.2* for further details)
- ✓ Contacts maintained through a Google Group or similar, but additional capacity may be needed elsewhere.
- ✓ A database system, but the value is limited if it cannot be accessed and shared by all Cluster partners.

- ✓ Using **attendance lists**⁸ at meetings (see Resources) can help to ensure that details are up to date. Those who have already attended can simply tick or update their details.
- ✓ Allocate responsibility within the WASH Cluster team for inputting changes to contact data when required.

Tips for managing contacts

- ✓ Keep **contact information up to date** and provide regular updates;
- ✓ Administration of email lists, Google Groups, Cluster web site, etc. demands a lot of time; allocate specific responsibilities and get sufficient admin support;
- ✓ Adopt **communication systems** that are familiar and accessible to all stakeholders.

Resources

- 📖 **Attendance List**, Emergency Shelter Cluster, Yogyakarta 2006
- 📖 **Contact List**, HIC Darfur, 2005
- 📖 **UNOCHA on-line Contact directory** sheet, Sri Lanka, Nov 2007
- 📖 Gordon, P., **Functional Requirements Document - Inter Agency Website Platform**, UNOCHA, 2008
- 📖 **Global WASH Cluster Yahoo Group Service Guidance Note**, Nov 2007
- <http://www.HumanitarianInfo.org/IMToolBox>
Includes standard templates for Contact Directories, Meeting schedules, 3W schedules, and examples of rapid and detailed assessments, plus tools and guides for mapping and GIS/GPS.
- <http://www.clustercoordination.org>
Range of examples of IM tools developed by CCs for different Clusters

⁸ Practical examples of the IM tools highlighted within the text, can be found below under 'Additional Resources'

2.4 Reporting

2.4.1 Reporting requirements, and why reporting is important

Reporting by the WASH Cluster and WCC is required for:

- **Coordination** - so stakeholders inside and outside WASH are aware of coverage, resource availability, progress, and results;
- **Predictability** - so that the HC and CLA are aware of situational developments, progress, and gaps;
- **Accountability and transparency** - to the affected population, government, donors, each other (see *section 8.3*), for funding, progress, and effectiveness of WASH interventions;
- **Advocacy and public information** - to mobilize resources and raise awareness of key issues;
- **Learning** - to share performance outcomes and good practice.

WASH Cluster partners may already have onerous reporting requirements to their own organisations and supporters, the communities they are supporting, the government for registration and / or coordination purposes, and to their own donors.

The Humanitarian Country Team, government staff and other humanitarian actors will also have limited time for accessing reports and extracting the necessary information.

2.4.2 Reporting responsibilities within WASH

Regular reporting between the WASH Cluster and Cluster partners, and between the WASH Cluster and the Humanitarian Country team is essential. Ideally, the WASH cluster will have the capacity to collate, analyse, and report on collective progress and outcomes. As a minimum, in the immediate response, there must be a mechanism for receiving and circulating individual WASH cluster agency reports.

The WCC is also required to report to the CLA regarding their ability to fulfill the WASH Cluster obligations. The format for this reporting, and reporting directly to the HC, will depend on the particular context and individuals involved, e.g. verbal reports, Sit Reps, other formats.

The WCC will also be required to input into inter-cluster Sit Reps, and it is useful to schedule the WASH Cluster reporting to feed into this process.

Reports produced for WASH coordination

Using the **Sit Rep** as the core report, and the basis for other reporting can help to streamline requirements. See examples under Resources below.

A Sit Rep can also provide up to date *situational analysis* for use in advocacy and public information (see *section 7.5* for further details).

SITUATION REPORT	
Date	
KEY POINTS	
OVERALL SITUATION ANALYSIS	
ACTIVITY UPDATES	
e.g.	
Water supply	
Environmental Sanitation	
Hygiene Promotion	
NFIs	
Vector control	
Solid waste	
Drainage	
Representation	
ACHIEVEMENTS	
ASSESSMENT & MONITORING	
CHALLENGES, ISSUES AND CONSTRAINTS	
FUTURE PRIORITY ACTIONS	
ADVOCACY MESSAGES	

The principle reports that may be required include:

Report	Purpose	Produced by	For
WASH Cluster Sit Reps	Updates of the emergency situation and impact on WASH, WASH implementation priorities, collective progress, results, and constraints.	WCC	All WASH stakeholders input to inter-cluster Sit Reps
WASH Cluster partner monitoring reports (see <i>section 3.2</i>)	Updates of the local emergency situation and impacts on WASH, progress, outcomes, and resource allocations.	WCC / IM	WASH Cluster, UNOCHA, govt partners, affected communities
3W or 4W matrices (see <i>section 3.2</i>)	Update on who is doing what, where (and when)	WCC / IM	WASH Cluster, UNOCHA, other Clusters
Gap analysis reports (see <i>section 3.2</i>)	To highlight gaps or areas of duplication between Cluster actors	WCC / IM	WASH Cluster, UNOCHA, other Clusters
Input to financial and narrative reports on pooled funding (Flash Appeal, CAP, CERF)	Inform donors of cost, progress, outcomes, and impact of funded interventions.	WASH Cluster steering group	UNOCHA and other Clusters, WASH partners
WCC reports to the CLA	Updates on WASH Cluster coordination, implementation, constraints in relation to the CLA responsibilities.	WCC	CLA, HC
Notes from Steering group, technical and working group and WASH Cluster meetings	Record key issues discussed, decisions, actions, responsibilities, and deadlines agreed and delegated.	'Minute taker' / meeting chair	WASH stakeholders
WASH Cluster bulletin	May be introduced in later stages of the response to share experience, learning, good practice, and initiatives and opportunities among stakeholders	WASH Cluster admin	WASH stakeholders

How to ensure that reporting is useful and reports are read

As WCC, with support from the Information Manager:

- ✓ Keep reporting simple, relevant, timely and to a minimum.
- ✓ Widely circulate reports; post on the web site, circulate electronically and in hard copy as required.
- ✓ Give upward and downward reporting equal priority.
- ✓ Use information that is reported to the Cluster, or don't ask for it.
- ✓ Report impact of actions, not just outputs (numbers).
- ✓ Report progress as a proportion of overall need.
- ✓ Follow up late reporting with Cluster partners.
- ✓ Translate reports for local actors, communities.
- ✓ Follow required reporting formats, e.g. for pooled funding.

Disseminating reports to others

Provisions will be needed for disseminating, and making reports accessible, via a variety of media.

- ✓ Upload reports to the OCHA inter-agency web platform / WASH Cluster web site.
- ✓ Retain historical reports on the web-site using clear, chronological archive folders.
- ✓ Circulate reports electronically, ensuring that they are accessible with the most basic operating systems and older versions of software.
- ✓ Facilitate access to hard copies for organisations with unreliable, or no access to email or the internet.
- ✓ Produce summarized details of key information for public dissemination through notice boards, radio and press updates, etc.

2.4.3 Reporting formats

Where a reporting format is provided, use it. This saves time in providing unnecessary information, or follow-up information that is requested later.

a) Donor reporting

Reporting requirements for funding allocated under the Emergency Response Fund (ERF) will be determined by the RC/HC, dependent on the nature of funding. <http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=244>.

Similarly, reporting in relation to funding allocated through the Flash Appeal or Consolidated Appeals Process (CAP) will depend on the requirements of the individual donors that elect to fund specific Cluster projects. Refer to:

<http://ochaonline.un.org/cap2005/webpage.asp?MenuID=9198&Page=1481>.

Central Emergency Response Fund reporting

The RC/HC, on behalf of the HCT, submits one **annual report** on 30th March for all CERF allocations provided for that country in the previous 12 month (Jan-Dec) period. This provides a broad overview of the results achieved by sector / Cluster and the impact on the overall humanitarian response of CERF funding.

The WASH CLA / WCC will be required to provide information for inputting into this report.

CERF annual reporting content

Executive Summary
Coordination and partnership building
Implementation
Results
Impact
Assumptions and constraints
Lessons learnt
Matrix results by projects (log frame)

b) Presentation of information






For reports disseminated to national and local actors, or across a broad range of stakeholders, consider the following points in getting the information across.

- Ensure that translated versions are available
- Avoid use of acronyms and abbreviations and technical and specialist terminologies and concepts.
- Maximise the use of visual imagery, e.g. maps, photos, diagrams, and drawings.
- Consider disseminating information verbally through radio, TV broadcasts, or local community meetings.

General tips for writing reports

- ✓ Ensure that the key findings and recommendations are clear, easy to find, and easy to read;
- ✓ Arrange the information logically, and ensure that the content is balanced;
- ✓ Check you have provided the required information and answers;
- ✓ Write from the readers perspective, use appropriate language;
- ✓ Keep sentences and paragraphs short;
- ✓ Use diagrams, charts, and photographs;
- ✓ Proof read for spelling, grammar, page numbering and presentation;
- ✓ Get someone else to review the clarity of reporting.

Resources

-  Emergency Shelter Coordination Group, Java Earthquake, **Situation Report**, June 2006
-  WASH Cluster, Myanmar. **Situation Report**, May 2008
-  **CERF Reporting Matrix** for RC / HC s, Feb 2008
-  CERF Income and Expenditure Annual Statement
-  WASH Cluster Sit Rep template
- ▶ <http://ochaonline.un.org/cerf/HowtoApply/ReportingRequirements/tabid/1812/language/en-US/Default.aspx>
Guidelines for CERF reporting.
- ▶ <http://ochaonline.un.org/cap2005/webpage.asp?MenuID=7890&Page=1371>
Guidelines for reporting on the CAP.

2.5 Negotiating, consensus building and conflict resolution

Within the WASH Cluster a range of decision making processes will be needed. This section sets out some guidelines for both negotiating and consensus building, and then considers what to do when there is interpersonal conflict between cluster members.

Key tips in choosing the right decision-making process

- ✓ Use the **command** style for decision making when decisions are needed very quickly, as in a crisis, and one person will be able to make decisions effectively.
- ✓ Use **consultation** when the opinions and ideas of the group are needed to inform the decision-maker, but it is clear who will make the decision and how that decision will be communicated.
- ✓ Use **negotiation** when there are conflicting interests and both parties need, and are prepared, to make concessions to reach an agreement.
- ✓ Use **delegation** to increase efficiency and maximize the contribution of every team member, delegating the authority to make certain decisions.
- ✓ Use the **majority vote** to include a large number of people, in a minimum amount of time, and the issues are clear and understood.
- ✓ Use **consensus** when you want high-quality input and commitment, with follow-through, from the group.

2.5.1 A collaborative approach


As indicated in section 1.1, the WCC will rely on cooperation and collaboration among Cluster partners, because s/he has no formal authority to impose coordination requirements.

Some useful steps to consider in achieving a collaborative approach include:

1. **Cultivating a shared vision** right from the start, even if it's vague (the WASH Cluster Response planning can help to achieve this).
2. Taking care to involve the **right mix** of stakeholders and decision-makers.
3. **Sustaining the momentum** and keeping a focus on progress and results (reliable flow of accurate information and regular review of Cluster plans and outcomes will help to achieve this).

4. **Engaging the perspectives** and addressing the needs of each stakeholder group in the work of the Cluster.
5. Ensuring that each partner agency's individual and institutional **self-interests are served** by both the process and products of the collaboration, to the greatest extent possible.
6. **Not wasting time.** Meetings must be efficient and productive; management must be lean and driven. Consider alternatives to meetings.
7. **Developing clear roles and responsibilities** for Cluster partners (and rotating these roles regularly to facilitate involvement).
8. Securing commitment from partners that the **same people come to each meeting.**
9. Building a rapport and maintaining regular **contact with decision makers** to ensure that decisions are made quickly.
10. All collaboration is personal - effective collaboration happens between people - so **maintain regular communication.**

However, different situations often require different styles of leadership, particularly when decisions are needed quickly, there are strongly conflicting interests, or sensitivities are high. The WCC will need to assess each situation and choose an appropriate leadership style:

Directive	Participative	Delegative
Initiates tasks. Directs others. Decisive.	Democratic. Initiates process or discussion. Involves others. Facilitates consensus-building and decision making.	Allows others to take ownership of tasks. Group makes decisions. Uses expertise of others.
 <div style="position: absolute; bottom: 10px; left: 10px; color: blue;">WASH CC control</div> <div style="position: absolute; top: 10px; right: 10px; color: blue;">Cluster Partners' control</div>		

2.5.2 Negotiation skills within the WASH Cluster

As WCC you may find yourself either negotiating directly with another person or group (e.g. on behalf of the WASH Cluster at an inter-Cluster meeting) or facilitating negotiations between other conflicting parties (e.g. within the WASH Cluster). Understanding the process and skills of negotiation are key to a successful outcome in either situation.

The following conditions are required before you can enter negotiation:

- Conflicting interests exist between two individuals or groups
- There is joint interest in achieving a settlement
- More than one potential outcome is possible
- Both parties are prepared to make concessions.

Within the Cluster you may need to negotiate the strategic focus of the Cluster, or division of responsibilities, or simply the timing of the meetings. Whatever the level, the following guidelines are important:

i) Prepare options beforehand

Before entering into a negotiation, prepare:

- *What do you really want?*
- *What is the minimum you are prepared to accept?*
- *What are all the issues you could negotiate over (time, money, quantity, quality)?*

You also need to consider:

- *What might they want from me, and what am I prepared to offer?*

Anticipate why the other person might resist your suggestion, and be prepared to counter with an alternative.

ii) Draw out the other's perspective

In a negotiating situation use questions to find out what the other person's concerns and needs might be. You might try:

- *What effective ways could be used to solve this problem, or address this issue?*
- *What are your concerns about what is being suggested?*

Use active listening, gauging what issues are most important to them, and which they are most likely to move on.

iii) State your needs

The other person needs to know what you need. It is important to state not only what you need, but why you need it. Often disagreement may exist regarding the method for solving an issue, but not about the overall goal. Start with what you ideally want, but indicate that you are prepared to make some concessions.

iv) Don't argue

Negotiating is about finding solutions, don't waste time arguing. If you disagree with something, state your disagreement in a gentle but assertive way, and offer an alternative suggestion. Don't demean the other person or get into a power struggle.

v) Consider timing

There are good times to negotiate and bad times. Bad times include those situations where there is:

- a high degree of anger on either side
- preoccupation with something else

- a high level of stress
- tiredness on one side or the other.

Schedule negotiations to avoid these times as far as possible. If they arise during negotiations, a time-out or rest period is in order, or perhaps rescheduling to a better time.

Negotiation is a complex process, but one worth mastering. If you keep in mind that you are responsible for the success or failure of negotiation, and if you follow the tips above, you will find the process easier.

It is also worth noting that conflicts of interest – and the negotiations around them – can often lead to more effective and sustainable solutions, because they draw in a much wider range of views and possible solutions. So don't see them as something to be avoided (see below; Conflict Resolution).

2.5.3 Consensus Building in Clusters

Consensus is *'the maximum agreement among people while drawing on as much of everyone's ideas as possible'*.

Key tips for effective consensus building for WCCs

- ✓ Use active listening and questioning skills
- ✓ Communicate openly
- ✓ Remember and review common goals
- ✓ Focus on and explore underlying interests
- ✓ Identify and grow the "zones of agreement" – these are those areas and priorities on which the group agrees
- ✓ Trust the process; believe that you can reach agreement and infuse this belief throughout the group
- ✓ Remain calm and respectful to all members
- ✓ Break larger groups down into smaller groups tasked with specific responsibilities. It is easier to work out an agreement with a smaller group of representatives (6-8 people) than with a larger group

Consensus building is one process for encouraging participation and ownership and can lead to groups creating innovative solutions to complex problems.

However, it is only one form of decision-making and is not appropriate for all items on an agenda. It is time consuming, requires equal input and commitment, and can lead to conflict if no consensus is agreed. A key skill therefore is in

assessing when it is important and appropriate to use consensus building to reach a decision.

Procedure for consensus

1. Agree on your objectives for the task or project, expectations, and rules.
2. Define the problem or decision to be reached by consensus.
3. Brainstorm possible solutions.
4. Discuss pros and cons of the narrowed-down list of ideas and solutions.
5. Adjust, compromise, and fine tune the agreed idea or solution so that all group members can accept the result.
6. Make your decision. If a consensus is not reached, review and / or repeat steps one to six (see below 'Dealing with Impasse')
7. Once the decision has been made, act upon what you have decided.

Testing for agreement:

Notice when the group is nearing agreement, and can move on to a firm decision. Groups can waste a lot of time talking round ideas which they largely agree on. It is worth presenting the group with the ideas you are hearing and asking for some sign of agreement or disagreement. Some disagreement may still allow the group to move forward.

For example:

Non-support: 'I don't see the need for this, but I'll go along with it'.

Standing aside: 'I personally can't do this, but I won't stop others from doing it'

When consensus building is most useful	When should consensus building not be used
✓ Partners have perspectives and information of value to the decision-making, prioritisation, and planning process	✗ When the problem is not complex or solutions are highly technical, clearly obvious, or options are severely limited
✓ Buy-in is key to commitment, ownership of decisions , and follow-through	✗ Humanitarian standards and objectives are being compromised or threatened
✓ The way forward is in doubt and/or solutions are ambiguous	✗ Another decision making process is more efficient and effective
✓ Solutions require interdependent action by stakeholders	✗ Stakeholders are extremely politicized or views highly polarized
✓ Power, information and implementation is fragmented among many stakeholders	✗ Decision-makers are not at the table
✓ Stakeholders hold conflicting	✗ When the group has insufficient

views yet unity on major decisions is required to uphold standards

- ✓ **Good relationships** among key stakeholders are needed in the future
- ✓ The group is relatively small (up to 20) and has mutual understanding

information

- ✗ There is **insufficient time** for a full exploration of all views and consensus to be reached

2.5.4 Conflict resolution

Conflicts are a pervasive and inevitable part of any group and, if handled well, can lead to growth and development of the Cluster as well as of each individual member. Positive outcomes can include:

- Awareness of problems and encouraging change
- Better decisions and more creativity
- Heightened interest and energy in the group
- Increased cohesiveness and clearing the air

Because of this it is important to learn the skills involved in handling conflicts constructively.

If a Cluster tends to avoid conflicts, resolves them prematurely, or stifles any discussion of differences, serious difficulties will arise. Relationships among partners and the Cluster's effectiveness and productivity will suffer. Unless a group is able to withstand the stress of a conflict among members, it is not likely to last very long.

a) Skills of resolving conflict

1. Recognise symptoms

Overt symptoms include: anger, disengagement, being quiet, body language, cliques forming, arguments.

Hidden symptoms include: low energy, non-attendance, lateness or leaving early, mistakes, not socialising.

Experience from the field has shown that conflicts are reduced or more quickly resolved when the Cluster has a clear Work Plan and ToR (refer to *sections 1.4 and 5.2*)

2. **Tackle it early:** left alone, conflict grows and spreads.

3. **Identify the causes:** Sources of conflict include:

- Strategies (lack of clarity; no common vision).
- Systems (methods of communicating).
- Structures (division of responsibilities; physical barriers).
- Cluster (differing values).
- Individuals (personalities, styles of working).

4. **Focus on core issue or problem:** avoid previous disputes or 'getting personal'.
5. **Consider each point of view:** use active listening.
6. **Invite suggestions on the way forward:** focus on solutions and building consensus.
7. **Check agreement of all stakeholders:** check back that everyone accepts the resolution.

b) What to do when impasse is reached?

Impasse occurs when the key stakeholders are unable to perceive effective solutions to their dispute or differences. People feel stuck, frustrated, angry, and disillusioned. They might dig their heels in deeper, adopting extreme or rigid positions, or they might withdraw from the Cluster. Either way, impasse represents a turning point in efforts to negotiate a solution to the conflict. As such, rather than avoiding or dreading it, impasse should be viewed with calm, patience, and respect. Know that you are near a 'breakthrough'.

Techniques for breaking an impasse include:

- ✓ Remind all of the humanitarian consequences of failing to reach an agreement, how an agreement will benefit the populations you are all there to serve, and that the longer-term relationship and cooperation are at stake.
- ✓ Confer and invite suggestions - use probing questions.
- ✓ Retrace progress and summarise areas of agreement and disagreement.
- ✓ Find out where people stand, and how strongly they feel.
- ✓ Gather further information or 'evidence'.
- ✓ Build consensus in mixed small groups, e.g. sub- or working groups, then send representatives to Cluster steering group.
- ✓ Set a time limit, and then suggest that the issue goes to a majority vote.
- ✓ Meet with primary disputants and ask them 'What could be changed so that you could support it?'.
- ✓ Bring disputing parties together at a separate time and facilitate conflict resolution and problem solving.

Resources

- ▶ <http://www.seedsforchange.org.uk/free/consensus.pdf> -
Useful detailed guidelines on consensus building
- ▶ <http://www.seedsforchange.org.uk/free/conslarge.pdf> -
Useful detailed guidelines on facilitating consensus building in large groups
- ▶ http://ocha.unog.ch/procaponline/docs/library/Leadership_Style_Questionnaire_&_Reading.doc -
This includes a short self-assessment questionnaire and additional guidelines on the different leadership styles
- ▶ <http://www.clustercoordination.org> -
An independent website which includes guidelines, samples and good practice across all Clusters.

3 MANAGING CLUSTER INFORMATION

Chapter Three relates to the **following WCC responsibilities:**

- ✓ Managing information content and flow
- ✓ Avoiding gaps and duplication

The chapter is split into the following **three sections:**

3.1	Managing information in emergencies: an overview	<ul style="list-style-type: none"> ▪ What is Information Management? ▪ Data preparedness for emergencies ▪ Information Management in emergencies ▪ Tackling information challenges
3.2	WASH Cluster Information Management systems and tools	<ul style="list-style-type: none"> ▪ Global WASH Cluster IM tools ▪ Rapid assessments ▪ Comprehensive assessments ▪ On-going monitoring and assessments ▪ Who What Where and When ▪ WASH Cluster capacity assessments
3.3	WASH Cluster and UNOCHA IM responsibilities	<ul style="list-style-type: none"> ▪ WASH Cluster responsibilities for IM ▪ Getting IM expertise ▪ IM capacity of WASH Cluster partners ▪ IM responsibilities of UN OCHA

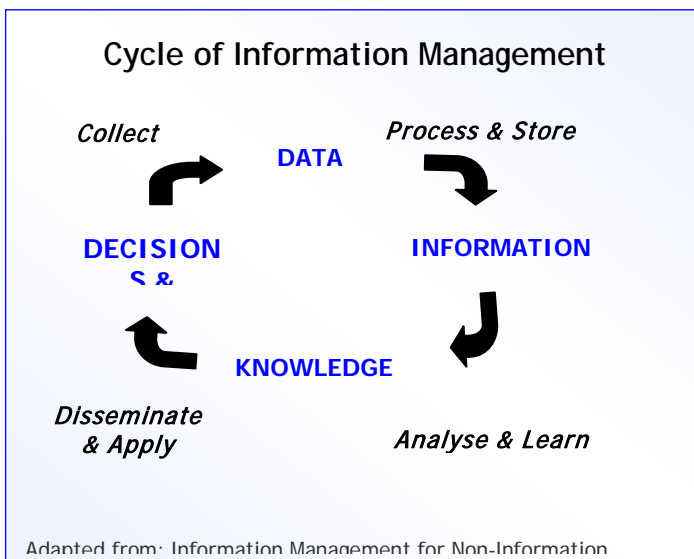
3.1 Managing information in emergencies: an overview

Tips for managing information

- ✓ Keep information demands to a minimum.
- ✓ Data rapidly becomes outdated; only collect data you need, when you need it, and in a form that is useful, i.e. disaggregated, in standard formats.
- ✓ Make information useful for others, e.g. share it visually.
- ✓ Provide the date and source of all information to mitigate the risk of using outdated information.

3.1.1 What is Information Management?

Information Management in the context of humanitarian emergencies involves the collection, processing, analysis and dissemination of information.



Within the cycle of managing information:

- i. **Raw data is collected then processed to give meaningful information**, e.g. collection of WASH Cluster actor activity data is translated into useful information through the WASH Cluster Agency Reporting Tool or UNOCHA Who What Where (3W) matrix.
- ii. However, for data to be useful, rigour and consistency is required in data collection. Once processed, information should be stored in a manner that facilitates sharing and easy access for all.
- iii. **Analysis of, and learning from, information leads to improved knowledge**, e.g. analysis of Who What Where information highlights duplication and gaps in WASH interventions by location.
- iv. **Application of knowledge enables decision making and action**, e.g. Cluster partners mobilise to cover the gaps.
- v. **Monitoring** of these activities or decisions can be undertaken **through further collection of data**.

Why is Information Management important in humanitarian response?

IM provides an evidence-based, transparent basis for decision making. This contributes significantly to improved effectiveness and accountability in the response.

While the importance of Information Management is widely acknowledged, the degree and complexity of Information Management used in practice can vary widely, e.g. from over flights and visual observation, to the collection and processing of reams of data. The decision as to what is required will be influenced by the people involved and the availability of IM skills, the time available, and the specific context.

3.1.2 Data preparedness for emergencies

Data preparedness enables you to begin managing and using information immediately following a disaster or crisis.

Countries with on-going emergencies (including roll-out countries under the Cluster Approach) are more likely to have some level of data preparedness, but it is of key importance in countries prone to natural disasters or with a high risk of future crisis.

IM systems and tools developed during an emergency can also contribute to improved data preparedness for any future disaster.

Effective data preparedness requires:

- *A reasonable amount of reliable pre-crisis data*
- *Agreed pre-crisis baseline data / indicators*
- *Common standards and tools to work with.*

The degree of data preparedness will also have an impact on the type of rapid assessment process used, as joint or coordinated assessments rely on shared agreement about pre-crisis and in-crisis baseline data and common assessment tools and standards (see section 4.1).

a) Reliable pre-crisis data

Pre-crisis data enables comparison between the emergency situation and pre-emergency conditions, e.g. standards of health in the population before the emergency. In addition, it allows comparison between the (pre-crisis) country context and other countries where similar emergencies have taken place.

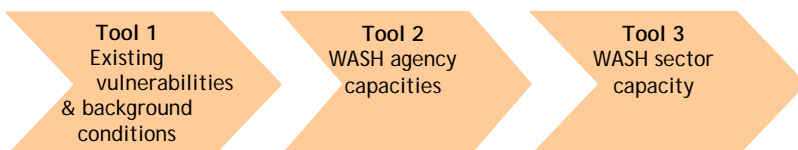
There are two ‘types’ of pre-crisis data relevant to the WASH Cluster. The first is generic data which is relevant to all Clusters and normally provided by the RC/HC or UNOCHA. Examples include P-codes, demographic data, etc.

The second is WASH-specific data which will need to be sourced within the WASH sector by the WCC, e.g. the extent to which household water is treated and the method of treatment, typical means of water management, type of latrines used, and the proportion of people with access to improved latrines.

Key sources for pre-crisis data include www.devInfo.info and country-specific national reports, such as:

- WHO annual World Health Reports
(<http://www.who.int/whr/2007/en/index.html>)
- World Bank / donor reports
- Poverty Reduction Strategy Papers
- National contingency plans

Within the WASH sector, pre-crisis data may already have been compiled using the Global WASH Cluster **National Capacity Mapping Tool** (see section 3.2 for details). This is a three-part national capacity mapping toolkit which aims to assess:



The tool is intended for use during normal Cluster operations, particularly in on-going emergency settings or countries at high risk of natural disasters where there may be a sudden-onset emergency. It provides:

- *A level of baseline data*
- *A basis for making comparison across different parts of the country, and pre- and post-emergency*
- *An indication of existing national WASH response capacity, in terms of data, people, and resources.*

b) Agreed pre-crisis baseline data.

There are two types of baseline data needed for assessment and monitoring of the emergency situation: pre-crisis and in-crisis baseline data. Pre-crisis baseline data needs to be established before an emergency and provides a measure of the minimum conditions or standards that the humanitarian response should be trying to restore. Pre-crisis baseline data facilitates:

- Immediate assessment of the nature and scale of the emergency;
- Identification of appropriate objectives and indicators;
- Comparison with similar country contexts or similar emergencies.

In-crisis baseline data needs to be determined at the onset of an emergency and facilitates monitoring of the emergency situation itself and the on-going response (see *section 4.1* for further details).

A useful **checklist for pre-crisis secondary data** is included within the IRA Tool and includes:

- Total population by gender and age;
- Average household size;
- Scale and distribution of displaced populations;
- Detail of pre-existing vulnerabilities;
- Socioeconomic data, including gender roles, livelihood practices, etc;
- Geographic data indicating political and administrative boundaries, hydrology, and settlements;
- Health data, e.g. mortality and morbidity data, prevalence of disease;
 - Traditional hygiene and sanitation practices;
 - Access to sanitation facilities and safe and improved drinking water;
 - Essential Infrastructure, e.g. transport, health infrastructure etc

c) Common standards and tools to work with

This helps to ensure that assessments, monitoring and reporting across government, UN OCHA, and the different Clusters is aligned as far as possible, and that within individual Clusters data can be readily collated, analysed, and disseminated as useful information for all actors.

Common IM standards are generally defined by UNOCHA and will assist in the development and adaptation of different tools (see section 3.3 for further details about UNOCHA's role). However, in rapid-onset situations UNOCHA may not be fully mobilised for the initial response, demanding consideration and agreement of common standards between the Clusters themselves.

3.1.3 Information Management in emergencies

As outlined in the cycle of IM, it is not until data is analysed that it becomes useful information for guiding decision making and action in emergencies. Yet there can be a tendency to focus on the collection of data – and excessive amounts of it – at the expense of timely and manageable analysis.

This process of analysis involves **fitting together different types of data** to provide meaningful information which is **critical to effective coordination of an emergency response**.

a) **Data collection** (gathering data together)

1. Consider what information you need and where you can get it, e.g. needs, capacities, and who is doing what, where, when.
2. Be sure about what you are measuring, and what is being done by others, e.g. UNOCHA, other Clusters, the government, donors.
3. BE PROACTIVE in collecting data, e.g. through continuous contact, telephone, building relations, keeping up to date.
4. Consider the capacities of Cluster partners in supplying data, e.g. operating systems and software capacity, internet access or restrictions, etc. (see *section 2.2* for further consideration of the different options).

b) **Data processing and storage** (organising data)

1. Consider how the data will be sorted and stored, e.g. database requirements, web-based data storage or hard files, etc.
2. Determine the requirements for common links between data for processing, e.g. location and P-codes, gender and age, vulnerable groups, data sources.
3. Consider where data will be processed and how often, e.g. field or country level, continuous or weekly, etc.
4. Consider the time and funding required for data entry and analysis requirements; these are often logistically demanding and time consuming.

Challenges in getting common location data

Using the names of affected settlements, villages, districts, etc. can lead to confusion and error, as there may be several places with the same or similar names, spellings vary, and in many cases the boundaries are unclear.

P-codes or GPS coordinates should overcome these problems, but in practice there are also problems with lack of capacity in using them, inaccurate identification of references, or fabricated details.

Encourage Cluster partners to collect and process data which relates to both location names and codes, and with reference to different levels, e.g. province, district, and village.

c) Data analysis (translating data into information and linking it together)

As mentioned, data analysis is probably the most valuable process in guiding coordination and decision making. It demands specialist skills and understanding of the data available (and needed), and its potential for generating meaningful information.

Different types of analysis⁹ will be needed at different stages in an emergency response, but they are all inter-related and will collectively contribute to a better understanding of the situation at any time.

Type of analysis	Summary of analysis process	Information required by the Cluster
NEEDS Analysis	Often the first type of analysis required. Study of the damage and problems caused by the emergency, alongside the solutions needed to address them, within defined standards of response	What are the principal WASH problems / needs? Where are they? Which groups are most seriously affected? What type / scale of intervention is required?
CAPACITY Analysis	Study of the humanitarian assets (financial, technical, human resource, and material) available to	What capacities and resources are immediately available and where are they? What are the additional

⁹ Extracted from IM project notes by Neil Bauman i) Summary of Global IM Project Tools, 20 Oct 2008, ii) Overview of Analytical Process

	respond to the emergency, along with their location and scale of planned response	planned (pipeline) resources / capacities and when are they expected? What are the major capacity / resource gaps?
WWWW Analysis	This is an integral part of capacity analysis. Mapping of who is doing what, where, and when enables continuous monitoring of coverage.	Who is working in the WASH sector, what are they doing, and where? What are planned activity start and completion dates?
OUTPUT Analysis	Contributes to gap and impact analysis. Study of what has been done, where, by whom, and when.	What has been done, where, by whom, and when? How does this relate to planned allocation of resources / capacities? What are the predominant trends?
GAP Analysis	Used to assess the i) current or ii) projected gap between needs and capacities. i) Current needs - current output = current gap ii) Current needs - expected capacity = projected gap	Where is there duplication or gaps in coverage? What additional resources are required and how can they be mobilized, e.g. advocacy, shift in priorities, redistribution?
IMPACT Analysis	Study of evidence that the situation is improving, both in relation to pre- and post-crisis conditions, e.g. improved hygiene behaviour and reduced incidence of diarrhoeal disease	What is the difference between the current conditions / problems and those at the start or before the disaster onset?

Geographic Information Systems (GIS)

Support a wide range of analytical activities, e.g. damage assessments, gap analysis, response strategies, contingency planning. Using:

- Global Positioning Systems (GPS) which can be used for surveying, topographical mapping, etc.
- Satellite imagery for damage assessment, mapping infrastructure

When spatial information is combined with data from assessments or monitoring, it is possible to produce practical and **comprehensive maps**, charts and images,

quickly highlighting duplication, gaps, risks, and priorities for action. However, this technology relies on comprehensive use of GPS coordinates and / or P-codes as part of Cluster IM.

Use of geospatial data in Bangladesh

Coordination of humanitarian response -

In 2007, coordination and prioritisation of the WASH Cluster response was guided by comprehensive maps. These were produced by the Bangladesh Centre for Environment and Geographic Information Services (CEGIS) and UNICEF from overlaying data for WASH actor locations, severely affected and water-scarce locations, and areas of inundation.

...and emergency preparedness

Satellite imagery has been used for monitoring flooding patterns in Bangladesh, providing vital mapping for flood disaster management, risk assessment and contingency planning. It has also supported the coordination of relief activities through mapping crop and settlement damage.

If GIS capacity is not available within the Cluster, support can be provided through UN OCHA, the HIC, or other sources. A sample contract for WASH Cluster GIS monitoring services and links to GIS service providers is incorporated under Resources below.

As with data collection, GIS activities should be closely coordinated with UN OCHA/HIC and other clusters to minimize duplication and adhere to agreed global and national data standards.

d) Information Dissemination (communicating outcomes of the analysis with others)

An important aspect of Information Management is determining the most appropriate form for sharing different types of information and analysis. All critical information should be included in daily or weekly Sit Reps.

In addition to mapping, diagrams and graphs can be useful, e.g. scatter graphs, trend analysis, charts, and matrices.

- Consider who needs the information, e.g. Cluster partners, government, the HC, media.
- What is the best way to disseminate for each group? e.g. email, local media, posters or hard copies.
- Make allowance for translation requirements, printing arrangements, presentation of information.

3.1.4 Tackling information challenges

At all stages in the IM cycle there are likely to be challenges, particularly when the communications infrastructure is weak.

A key strategy is to keep IM tools and systems as simple as possible, and keep information demands to a minimum.

Common challenges	Strategies for managing information
<ul style="list-style-type: none"> ✗ Not knowing what information is needed in order to make a decision. ✗ Constantly changing context (needs, gaps, etc.). ✗ Delays in data collection and release. ✗ Government reluctance to share information due to concerns over quality, accuracy, and not getting assistance. ✗ Manipulation of information, e.g. political, financial, cultural. ✗ Demands for information from a diverse range of actors. ✗ IM clashes with other priority activities. ✗ Limited or lack of IM skills. ✗ Cluster partners fail to report or provide information when 	<ul style="list-style-type: none"> ✓ Adopt a structured approach to planning and decision making so that information requirements are broken down. ✓ Regular communication will help build networks and relationships, and gather up-to-date information. ✓ Limit requirements for information quantity: only work with information that you can and will use at that point in time. ✓ Providing information to Cluster partners when they need it will help encourage the completion of updates. ✓ Provide guidelines on information quality. ✓ Make it clear that late or poor information is likely to decrease opportunities for funding and support. ✓ Establish agreed standards for the accuracy and reliability of information, e.g. need for triangulation, highlighting bias, etc. ✓ Adopt simple tools for gathering information: get Cluster input to requirements and practicalities. ✓ Source administrative and information management support. ✓ Devolve the processing and analysis of information through working and technical groups, e.g. mapping capacities and resources. ✓ Name and shame. ✓ Facilitate updating of previous

required.

information rather than submitting new reports every time.






- ✓ Source admin support in **follow up**.
- ✓ Allow **verbal reporting**, particularly at sub-national level.

Field practice : Information Management in Jogjakarta

Establishment of information sharing and management systems were an early priority in the WASH Cluster. With the support of a Cluster Assistant and Database Manager, a (Yahoo) group web-site was set up to centralise the storage and dissemination of key documents.

This approach enabled the Cluster to keep the government and other WASH Cluster actors fully informed, guide the priorities of WASH actors that arrived after the immediate response, and save time and wasted effort in sourcing information and preparing regular updates and reports.

Resources

-  UNOCHA What are P-codes?
-  WASH ToR for a GIS monitoring contract, 2007
-  Bangladesh WASH Cluster - **Sample GIS map**: Cyclone Sidr - District map of WASH partner locations, severely affected and water scarce unions, and inundations.
-  **Checklist for pre-crisis secondary data** (extract from Initial Rapid Assessment (IRA) Tool: Field Assessment Form, IASC Health, Nutrition and WASH Clusters, 4 Nov 2008)
-  **WASH Capacity Mapping Tool**, Outline of WASH Cluster actions, 2008
- <http://www.reliefweb.int/rw/rwb.nsf/doc114?OpenForm>
Relief Map Centre for humanitarian profile and location maps
- <http://geonetwork.unocha.org/geonetwork/srv/en/main.home>
GeoNet - access to integrated spatial data for any location (interactive maps, GIS data sets, satellite imagery)
- <http://www.irinnews.org/>
Humanitarian news and analysis
- <http://www.mapaction.org/>
Provides rapid mapping services and training in GIS.
- <http://www.who.int/whr/2007/en/index.html>
Source of annual country specific health data
- <http://www.devinformo.info/emergencyinfo/>
Helps to bridge information gaps and provide support for rapid data collection, situation assessment, standard monitoring reports and disaster preparedness.

3.2 WASH Cluster IM systems and tools

Tips for use of IM systems and tools

- ✓ Share IM responsibilities and advocate for **specialist IM support**;
- ✓ Strive to ensure that **systems address cluster stakeholder information needs** as well as Cluster needs;
- ✓ **Disaggregate data**, e.g. by age, gender, etc.;
- ✓ Adopt **IM systems** that are familiar and accessible to all stakeholders;
- ✓ Be creative in accessing and using available data.

What does the WASH Cluster need IM for?

To enable the WCC and WASH Cluster to make use of a diverse range of data of multiple sources, and facilitate the collection, storage, and analysis of primary data.

This enables the WCC and WASH Cluster actors to:

- ✓ Undertake strategic planning and decision making based on comprehensive and meaningful information;
- ✓ establish a better understanding of disaster impact and needs;
- ✓ improve coverage of WASH needs by highlighting duplication and gaps;
- ✓ coordinate response activities and the allocation of resources;
- ✓ track progress and results, and adjust response planning accordingly.

3.2.1 Global WASH Cluster IM tools

A number of generic IM tools have been developed through the Global WASH Cluster Information Management project to assist with addressing data collection and analysis requirements at national and sub-national levels.

Although designed to be as flexible as possible, these tools are likely to need adaptation in some emergency contexts. Assessment of the value of the tools, and subsequent adaptation, can only realistically be undertaken by resource people with Information Management expertise.

The contents and purpose of the tools are set out in the table below.

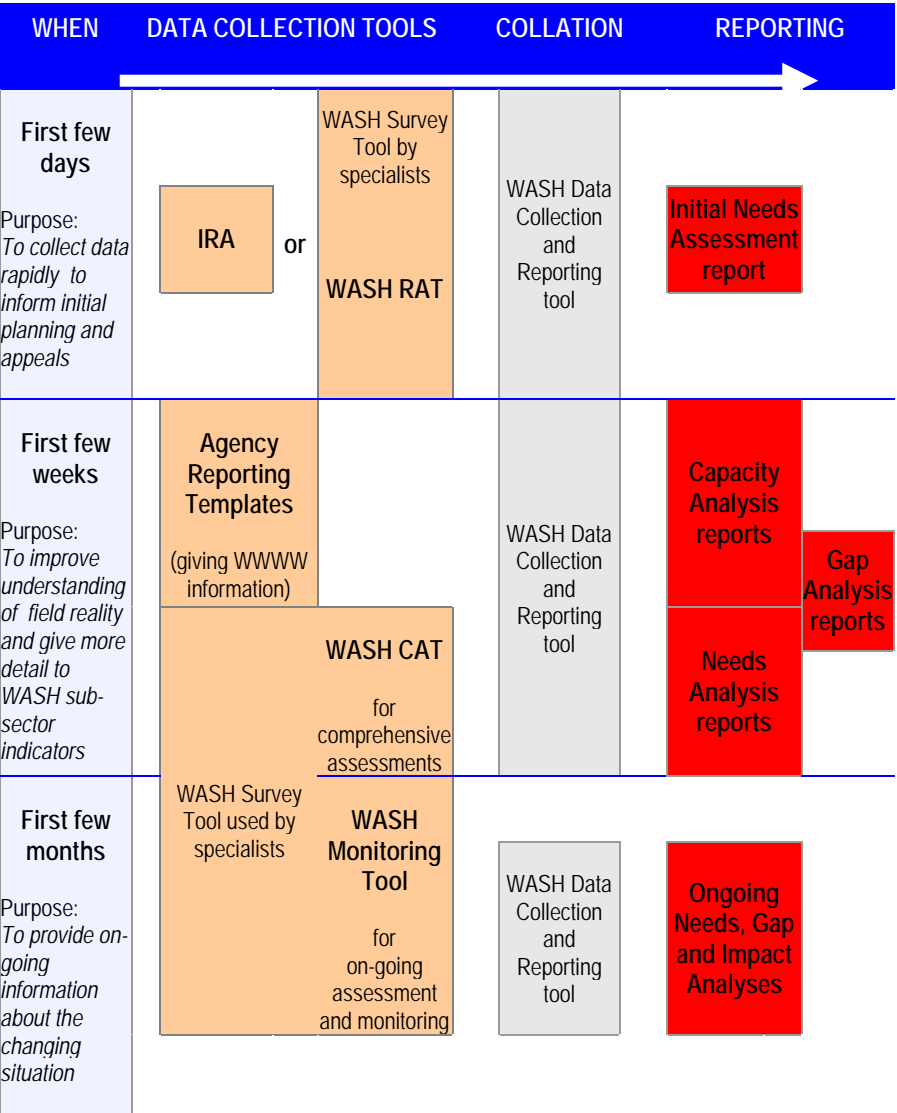
WASH Cluster tools	Content and purpose of the tool
Initial Rapid Assessment (IRA) Tool	A multi-sectoral tool for assessing locations and use by generalists in the first few days of an emergency.
WASH Cluster Survey Tool including: <ol style="list-style-type: none"> 1. Rapid Assessment Tool (RAT) 2. Comprehensive Assessment Tool (CAT) 3. Monitoring Tools 	<p>A tool for creating WASH sector-specific data collection forms (for assessments or monitoring) using a database of indicators. Indicators can be selected as appropriate to the context and individual location conditions.</p> <p>This tool will support data collection through:</p> <ol style="list-style-type: none"> 1. Assessing locations by WASH specialists in the initial stage of a response using the RAT, which is a simple form. 2. A more comprehensive assessment across all WASH sub-sectors, for use by specialists, facilitated by the CAT. 3. Continuous location monitoring on a regular or periodic basis with ease of comparison with baseline or earlier assessment outcomes, enabled by these assessment tools.
Agency Reporting Template	This is a tool for gathering information about the scale, capacity, location, and funding of Cluster partners' activities.
Data Collection and Reporting Tool	This is an access database that facilitates the entry of data from any of the above tools - manually and automatically - to generate a number of generic reports.

The interaction between the tools at different stages of the response is illustrated in the diagram overleaf¹⁰.

The remainder of this section provides more detailed information and links to these tools, alongside alternatives that have been used in practice to support the data collection and analysis requirements for the WASH Cluster.

¹⁰ Adapted from Summary of Global IM Project Tools, 20 Oct 2008, by Neil Bauman

Interaction between Global WASH Cluster Tools



3.2.2 Rapid Assessments (also see *section 4.1*)

Initial Rapid Assessment tool (IRA)

Section of IRA Form		Recommended data collection methods:					
		Local secondary data	Key informant interviews	Group discussions	Household-level interviews	Household-level observation	Observation: transect walks, markets, water points
Population							
2	Population description	•	•	•			
Shelter and non-food items							
3.2	Access to shelter and shelter quality		•	•	•	•	
3.5	Access to essential non-food items		•	•	•	•	
Water supply, sanitation and hygiene							
4.2	Existing capacities and activities	•	•				
4.3.1-4.3.8	Water supply	•	•		•		•
4.3.9-4.3.10	Water consumption and collection time				•		•
4.5.1	Defecation practices		•	•			•
4.5.2	Number of toilets		•	•			
4.5.3-4.5.5	Environmental sanitation						•
4.7	Access to hygiene items			•	•	•	
4.9	Population priorities for WASH			•			
Food security and nutrition							
5.3	Food aid	•	•			•	
5.4	Food consumption			•	•	•	•
5.5	Household food stocks		•		•	•	
5.6	Food access	•	•	•		•	
5.7	Nutritional status: data and reports	•	•				•
5.8 – 5.9	Population priorities in nutrition and food security			•			
Health							
6.2	Access to health services	•	•	•			
6.3	Health profile	•	•	•			
7	Health facility resources	•	•				

The Initial Rapid Assessment (IRA) Tool has been developed by the Global WASH, Health and Nutrition Clusters to facilitate joint assessments conducted by generalists, in the first few days following onset of an acute emergency. The tool consists of a **Field Assessment Form**, comprehensive **Guidance Notes** and a pre-crisis **Secondary Data checklist**.

The Field Assessment Form comprises of seven sections. Sections 1 and 2 cover site identification and demographic data respectively. Sections 3-7 cover sector specific data. A range of data collection methods are suggested to facilitate broad stakeholder participation (as set out in the extract above).

WASH Cluster Rapid Assessment Tool (RAT)

The **RAT** is a one page form used to facilitate rapid assessment of a particular location in all relevant sub-sectors of WASH, drawn from the following:

- *Aggravating factors*
- *Hygiene practice*
- *Hygiene NFIs*
- *Water supply*
- *Excreta disposal*
- *Disease vectors*
- *Solid waste*
- *Drainage*
- *Representation*

It is assumed that WASH specialists would be available to use the tool.

For each sub-sector, there are a range of indicators and the severity of the conditions / situation is rated on a 'traffic light' system, indicating:

Red	severe problem
Yellow / Orange	moderate to severe problem
Green	limited problem or not affected

Results can be recorded on the Summary form which can then be used to generate Initial Needs Assessment reports through the WASH Cluster Data Collection and Reporting Tool.

WASH CAT: Rapid assessment checklist

Use this checklist to assess conditions for each WASH sub-sector and aggravating factors and record results on WASH CAT Summary form.

WASH sub-sector	Checklist	R	O	G
Aggravating factors	Level of malnutrition and/or food insecurity in the population Access to health services Outbreak or increasing incidence of faecal oral disease			
	Overcrowding at the site and/or in shelters			
Hygiene practice	Quality of water consumed Defecation practice Handwashing at critical times If malarial area, use of insecticide-treated mosquito nets for vulnerable people			
	Availability of soap in households Availability of water containers in households If household / point-of-use treatment required and feasible, availability of appropriate treatment supplies and equipment If malarial area, availability of insecticide-treated mosquito nets for vulnerable people			
WASH NFIs	Quantity of water available Probability of a critical fall in quantity of water available Quality of water at source, treatment and risk of contamination Distance to water sources			
	Availability of functioning and hygienic toilets Access to toilets Presence of human faeces near water sources and living areas			
Disease vectors	Malaria transmission (malarial area, transmission season, lack of control measures) Other vector-borne disease transmission			
	Presence of solid waste Management of solid waste			
Drainage	Presence of stagnant water Probability of water-induced damage			

Alternative rapid assessment tools

In some emergency contexts it may not be easy to use either the IRA tool (e.g. due to failure to reach agreement across Clusters) or the RAT (e.g. in the absence of WASH specialists). In such cases, the WASH Cluster will need to adapt existing tools to develop a process appropriate to the situation.

Whatever tools are adopted, it is important to ensure that the data generated can be easily processed electronically and interpreted. The WASH survey and reporting tools provide readily available facilities to do this.

A range of rapid assessment templates have been developed in the field, and these may be useful to refer to when developing a customized tool. Examples are incorporated under the Resources section below, including **Laos Rapid Assessment tool** and **Georgia Village Tract Assessment tool**.

3.2.3 Comprehensive Assessments (also see *section 4.1*)

WASH Cluster Comprehensive assessment tool (CAT)

Reaching common agreement for the content of WASH sector-specific needs assessments will need to be carefully negotiated.

The **Comprehensive Assessment Tool (CAT)** incorporates 40 indicators across the seven WASH sub-sectors, as summarized in the box below. These can be selected by the WASH Cluster, as appropriate to the emergency situation, local context, or specific location. Alongside the indicators is a range of options for appropriate interventions to address the problems identified.

WASH Comprehensive Assessment Tool - Summary of Indicators

Section 1

- 1-1 Extent of global acute malnutrition and food insecurity
- 1-2 Access to health services
- 1-3 Presence of faecal-oral diseases
- 1-4 Density of settlement in m² of total site area per person
- 1-5 Number of people on the site
- 1-6 Shelter conditions
- 1-7 Adult HIV prevalence rate

Section 2

- 2-1 Proportion of households where only safe water is used for drinking and cooking
- 2-2 Proportion of men, women, and children who last defecated in a toilet (or whose faeces was last disposed of in a toilet)
- 2-3 Proportion of men and women washing hands with water and soap or substitute after contact with faeces and before contact with food and water
- 2-4 Proportion of pregnant women, children under five, and other vulnerable people sleeping under effective insecticide-treated mosquito nets
- 2-5 Proportion of households where food is safely stored, prepared, and consumed

Section 3

- 3-1 Proportion of households possessing soap
- 3-2 Proportion of households possessing one or more effective insecticide-treated mosquito nets
- 3-3 Accessibility of appropriate underwear, and sanitary protection materials for menstruation, for women and girls
- 3-4 Proportion of households possessing at least one clean narrow-necked or covered water container for drinking water
- 3-5 Average total capacity of water collection and storage containers at household level (l)
- 3-6 Proportion of households with appropriate water-treatment supplies and equipment

Section 4

- 4-1 Quantity of water used per person per day for drinking, cooking, hygiene and laundry (litres per person per day)
- 4-2 Likelihood of a critical fall in quantity of water available per day within the next month
- 4-4 Average time required (minutes) for one water-collection journey, including travel in each direction and queuing
- 4-4 Proportion of households with access to a source of safe drinking water
- 4-5 Access to appropriate bathing facilities
- 4-6 Access to appropriate laundry facilities

Section 5

- 5-1 Presence of human faeces on the ground, and on and around the site
- 5-2 Average number of users per functioning toilet
- 5-3 Proportion of households with access to a functioning toilet
- 5-5 Proportion of toilets with functioning and convenient hand-washing facilities
- 5-6 Proportion of toilets that are clean

Section 6

- 6-1 Degree of malaria risk
- 6-2 Degree of other biological vector-borne disease risk
- 6-3 Risk of fly-borne disease

Section 7

- 7-1 Presence of solid waste on and around the site
- 7-2 Presence and effectiveness of a solid-waste management system

Section 8

- 8-1 Presence of stagnant water on and around the site
- 8-2 Risk of water-induced damage at the site

Section 9

- 9- 1 The WASH response includes effective mechanisms for representative and participatory input from all users at all phases
- 9-2 All groups within the affected population have equitable access to WASH facilities and services
- 9-3 The affected population takes responsibility for the management and maintenance of facilities as appropriate, and all groups contribute equally

The CAT is designed for use by WASH specialists, and the 'traffic light' system of rating the level of crisis is used. By combining data from the CAT and data from Agency Reporting Templates (see *below*), it is possible to generate Needs, Capacity, and Gap Analysis reports through the WASH Cluster Data Collection and Reporting Tool.

Alternative comprehensive assessment tools and approaches

A range of participatory approaches can be used to support comprehensive assessments. For further details refer to the Summary of Data Collection tools in Resources below.

Tips in developing Assessment Data Recording templates

- ✓ Engage cluster partners in development of the assessment data recording templates because they know what information is required.
- ✓ Word questions carefully to mitigate the risk of misinterpretation and refer to past examples.
- ✓ Incorporate common location data requirements, e.g. P codes and location names, to enable use of GIS for analysis.

3.2.4 Ongoing monitoring and assessments (see *section 4.2*)

WASH Cluster Monitoring tool

A standard **WASH Monitoring Tool** has been developed to enable consistent collection of on-going assessment or monitoring data within the same location over a period of time. This may be done on a regular weekly / monthly basis, or as a periodic exercise. Either way, use of a standardized template by all agencies working in a particular locality will facilitate more accurate comparison, analysis, and reporting.

In situations or locations which are insecure, unpredictable, or highly vulnerable, reactive situational assessment processes may need to be put in place.

In developing monitoring tools it is important to appreciate that most WASH Cluster partners will be reporting to multiple stakeholders. Keeping information demands to a minimum will help to get basic information from most partners, rather than requesting detailed information, and only getting it from one or two.

Integrated Monitoring Matrix

An integrated monitoring matrix allows for integration of key information across agencies and locations within the WASH Cluster, or across all Clusters by UNOCHA.

This tool links on-going assessment data and key Cluster indicators (see *section 4.1*) with a geographic framework of reference for affected locations in the Cluster, or across all Clusters. An additional column to record problems specific to particular locations or camps was found to be useful in Chad. This enables:

Highlighting of gaps in information;
 Clear division of geographical areas and responsibilities;
 Consistency and complementarity in the indicators being used at sub-national level (and across Clusters);
 Consistency in the use of baseline data, e.g. affected population figures;
 Highlighting of, and attention to, common problems / constraints.

Further **guidelines on the Integrated Monitoring Matrix** can be found under Resources below, along with a sample of the **Inter-cluster IMM** from Myanmar.

Pipeline analysis

Pipeline analysis can be undertaken through gathering more detailed supply information for Cluster partners (a **Gap Analysis** example from the ESC Cluster is provided in the Resources) in order to coordinate the actual and expected availability of resources. However, it is important to **request additional information only when it is actually needed**, otherwise it simply adds to the WASH Cluster partner's reporting burden.

3.2.5 Who What Where and When

WASH Cluster Agency Reporting template

A standard WASH Cluster **Agency Reporting Template** can be used to gather data on who is doing what, where, and when (4Ws).

A Summary Agency Report spreadsheet can then be generated using the WASH Cluster Data Collection and Reporting Tool. It will save considerable data-entry time if WASH agencies can input the data directly into the WASH Cluster Data Collection and Reporting Tool via the Cluster website. Alternatively, data may need to be entered manually.

UNOCHA Who does What Where (3W) and Contact Database

Similar information can be generated through the OCHA 3W database. This enables WASH Cluster partners to input data via the OCHA 3W website (<http://3w.unocha.org/WhoWhatWhere/>) and can generate 3W matrices, contact lists, projects by cluster, gap analyses, and geo-referenced data for map production.

Further information about the 3W database and other IM systems and tools provided by UNOCHA can be found at www.humanitarianinfo.org/imtoolbox and in the **Operational Guidance on Responsibilities of Cluster Sector Leads and OCHA in Information Management** under Resources below.

Alternative ways for collecting WWW information

Depending on the communications infrastructure and Cluster partner capacities, it may be necessary to gather Who What Where information using a basic **Excel spreadsheet** or **Word template**. In some cases data may be gathered verbally. Whatever the collection method, the data can still be processed using the WASH Cluster Data Collection and Reporting Tool.

3.2.6 WASH Cluster Capacity Assessment

Having a reasonable idea of WASH sector and agency capacity is core to effective coordination. Capacity needs to be considered in terms of preparedness, funding, staffing levels and experience, and available resources and those 'in the pipeline'.



WASH Cluster National Capacity Mapping Tools

A set of national **Capacity Mapping Tools** have been developed by the Global WASH Cluster and are incorporated under Resources below. These tools are designed for use **prior** to a disaster onset but include comprehensive information about in-country WASH agency and WASH sector capacity. Where available this represents a significant resource for the WCC in coordinating the WASH Cluster response.


A capacity mapping exercise of this scale would be facilitated with the support of an external consultant, and **guidance notes**, along with a **sample ToR** document, are included with the Resources.

If pre-crisis information is not available, mapping of WASH stakeholders, including community groups, national and local authorities, state institutions, civil society organizations, etc., and their involvement and interest in the response, will be an important part of the initial assessment process in order to provide a more comprehensive understanding of capacities, vulnerabilities, and power relations. Use of an Agency profile template when first setting up the Cluster (refer to *section 1.4*) will assist in gathering this background data.

Resources

-  IASC Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management v2.1, Oct 2007
-  Bauman, N., Summary of Global WASH IM Project tools, Oct 08

Rapid Assessment

-  **Initial Rapid Assessment (IRA) Tool:** Field Assessment Form, IASC Health, Nutrition and WASH Clusters, 4 Nov 2008

- 📖 Initial Rapid Assessment (IRA) Tool Guidance Notes, IASC Health, Nutrition and WASH Clusters, 28 Oct 2008
- 📖 Govt of Lao PDR, Rapid Assessment - village checklist, 2008

Comprehensive Assessment

- 📖 WASH Comprehensive Assessment Survey Tool (CAT), 2008
- 📖 Guidelines for Comprehensive Assessment Tool (CAT), 2008
- 📖 WASH CAT Data Entry spreadsheet, 2008
- 📖 WASH CAT Indicator Summary, 2008
- 📖 WASH CAT Recording form, 2008
- 📖 Checklist for WASH assessments, ACF/OXFAM, 2008
- 📖 WASH Cluster Coordination Handbook, Compilation of Data Collection Tools

On-going monitoring and assessment

- 📖 WASH Monitoring Tool
- 📖 WASH Monitoring Tool summary sheet
- 📖 Daily Morbidity / Mortality Surveillance Form, Health Cluster, Myanmar
- 📖 UNOCHA Integrated Monitoring Matrix, Myanmar
- 📖 ES Cluster paper, Notes on the Integrated Monitoring Matrix, Pakistan Earthquake, 2005.

Who What Where and When

- 📖 WASH Agency Reporting Template, 2008
- 📖 Agency Reporting form (in Word format), UNOCHA, Lebanon
- 📖 Agency Reporting form (in Excel format), Bangladesh, 2007
- 📖 Distribution Gap Analysis, Emergency Shelter Cluster, Myanmar, 2008
- 📖 WWW map for WASH cluster by sub-sector, Trincomali District, Sri Lanka, UN OCHA, April 2008
- 📖 WWW map for WASH Cluster by agency, E. Chad, UN OCHA, August 2008
- 📖 WWW WASH Cluster spreadsheet, Bangladesh, 2008
- ▶ <http://3w.unocha.org/WhoWhatWhere/> UNOCHA 3W website

Capacity assessment

- 📖 WASH Capacity Mapping Tool, Outline of WASH Cluster actions, 2008
- 📖 WASH Capacity Mapping Tool, Tool 1 WASH background - guidance notes
- 📖 WASH Capacity Mapping Tool, Tool 2 Agency capacity - guidance notes
- 📖 WASH Capacity Mapping Tool, Tool 3 WASH emergency capacity - notes
- 📖 WASH Capacity Mapping Tool, WASH background tool
- 📖 WASH Capacity Mapping Tool, Agency capacity tool
- 📖 WASH Capacity Mapping Tool, WASH emergency capacity tool
- 📖 ToR for Mapping of WASH Capacity at country level

3.3 WASH Cluster and UNOCHA IM responsibilities

3.3.1 WASH Cluster responsibilities for IM

An **IASC Guidance Note** sets out the responsibilities of Cluster Lead Agencies and UN OCHA for managing information within the Cluster Approach (see Resources below). The main responsibilities for the CLA are summarized here:

- i) ***Establish necessary IM systems and tools***
- main responsibility of the CLA and IM focal point (*refer to section 3.2*).
- ii) ***Generate and share Cluster specific information***
- responsibility of the WCC, Information Manager, and all WASH Cluster partners.

Cluster specific information will include:

- details of Cluster partners and stakeholders,
- situation reports and progress updates,
- communications, e.g. emails, letters, press releases, etc.,
- meeting outcomes,
- standard formats and templates,
- policy guidelines and technical guidance, e.g. standards,
- data sets, outcomes of needs assessments, and gap analysis,
- plans, reviews, and evaluations.

Generate and share information that:

- ✓ Is timely, useful, and reliable;
- ✓ complies with agreed Cluster indicators and standards;
- ✓ is readily interpreted and understood, e.g. succinct, visual presentation, translation, etc.;
- ✓ is easily disseminated and accessed, e.g. through public notices, meetings, and the media for affected communities, or web-based updates for international agencies.

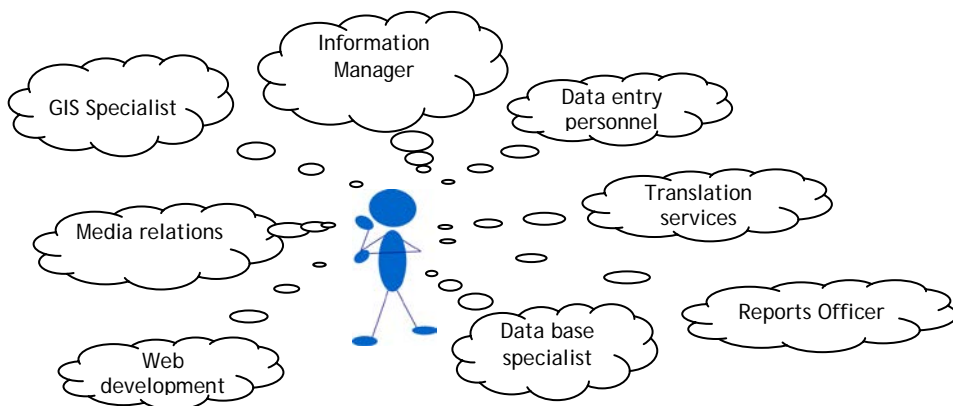
- iii) ***Contribute to inter-Cluster IM coordination***
- responsibility of the WCC, IM focal point and WASH Cluster steering group.

Coordination activities will include:

- mobilising IM resources and capacities,
- participation in the IMWG (see below),
- contribution to inter-Cluster coordination and information exchange led by UN OCHA,
- adherence to Global Cluster and national IM standards, e.g. disaggregated data requirements,
- identification of WASH-specific information needs within the WASH Cluster, and for other Clusters and stakeholders.
- generating and sharing up-to-date WASH-specific information within the WASH Cluster and with UN OCHA,
- ensuring adherence to data protection and confidentiality requirements in the use and storage of information.

3.3.2 Getting IM expertise

Who is involved in Information Management for the Cluster?



Experience has shown that effective IM is critical to the WASH response and cannot be managed by the WCC alone.

An IM focal point is needed to take lead responsibility for the Cluster's IM needs and represent the WASH Cluster within the inter-agency IM Working Group (see details below).

Make a case for a dedicated **WASH Cluster Information Manager** to take the role of IM focal point (see the **Terms of Reference** here). This approach is being supported by Global WASH for large-scale emergencies in particular, following learning from a series of WASH Cluster reviews.¹¹

An Information Manager plays a critical role in the early response, in identifying and prioritising needs, highlighting duplication and gaps, and directing new agencies to the greatest areas of need. This role enables the WASH Cluster to:

- ✓ Order and process large amounts of data being collected,
- ✓ ensure sufficient detail without getting bogged down,
- ✓ maintain an objective overview and check and verify details,
- ✓ produce maps and visual data sets,
- ✓ prepare data for analysis, resource mobilisation, advocacy, and reporting.

If an Information Manager cannot be recruited, the IM focal point will need to be found from within the Cluster. Additional IM support may also be sourced through other clusters, Global WASH, or external sources, e.g. government, academic or research institutions, private sector. Ultimately the WCC will be required to undertake the Information Management function if there is no-one else available.

An intern or student may also assist the IM function with data entry and managing data storage, etc.

3.3.3 IM capacity of WASH Cluster partners

IM may be a weakness for partners, leading to errors, false data, etc. Developing a strategy to improve Cluster partner's IM capacity, and to support their IM needs, is as important as developing the IM tools. However good the tools, it is the data that makes them useful.

¹¹ Global WASH Learning Project, 'Implementation of the WASH Cluster Approach - Good Practice and Lessons Learned', Oct 2008 - refers to dedicated Information Managers in Bangladesh, Myanmar, Uganda

Example: Filling information gaps in Lebanon

In Lebanon there were continuous difficulties in getting information from Cluster partners because they were always in the field. As a result, coordination maps were produced highlighting the information gaps. These were shown to donors, and displayed in coordination meetings. When agencies saw the value of these maps, and noted that their names were missing, they were more responsive in providing the correct, or missing information.

Getting the right data is difficult, so it's important to make it as easy as possible for people to provide it.

a) Sharing information

Sharing and exchange of information between partners will assist in identifying both strong and weak IM capacities. A culture of sharing can only be developed if requests for information by the WASH Cluster take partner capacities into account and are matched by timely dissemination of relevant information to all Cluster partners in an accessible and user-friendly format.

Degrees of sharing – <i>what to aim for</i>				
Questions				
Making assessment?	Each does own - does not share	Each does own - and shares	Each uses agreed tools - and shares	Joint assessments using agreed tools and share
Collecting information?	Stored in agency files	Informs individual decision making	Jointly shared and used for joint planning	Used to agree common plans and joint budgets
Monitoring?	Each does own - does not share	Each does own - and shares	Each uses joint tools - and shares	Joint monitoring using agreed tools and share
WASH Cluster Coordinator Training BKK April 2008				

b) Actions to build capacity

The WCC / IM focal point will need to:

- ✓ Identify and address IM capacity-building needs of Cluster partners, e.g. through training, mentoring with more experienced or better-resourced organisations, sharing systems.
- ✓ Assist Cluster partners to meet Cluster information needs through minimising requirements, adopting simple tools, and providing timely, relevant information to meet their own coordination needs.
- ✓ Develop dissemination systems and national and field level Cluster communication structures that facilitate verbal feedback and accommodate field constraints in attending meetings, accessing the internet and email, writing lengthy reports or updates, etc.

3.3.4 IM responsibilities of UN OCHA

Information Management is one of the four main competencies in which UN OCHA supports inter-Cluster coordination (see *section 1.5* for further details of OCHA's role).

i) *Support coordinated information between Clusters*

- ✓ Facilitate cross Cluster needs and gap analyses.
- ✓ Collect, disseminate, and coordinate inter-Cluster information.
- ✓ Establish a country-specific Inter Agency website platform to act as a portal for Cluster-specific operational coordination. Anticipated functions of an OCHA managed inter-agency website are documented in the **Functional Requirements for Inter Agency Website Platform** document in Resources below.

OCHA websites

Information relevant to the WASH Cluster may currently be found in a range of places including:

- www.humanitarianreform.org
- www.humanitarianinfo.org
- Country level inter-agency websites, e.g. Inter-agency web platforms, Humanitarian Information Centre (HIC).
- Cluster-specific, country-level websites.

In future, these services will be amalgamated in a single Inter-Agency website platform, as set out above in the document highlighted above.





- ✓ Suggest databases, datasets, e.g. P-Codes, map projections.
- ✓ Develop standardised information products, e.g. Contact directories, meeting schedules, 3W schedules, sit reps.
- ✓ Provide data on humanitarian funding requirements and contributions through the UN Financial Tracking Service (FTS).

ii) *Support operational analysis*

- ✓ Provide and maintain an inventory of common datasets for assessments, proposals, e.g. affected population denominator / datasets.
- ✓ Provide mapping products and services.
- ✓ Supply geospatial data and analysis.
- ✓ Provide technical IM advice.

iii) *Establish an Information Management Working Group (IMWG) involving the IM focal points from all clusters.*

Resources

-  IASC Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management v2.1, Oct 2007
-  WASH Cluster Information Manager ToR
-  Global WASH Cluster Yahoo Group Service Guidance Note, Nov 2007.
-  Gordon, P., Functional Requirements Document - Inter Agency Website Platform, UNOCHA, 2008
- ▶ <http://www.humanitarianinfo.org/>
UN OCHA Humanitarian Information Centre (HIC) - systematically collect, process, and disseminate information.
- ▶ <https://gist.itos.uga.edu/index.asp>
Geographic Information Support Teams - deployed by UN OCHA to develop information products and tools in a disaster.
- ▶ <http://ocha.unog.ch/fts2/pageloader.aspx?page=home>
FTS - Global humanitarian aid database shows all donor contributions to all countries in current and previous years.
- ▶ <http://www.humanitarianinfo.org/IMToolBox/>
Extensive information about the IM services and tools available from UN OCHA.

4 ASSESSING NEEDS AND ON-GOING MONITORING

Chapter Four relates to the following WCC responsibilities:

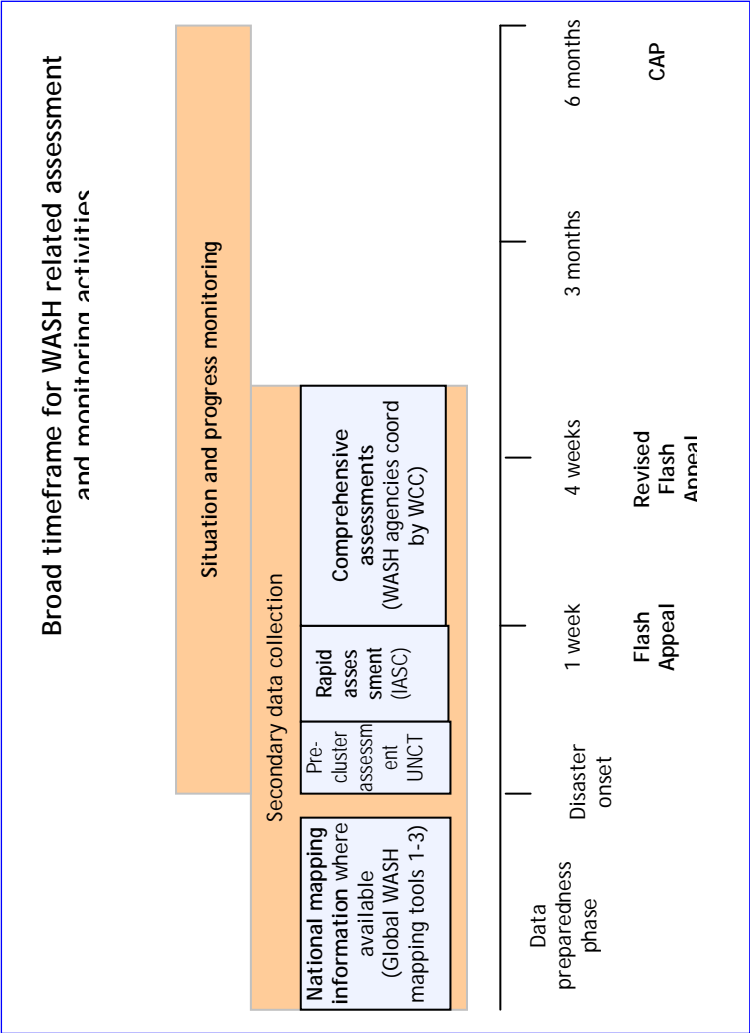
- ✓ Assessing needs;
- ✓ Avoiding gaps and duplications.

The chapter is split into the following **two** sections:

4.1	Assessment of the emergency situation	<ul style="list-style-type: none"> ▪ An overview of the needs assessment processes ▪ Purpose of a rapid assessment ▪ Outline process for rapid assessments ▪ Preparation for rapid assessments ▪ Data collection, processing, and analysis ▪ Comprehensive assessments ▪ Outline process for comprehensive assessments
4.2	On-going monitoring and assessment	<ul style="list-style-type: none"> ▪ Purpose of monitoring WASH interventions ▪ Coordination of on-going monitoring and assessment ▪ Reviewing WASH Cluster progress and results

4.1 Assessment of the emergency situation

4.1.1 An overview of the needs assessment processes



A continuous process of needs assessment, analysis, and monitoring is required throughout the early response stages of a rapid-onset disaster, as illustrated above. A similar on-going process is used in complex emergencies.

i) *Within the first 1-2 days following a rapid-onset disaster...*

A (pre-Cluster) assessment may be undertaken by whoever is on the ground at the time. This is likely to be before the WCC arrives and probably undertaken by the government, or RC and existing UN Country Team (UNCT).

An assessment at such an early stage would draw information from satellite over-flights, anecdotal evidence, secondary data, and possibly a visit to the affected area, e.g. if the affected area is in close proximity or a large urban area has been affected.

Spontaneous mobilisation and self help among the affected populations will continue with limited external intervention other than immediate search-and-rescue operations.

This is also the stage that a decision will be taken whether to adopt the Cluster Approach or not.

ii) *Within one week of a rapid onset disaster...*

A Flash Appeal will need to be prepared.

In order to do this, a minimum level of disaggregated assessment data is needed to help inform:

- *The nature and scale of the emergency and its impact.*
- *The size, location, and characteristics of the affected populations.*
- *The location of affected areas.*
- *Immediate needs and priorities.*
- *Information gaps that need to be filled.*
- *Principle stakeholders and information sources.*
- *Immediate resource requirements.*

This data will normally be gathered through a rapid assessment process, which may be an inter-Cluster assessment coordinated by the HC / UNOCHA, or a rapid assessment within the WASH Cluster based largely on meta-analysis of disaggregated assessment information provided by WASH Cluster actors. Broad timings for the process are:

1-2 days - to agree baselines, tools, indicators, etc.

1-3 days - organisation and briefing / training of assessment teams

1-3 days - data collection in the field

1-2 days - data processing and analysis

The type of rapid assessment will depend on the nature and scale of the emergency, the degree of existing emergency and data preparedness in the country, and the presence and capacity of agencies on the ground before the disaster.

Information generated from a rapid assessment is often unreliable but should lead to a 'common overall assessment' of the facts among the Humanitarian Country Team (HCT).

Outcomes from the rapid assessment will form the basis for initial WASH Cluster response planning, and by this stage WASH Cluster actors will already have begun to mobilise and intervene. Access to assessment data is therefore critical in undertaking a reasonable analysis of the situation and mitigating the risk of duplication and life-threatening gaps in response.

iii) *Within 2-4 weeks of a rapid onset disaster...*

Many WASH agencies will be undertaking their own comprehensive WASH sector-specific assessments, and the emphasis of the WCC role is in getting a coordinated approach to:

- *how the assessments are carried out, e.g. common indicators,*
- *what data is shared,*
- *a process for central analysis, including identification of duplication and gaps, and reporting of that data.*

At this stage, the focus of assessments will be at sub-national rather than national level, demanding an effective WASH Cluster coordination structure at sub-national level and good communications between the national and sub-national level Cluster coordination structures (see *section 1.2* for further details).

A coordinated process for comprehensive assessments is likely to take 4-6 weeks, with the following broad timings:

4-7 days - to prepare

1-2 weeks - in the field

1-2 weeks for data analysis

up to 1 month from the start for final reporting

Initial findings from the comprehensive assessment process should feed into a Revised Flash Appeal four weeks after the emergency onset.

iv) *From one week to six months after a rapid onset disaster*

There will be an on-going process of assessment, and situation and progress monitoring. During this process there may be a range of detailed assessments within different Clusters, and joint assessments coordinated by the HC / UNOCHA.

On-going monitoring and assessment will remain focused at field level and should inform a continuous process of reviewing the WASH Cluster response plans.

In large-scale disasters, where the emergency response is expected to continue beyond 6 months, a Consolidated Appeals Process (CAP) will be initiated approximately six months after the emergency onset. See *section 6.1* for further details.

v) *Complex and on-going emergencies*

The pattern of assessments in on-going emergencies will be determined largely by changes in the context. If there is a rapid deterioration in the situation then a rapid assessment of the new situation may be needed.

Otherwise, it will generally be comprehensive assessments that are undertaken in particular locations or in relation to particular problems brought about by the impact of the emergency. These will be timed, where possible, to feed into the Consolidated Humanitarian Action Plan (CHAP) which is compiled annually in November.

An on-going process of assessment and monitoring will take place in the same way as outlined for rapid-onset disasters.

Challenges in coordinated rapid assessments

It took 16 days to plan and roll-out the joint rapid needs assessment during the Pakistan flood response of 2007, and a further ten to collect, collate, and analyse the data. Given that the 'Flash Appeal' - the main reason for conducting a 'rapid' assessment in the first place - is supposed to be launched seven days after the onset of crisis, this could be considered a bit slow. In fact, by the time of the Appeal's launch, donors had already made their funding decisions independent of either a consolidated evidence base or sector-specific Cluster input, thereby negating the point of the exercise.

During the cyclone Sidr response in Bangladesh later that year, the WASH Cluster included its sector-specific questions in the rapid assessments of other Clusters, only to find that the agencies conducting those assessments found it difficult to release the findings quickly - in the case of livelihoods security, some two months later.

The aim of a 'rapid' needs assessment is to 'triangulate' as much relevant primary or secondary data as possible, to provide evidence on which to base response planning. To enable this, a simple, two-page questionnaire with three questions from each relevant sector should be used. Data can be centrally collated, but each Cluster should undertake its own sectoral analysis and use the findings for planning and resource-mobilisation.

Examples provided by James Shepherd-Barron, Emergency Shelter CC in Pakistan, Yogyakarta, and WASH CC in Bangladesh and Georgia.

4.1.2 Purpose of a rapid assessment

A rapid assessment provides a quick overview of an emergency situation and assists in identifying the response priorities for the first 1-2 months.

It should answer the following questions:

1. **What has happened?** Is there an emergency situation and, if so, what are its key features?
2. **How many people have been killed, injured, affected and where are they?** Who is most vulnerable and why?
3. **Where did it happen?** Identify the geographical areas and environmental conditions.
4. **What is the extent of damage?** What impact is this having on people's ability to survive?
5. **What interventions are required?** What are the priorities for action to prevent further harm or loss of life, and the necessary resource requirements for an immediate short-term response?
6. **What resources and capacities are already present** and what are the immediate capacity gaps?
7. **What are the emerging threats?** For example renewed conflict, landslides after flooding.
8. **What are the key information gaps?** What follow up is needed and what is the process for on-going monitoring and assessment?

4.1.3 Outline process for rapid assessments

a) Inter-Cluster rapid assessment

Following the decision by the HC / RC, UNCT, and national government to conduct a joint rapid assessment, they will assign a national-level coordination team involving representatives from government, the Clusters involved, and other key actors in the response.

The process should take between five and ten days and feed into the Flash Appeal process.

Coordination will also be needed at field level to organise the assessment teams, and this will be managed through the different Clusters involved.

The main stages in the process are set out in the table below, and comprehensive details are set out in the **IRA Guidance Note**.

An **Initial Rapid Assessment (IRA) tool** has been developed to provide a basis for joint rapid assessments involving the Health, WASH and Nutrition Clusters. Comprehensive details can be found in *section 3.2*.

IRA steps	By whom
Outline assessment requirements 1. Develop IRA tool – country edition 2. Collect, process, and analyse disaggregated secondary data 3. Selection and formation of field assessment teams 4. National-level coordination 5. Reporting and dissemination of IRA findings	HC/RC and National-level coordination team (inc. WCC)
Organisation of field assessments 1. Identify, brief / train assessment teams 2. Outline fieldwork plans and organise logistics 3. Organise a mechanism for processing and analysis of data	Field-level coordination team (inc. WCC / WASH Cluster support team and Cluster actors)
Field level data collection 1. Verify secondary data 2. Collect disaggregated primary data 3. Reporting	Field assessment teams
Data processing / analysis Reporting to national-level coordination team	Field-level coordination team

The WCC role is to:

i) represent the WASH Cluster within the task force and in consultation with Cluster partners:

- ✓ agree which Clusters participate and the role of government,
- ✓ provide the WASH input for the joint rapid assessment tool and indicators,
- ✓ agree on methodologies and advise on methods required for the WASH sections,
- ✓ agree who will supply resources, e.g. survey team members, transport, funding for the assessment,
- ✓ agree on the provisions for Information Management.

ii) support the inter-Cluster task force and facilitate the involvement of WASH Cluster actors in:

- ✓ selection and training of assessment team members (particularly when non-WASH cluster personnel or government officers will be covering WASH sections of the survey),
- ✓ coordinate the collection, processing, and analysis of disaggregated data from field assessment teams.

b) WASH Cluster rapid assessment

A WASH Cluster rapid assessment follows a similar process, with the national-level coordination undertaken by the Cluster steering group.

As assessments will probably already be underway by some WASH sector actors, the national-level coordination function will include a meta-analysis of on-going assessment findings, in addition to coordination of field assessments conducted using the same assessment criteria (e.g. between three and five standard indicators, common survey questions, etc.) and tools.

A **Rapid Assessment Tool (RAT)** has been developed to facilitate rapid assessments in WASH. See *section 3.2* for full details plus examples of a number of rapid assessment tools developed in the field.

4.1.4 Preparation for rapid assessments

a) Outlining the WASH requirements for a rapid assessment

Coordination of the overall assessment process will be easier to manage through a smaller steering group within the WASH Cluster. This group can also liaise and maintain regular communication with the HC, government, national-level coordination team (in the case of joint Cluster rapid assessments), and WASH Cluster participating agencies.

Based on available pre-crisis data, secondary information, and experience from similar emergencies and contexts (e.g. from the EmergencyInfo database under Resources below), build up a picture of the anticipated situation on the ground. Then detail the disaggregated information needed to get a more complete understanding:

- ✓ Define the broad scope of assessment: geographical coverage, timing, number of assessment teams, key information needs, and information sources.
- ✓ Clearly define common standards, objectives and three to five indicators, taking into account:
 - Access to and availability of safe drinking water and water storage,
 - access to and availability of water for personal hygiene / household use,
 - access to and means of excreta and solid waste disposal.
- ✓ Ability to practice safe hygiene practices (knowledge and resources).
- ✓ Outline anticipated strategies for the WASH response.
- ✓ Ensure that the information provided takes account of, and complements assessments planned by the government and / or other Clusters.

b) Collection of secondary data

Secondary data comprises pre-crisis and in-crisis data collected primarily at national-level. Begin collection as soon as the WASH Cluster is formed, using government, UN, and in country NGO sources.

<p>Pre-crisis data is needed to:</p> <ul style="list-style-type: none">✓ Provide a baseline for WASH;✓ Identify pre- crisis vulnerabilities;✓ Outline demographics of the affected population ;✓ Identify requirements from national legislation, policy, and standards ;✓ Identify geographical, political, social, and cultural factors which can influence access, vulnerability, resource availability, etc.;✓ Identify national response capacities.	<p>In-crisis data assists in establishing:</p> <ul style="list-style-type: none">✓ The nature, scope, and extent of the emergency;✓ The most affected areas and groups;✓ Suitable sites;✓ In-country and national and local response capacities;✓ The main stakeholders;✓ Physical, security, and logistical constraints.
---	---

c) Adapting assessment tools and methodologies

The WCC and WASH Cluster have a role in advising what information is needed for the WASH response. Agree on indicators and information needs with WASH Cluster partners (and other relevant Clusters if a joint rapid assessment is not being undertaken).

The *Rapid Assessment Tool* (RAT) provides a one-page checklist of questions to guide rapid data collection for the WASH sector. Inputting the data collected into the *Comprehensive Assessment Tool* (CAT) database will then enable the Cluster to analyse and generate standardised assessment reports very quickly. Details of both tools can be found under *section 3.2.*)

Quick tips for rapid assessment surveys

- ✓ Focus on the critical issues and keep the survey short and simple.
- ✓ Pose questions carefully to ensure that the answers are useful and can be effectively analysed.
- ✓ Field test the survey to ensure that the questions can be understood.

The survey questions will determine the information sources required and the assessment methodologies needed, e.g. questions about household water use and hygiene practices might be addressed through household-level interviews or a transect walk, with women.

- ✓ Consider the anonymity and safety of all information sources.
- ✓ If possible, use participatory methodologies.
- ✓ Select methodologies which are feasible within the timeframe.
- ✓ Try to reach agreement on common information sources and methodologies across the Clusters.

d) Establishing assessment teams

One of the most time-consuming parts of preparation for an assessment will be the selection and training of assessment teams, particularly when they are made up of generalists with little or no WASH-sector experience. This can take up to a week.

Desirable assessment team characteristics

- Generalists with experience of qualitative, participatory research methods.
- Gender, age, and ethnicity balance.
- Representation of international, national, and local actors.
- Objectivity and neutrality.
- Sound local knowledge, language and local reputation.
- Multi-agency representation.
- Previous experience of similar disasters.

Generally there will be between two and five assessment team members per team, depending on the number and size of sites, availability of skilled assessors, and available resources.

The WASH Cluster will need to agree which representatives participate in the assessment on its behalf. As time in the field will be limited, ensuring that assessment team members have clear and specific roles and responsibilities will help to get the most out of a rapid assessment.

e) Planning fieldwork and logistics

A field work plan is useful in outlining:

- ✓ allocation of assessment teams to specific locations;
- ✓ site details, e.g. location, GPS coordinates, and sequence of visits;
- ✓ means of travel, time allowed, and fieldwork time at each location;
- ✓ frequency and form of reporting;

- ✓ arrangements and equipment for eating, drinking, sleeping;
- ✓ access, security, and communications arrangements.

Selection of areas for assessment should be broadly based on:

- Locations of perceived greatest need (from two-thirds to three-quarters of assessment sites);
- Locations of medium need;
- Unaffected locations (10 per cent) to provide a basis for comparison if secondary information is considered insufficient for this;
- A range of locations representative of different affected groups, e.g. pastoralists, agriculturalists, urban dwellers, IDPs, refugees, host communities, etc.;
- A focus on under-assessed areas.

Detailed site selection is better decided by the assessment team leaders once they are in the field, based on their initial findings.

4.1.5 Data collection, processing, and analysis

Data will be collected through a combination of focus group discussions, key informant interviews, and observation.

It also pays to consider the potential impact of the assessment on the longer term relationship with affected communities.

- ✓ On arrival, meet with local and traditional authorities or leaders. This also provides an opportunity to gather background data.
- ✓ Take care not to raise community expectations about the level of support that might be provided.
- ✓ Use participatory approaches where possible, but at least with a sample of sites or households.
- ✓ Provide feedback to local and traditional authorities before leaving.

Key points for effective data collection and processing

- ✓ Use **purposeful sampling** if there is a significant difference between households;
- ✓ **Disaggregate** data by age and gender;
- ✓ **'Triangulate'** - verify data collected from three different sources or people;
- ✓ Consider **disaster impacts** - at household, community, and society levels;
- ✓ **Highlight bias** - in information, methodologies, and findings;
- ✓ Look out for **inconsistencies** - the unexpected or emerging trends.

a) Data processing and analysis

Data processing should be managed by the IM focal point, including other expertise as required, e.g. early-recovery specialist. Where communications allow, sending summary assessment data back from the field on a daily basis will help speed up the overall assessment process. This will also allow for more objective 'external' analysis.

Data analysis should be undertaken by the Cluster steering group (or national-level coordination team for joint Cluster assessments). The assessment data from different locations can then be compared and reviewed, drawing on:

- *secondary pre-crisis data for conditions in the same locality / nationally and for similar vulnerable groups,*
- *secondary in-crisis data to check for bias and ensure triangulation,*
- *data from other assessments and clusters,*
- *national and international benchmarks for similar crisis situations.*

The summary information generated from this process should **answer the key questions posed at the start of this section**, and identify any further risks to the affected populations.

Outputs from processing and analysis of the initial assessment data should include preliminary qualitative findings, followed by a brief Initial Rapid Assessment Report.

b) Reporting and dissemination of assessment findings

The main principles underlying rapid assessment reporting are **speed, brevity, transparency, and focus on concrete recommendations**.

Tips for assessment reporting

- ✓ Keep reports **short and simple**.
- ✓ **Tabulate** information where possible.
- ✓ Outline assessment **methodology**, highlighting any gaps, bias, assumptions, and limitations.
- ✓ Present **clear, evidence-based conclusions**; explain the problems, impact, needs, and recommended actions.
- ✓ **Disseminate promptly and widely**, and publicise findings in local languages and at community level.

Presentation of information in a coherent and consistent manner will strengthen the analysis of humanitarian needs and improve opportunities for advocacy and mobilizing funding.

4.1.6 Comprehensive assessments

By the 2-4 week stage of the response there may be numerous assessments underway, and effective sub-national level WASH coordination will be key to getting some level of consistency in the way they are being undertaken, and in capturing, analysing, and disseminating the data collected.

Individual WASH agencies may undertake assessments that are specific to particular sub-sectors of the WASH response, particular locations, or particular issues or concerns in relation to the emergency. The information gathered is critical in understanding the changing emergency situation and informing on-going developments and adjustment of WASH Cluster response plans.

To facilitate this, the WCC role is to :

- Facilitate WASH Cluster agreement on **what assessment and monitoring data needs to be shared** and how to do this;
- Facilitate agreement to **common standards for assessments** so that the data generated can be usefully compared and analysed;
- Establish an **appropriate monitoring system** and tools;
- Establish **coordination mechanisms at sub-national level** for the compilation, analysis, and reporting of relevant assessment and monitoring information;
- Undertake a **meta-analysis of assessments** carried out by Cluster partners to guide more detailed response planning and input to the revised Flash Appeal (see *section 6.1*). This may be done four to six weeks after the disaster began.

Challenges and strategies for coordinating assessments

Challenges	Strategies for coordination
✗ Many agencies will use their own tools, hindering coordination of assessment approach and useful analysis of findings.	✓ Establish common standards, inc. indicators, information needs and questions, and methodologies. The CAT provides a good basis for doing this.
✗ It may be difficult to get Cluster partners to focus on the need for coordinated assessments, rather than coordinated relief.	✓ Fully inform and involve Cluster partners in the Cluster response planning and review process so that they see how coordinating assessment information will enable coordinated relief.
✗ There may be limited available expertise and capacity for assessment design and analysis.	✓ The CAT tool provides overcomes the need for this level of expertise.
✗ Time and effort can be wasted	✓ Focus on the information content

<p>on trying to reach consensus on an assessment methodology.</p> <ul style="list-style-type: none"> ✗ Agencies may be unwilling or slow to share findings, or they are presented in a different format. ✗ There may be delays in dissemination of data from joint assessments or other agencies. 	<p>(indicators, questions, etc.) rather than the tool. Highlight how agency time and resources can be saved using a common database like the CAT.</p> <ul style="list-style-type: none"> ✓ As above: demonstrate how important this information is for a coherent WASH response, and encourage use of the CAT. ✓ Establish a mechanism for centrally collating, analysing, and disseminating data. This will save agency time and can overcome delays. However, significant data-entry capacity may be needed at sub-national Cluster level to do this.
---	---

Points in advocating for coordinated assessments

- ✓ Improved cooperation and coordination between WASH Cluster partners in planning and implementation,
- ✓ better targeting of response plans,
- ✓ more effective use of agency resources in undertaking assessments,
- ✓ reduction in risk of assessment fatigue among affected communities.

4.1.7 Outline process for comprehensive assessments

The WASH Cluster process for comprehensive assessments focuses mainly on coordination and data processing and analysis, as the data is collected independently by individual WASH agencies. As such, the WASH Cluster has little involvement in the selection of assessment teams or planning of field visits, however, there is a significant role in coordination of these activities at sub-national level.

A comprehensive assessment will generally:

- ✓ Cover **additional** sites and go into greater detail than a rapid assessment;
- ✓ Focus more on the **medium-term WASH response** (3-4 months);

- ✓ Facilitate more **active involvement of affected communities**;
- ✓ Take detailed **account of cross-cutting issues** in the health, nutrition, protection, CCCM, and emergency shelter Clusters, and fully address cross-cutting concerns such as gender, age, HIV/AIDS, and the environment.
- ✓ Guide on-going **advocacy, media, and fundraising** activities;
- ✓ **Build capacity** of national and local actors through facilitation of needs assessment and analysis activities.

Comprehensive Assessment Tool (CAT)











The Comprehensive Assessment Tools has been developed by the Global WASH Cluster to assist in facilitating this process. It is broken down into seven key sub-sectors of WASH, with a range of indicators within each sub-sector that can be selected as appropriate to a particular context, location, or problem. Standardised assessment templates can then be generated based on the indicators selected.

The Comprehensive Assessment Tool (CAT) is intended to:

- Help WASH agencies identify critical problems / risks being faced by the disaster-affected populations, using a standard set of indicators,
- Record needs and priorities for their interventions, in order to address these problems.

There are also a series of flow charts for each WASH sub-sector, to assist in interpreting the data generated and guide subsequent decision making. Further details of the CAT can be found under *section 3.1*.

Resources

-  **WASH Cluster Coordination Handbook, Summary of Data Collection Tools**
Outlines a range of data collection methodologies
-  **Global WASH Cluster Rapid Assessment Tool (RAT)**
A one-page checklist to guide the design of rapid assessments for the WASH sector.
-  **IFRC (2008), Guidelines for Assessments in Emergencies**
-  **WFP Food Security Assessment Handbook, 2005**
Comprehensive guidance on different assessment methodologies for use in rapid assessments
-  **IASC (2002), Guidelines for Gender-based Violence Interventions in Humanitarian Settings, Action Sheet 2.1 'Conduct a coordinated rapid situational analysis'**
-  **Sample - Govt of Lao PDR, Rapid Assessment - village checklist, 2008**
-  **Sample - UNICEF Timor Leste, Rapid Assessment Tool, Feb 2007**
-  **Sample - Initial Rapid Assessment - Village level, Georgia, 2008**
-  **Sample - ACF WatSan checklist for rapid assessments.**
-  **Sample - Tripartite Group, Post Nargis Joint Assessment, August 2008 -**
Refer to section 2.4.2/ p. 15 for WASH; sections 4.3 / 4.3 for early recovery and disaster preparedness considerations
- <http://www.devinform.info/emergencyinfo/>
Emergency Info is part of the DevInfo database. It helps to bridge information gaps within the first 72 hours of an emergency and provide support for rapid data collection, situation assessment, standard monitoring reports, and disaster preparedness.

4.2 On-going monitoring and assessment

4.2.1 Purpose of monitoring WASH interventions

The purpose of monitoring is to:

1. track changes in the emergency situation and evolving needs
2. assess the progress of the WASH Cluster response
3. assess the impact of the response
4. facilitate upward and downward accountability to stakeholders (see *section 7.3*)
5. highlight achievements and lessons learnt (performance) to inform on-going decision making and future Cluster interventions

Considering all monitoring requirements from the start can save time and reduce duplication in data collection, analysis, and reporting. The WASH Cluster assessment and monitoring tools (see below) have the scope to do this.

a) Monitoring process

Monitoring is generally needed **more frequently at the start** of an emergency (weekly), and less frequently as the situation improves (monthly).

Indicators are 'signals' that show whether a standard or objective has been attained. They provide a way of measuring and communicating the progress, results, and impact of WASH interventions, as well as guiding the process or methods used.

The indicators may be qualitative or quantitative and should be SMART (see section 5.2 for further details).

e.g. Qualitative indicator:

Programmes include an effective mechanism for representative and participatory input from all users at all phases, including the initial design and location of facilities.

e.g. Quantitative indicator:

Number of approved packs of sanitary materials and underwear distributed to target population, being x women, and y children.

Indicators taken from WASH Cluster Monitoring Tool

However, monitoring impact indicators in the early stages will be difficult, as will active participation by affected communities. Even as the response progresses, the implementation of household surveys for impact monitoring is unlikely to be done more than once every one to two months.

The sub-national level Cluster structure will be vital to effective monitoring. **Good organisation at sub-national level**, e.g. through District Focal Points and involving local authorities, will help to facilitate coordinated disaggregated data collection, analysis, and reporting. Along with follow up of those agencies who fail to provide regular information.

Involvement of community representatives and / or local authorities in situation and progress monitoring can assist in building local capacity, and in complementing WASH agency capacity.

As highlighted in *section 1.4*, giving the community and local actors a stake in the monitoring process helps to improve accountability by quickly highlighting those agencies who are not performing, or not monitoring their work effectively, among local-level stakeholders.

b) Weakness in WASH Cluster monitoring

WASH Cluster experience to date¹² has indicated weaknesses in the monitoring function. This varies between on-going emergencies where there is limited IM capacity, to rapid-onset emergencies where IM support is in place but there are limited or unreliable data due to a weak sub-national Cluster structure.

Common shortfalls in monitoring	Strategies to overcome them
✗ Tendency to focus on situation and progress monitoring, rather than outcomes and impact.	✓ Use of the CAT and Monitoring tool.
✗ Poor linkage between situation and progress monitoring so focus is on completion of planned activities, without reference to the changing emergency context.	✓ Consider progress as a % of assessed need.
✗ Inadequate participation of WASH stakeholders and affected communities in the process.	✓ A structured review process (see below)
✗ Duplication in collection of information and information	✓ Formation of a working / sub group and use of national / local monitoring teams.
	✓ WASH Cluster agreement to use standardised information needs,

¹² WASH Cluster evaluations from Yogyakarta, DRC, Uganda

<p>overload.</p> <ul style="list-style-type: none">✗ Difficulty in getting agreement to use common monitoring tools and approaches.✗ Collection and adoption of the wrong – or inadequate – baseline information preventing effective assessment of change and impact.✗ Poorly defined inadequate or too many indicators to guide monitoring of all aspects of the WASH response (see <i>section 5.2</i>).✗ Failure to monitor targets / indicators as they are not linked to broader strategic / funding targets	<p>sources, and indicators, and keeping surveys short and simple.</p> <ul style="list-style-type: none">✓ Cluster partner involvement in the design of systems and tools (through a sub-group) and sensitisation of all actors to the benefits.✓ Adequate attention to pre- and in-crisis data at the preliminary and rapid assessments stages (see <i>sections 3.1 and 4.1</i>)✓ A structured response planning and review process which clearly outlines the problems to be addressed and objectives and standards needed to address them, with key indicators to measure achievements made towards this.✓ Developing overall WASH Cluster strategy around a national strategy i.e. government response or Humanitarian Action Plan (see <i>sections 5.1 and 6.1</i>)
--	--

4.2.2 Coordination of on-going monitoring and assessments

The coordination of on-going assessment and, situation and progress monitoring will also be centred on the sub-national level where activities are taking place.

This process is important in providing timely alerts to changing needs or circumstances, and facilitates tracking of progress and performance.

The WCC has responsibility for:

- ✓ Monitoring the implementation and impact of WASH Cluster Response plans.
- ✓ Ensuring that adequate monitoring mechanisms are in place for all actors.
- ✓ Soliciting the necessary IM support, e.g. through a dedicated Information Manager and / or OCHA (see *section 3.3*).
- ✓ Making adequate financial provisions for on-going monitoring at sub-national level.

a) Gaining partner commitment

Gathering data from Cluster partners, and convincing them to gather data that does not relate directly to their own programmes, is likely to be a challenge. Some partners will see coordination as an opportunity for them to learn what is happening elsewhere without a genuine understanding or commitment to providing information themselves. Others may have practical time, cost, skill, or technology constraints which make it difficult for them to support a coordinated monitoring effort.

Coordination will involve allocating monitoring responsibilities to particular agencies for particular locations. This may mean asking an agency that is only implementing sanitation, to monitor both water and sanitation in their location.

Use of common monitoring tools

Agreement to use a common monitoring tool / framework may be difficult to achieve, particularly in the early stages of an emergency.

1. **Take steps** towards this through focusing on agreement to common objectives, indicators, and information and reporting requirements as a starting point.
2. **As trust builds** within the Cluster, further consensus on monitoring and reporting tools and formats may be achieved.
3. **Guard against** insisting on the use of WASH Cluster tools. Cluster implementing agencies may already have onerous monitoring and reporting requirements to their own donors and organisations.
4. **Show flexibility** and consideration for their situation by exploring ways to build on what they are already required to do, while making the best use of standard tools already developed for the WASH Cluster.

Set out the principles of collaborative monitoring and reporting in initial expectations of the WASH cluster (see *section 1.4*), and endorse them through broad agreement on Cluster principles and policies (see *section 7.1*).

Advocate for this by **highlighting** 'what's in it for them', including:

- ✓ Obligation to monitor and report on pooled funding, e.g. CERF, CAP;
- ✓ Saves money and resources, e.g. through shared household surveys in the same community;
- ✓ Provides strong evidence (data and narrative) for reporting to other donors and supporters;
- ✓ Provides a sound basis for advocacy and mobilising further resources including funding, as donors use reports to monitor changes in the situation, and targeting of their own and other donor's funding;

- ✓ Provides opportunity to draw on a wider range of expertise in data collection and analysis, including IM;
- ✓ Promotes capacity building between more and less experienced cluster partners;
- ✓ Strengthens accountability to affected communities through their participation, and more comprehensive monitoring and reporting;
- ✓ Improves the effectiveness of the Cluster response, as ability to see 'the wider picture' enhances decision making and prioritisation.

A useful strategy in facilitating joint or coordinated monitoring is through the establishment of a dedicated working group. This has been done in both DRC and Sri Lanka. Similarly, use of an **Integrated Monitoring Matrix** (see *section 3.2*), as adopted in Pakistan and Myanmar, has significant value for both the WCC and Cluster partners and can assist in advocating for a coordinated approach.

b) WASH Cluster monitoring and assessment plan

A shared *Assessment and Monitoring Plan* and a dedicated working or sub-group can help to facilitate systematic collection of data, assessments, and monitoring for the WASH Cluster.

Assessment and monitoring plan

Monitoring/assessment activity	Month 1					Month 2					Month 3				
One-off surveys / assessments															
<i>Preliminary assessment</i>	x														
<i>IASC rapid assessment</i>				x											
<i>CCCM detailed assessment</i>						X									
On-going monitoring															
<i>Regular field monitoring (hub)</i>		x	x	x	x	X	x	x	x	x	X	x	x	x	x
<i>Health/ WASH / Nutrition Cluster collaborative morbidity surveillance</i>		x	x	x	x	X	x	x	x	x	X	x	x	x	x
Evaluations / reviews															
<i>WASH Cluster Performance Review</i>										x					
M&E capacity building															
<i>Assessment methodology training</i>	x		x	x								x			
Partner data collection															
<i>OXFAM comprehensive assessment</i>				x	x	x	X								
<i>Meta-analysis of WASH cluster partner assessments</i>							x	X	X						
Major events															
<i>Deadline for the CAP</i>											x				

Adapted from: UNICEF Emergency Field Handbook, 2005

Similarly, close collaboration with UNOCHA and Information Management Working Group (through the WASH Cluster IM focal point), to promote use of common standards and indicators across the Clusters and government response efforts, can help to build donor confidence and generate support for funding the response.

This was the experience in DRC, where the WASH Cluster monitoring system and tools were aligned with those for the Humanitarian Action Plan. As a result there was strong relevance and coherence to WASH projects submitted for funding, resulting in a significant increase in funding support.

c) WASH Cluster Monitoring Tool

The monitoring process and tools should build on the standards used for rapid and comprehensive assessments; working with the same information sources, questions, and indicators, so that meaningful comparison can be made with the original baseline data.

Global WASH have developed a standard WASH Monitoring Tool for use by Cluster partners. Data collected can be analysed, and reports generated, using the Data Collection and Reporting Tool in the same way as is done for rapid and comprehensive assessments (see *section 3.2* for further details).

This tool is intended to assist WASH Cluster partners in tracking the progress and impact of their interventions at field level. It is designed for use by WASH specialists.

Strategies used in Uganda to improve monitoring and reporting

Responsibility for data collection in each sub-county was **assigned to one lead agency**. In sub-counties where lead agencies could not be found, UNICEF **paid the local authorities** to carry out the task. Initially there were some **concerns about the quality and consistency of data**, but this could be addressed through checking the consistency of monitoring forms being used. There were also **concerns about the cost of data collection**: several days of staff time plus a vehicle were needed to cover each sub-county.

A **Monitoring, Mapping and Reporting Sub-committee** was established, with a focus on geographic and management information systems. Data were shared within the sector and used in reporting. WASH actors felt it **had some influence on donor decisions** and that **monitoring information improved over time**.

Source: Review of the WASH Cluster in Uganda, Nov 2007

4.2.3 Reviewing WASH Cluster progress and results

a) Joint reviews

Periodic joint review of the WASH Cluster plans and strategic frameworks are critical as a 'check' on the objectives and priorities of the WASH response. This requires analysis of both situation monitoring and progress monitoring data and should be managed by the Cluster steering group.

Provided WASH Cluster actors and affected community representatives are actively involved, joint reviews can also serve to strengthen team working and collaboration in the Cluster and contribute to better accountability.

The frequency of reviews will depend on the context, but may be conducted every two to three months in the initial response period.

Key questions to guide a review :




- What is the overall progress in relation to response plans, and to what extent is this on target?
- What are the main variations from the response plan and the reasons for these?
- How does the allocation of resources (funds, materials, staff) compare with progress achieved, what are the cost-benefits, and are these comparable with similar emergencies and in line with targets?
- What changes have occurred within the emergency context or in relation to available capacity?
- To what extent do the original assumptions and priorities still apply, e.g. numbers affected, primary needs.
- To what extent have the expected outcomes or results been achieved, and are these having the required impact?
- What are the unexpected or negative impacts of the WASH intervention to date?
- What adjustments to objectives, strategies, or inputs are required?




b) Inter-agency reviews

WCC and WASH Cluster input will be required to periodic inter-Cluster reviews such as the Mid Year Review for the Consolidated Appeals Process. Further details can be found at:

<http://ochaonline.un.org/cap2005/webpage.asp?MenuID=7890&Page=1371>.

Resources

-  IFRC (2000), **Disaster Assessment Guidelines**
-  The **Sphere Project** (2004) Humanitarian Charter and Minimum Standards in Disaster Response, **Common Standard 2**, Chapter 2, inc. Appendix 1 Water Supply and Sanitation Initial Needs Assessment Checklist.
-  **Initial Rapid Assessment (IRA) Tool Guidance Notes**, IASC Health, Nutrition and WASH Clusters, 28 Oct 2008
Provides guidance / sample format for rapid assessment reporting.

-  UNICEF **Emergency Field Handbook**, 2005
Refer to Parts 1 and 3 for guidelines on Initial Assessments and Assessments and Monitoring respectively.
-  UNHCR, **Tool for Participatory Assessment in Operations** (2006)
Comprehensive tools and tips on participatory approaches to assessments
-  Benfield Hazard Research Centre & CARE International (2005), **Rapid Environmental Impact Assessment** in Disaster Response
Provides useful checklists to guide analysis of environmental issues during WASH assessments.

-  **WASH Cluster Monitoring Tool**
-  UNOCHA **Integrated Monitoring Matrix**, Myanmar, 2008

- ▶ <http://www.ifrc.org/what/disasters/resources/publications.asp>
IFRC website disaster preparedness and assessment publications
- ▶ http://www.benfieldhrc.org/rea_index.htm -
Benfield Hazard we-site with useful information and resources about mitigating environmental threats and environmental impact in emergencies.
- ▶ http://wedc.lboro.ac.uk/who_Technical_notes_for_emergencies/
WEDC website with a range of technical resources to support emergency WASH programming from assessment to evaluation.

5

DEVELOPMENT OF CLUSTER PLANS

Chapter Five relates to the **following WCC responsibilities**:

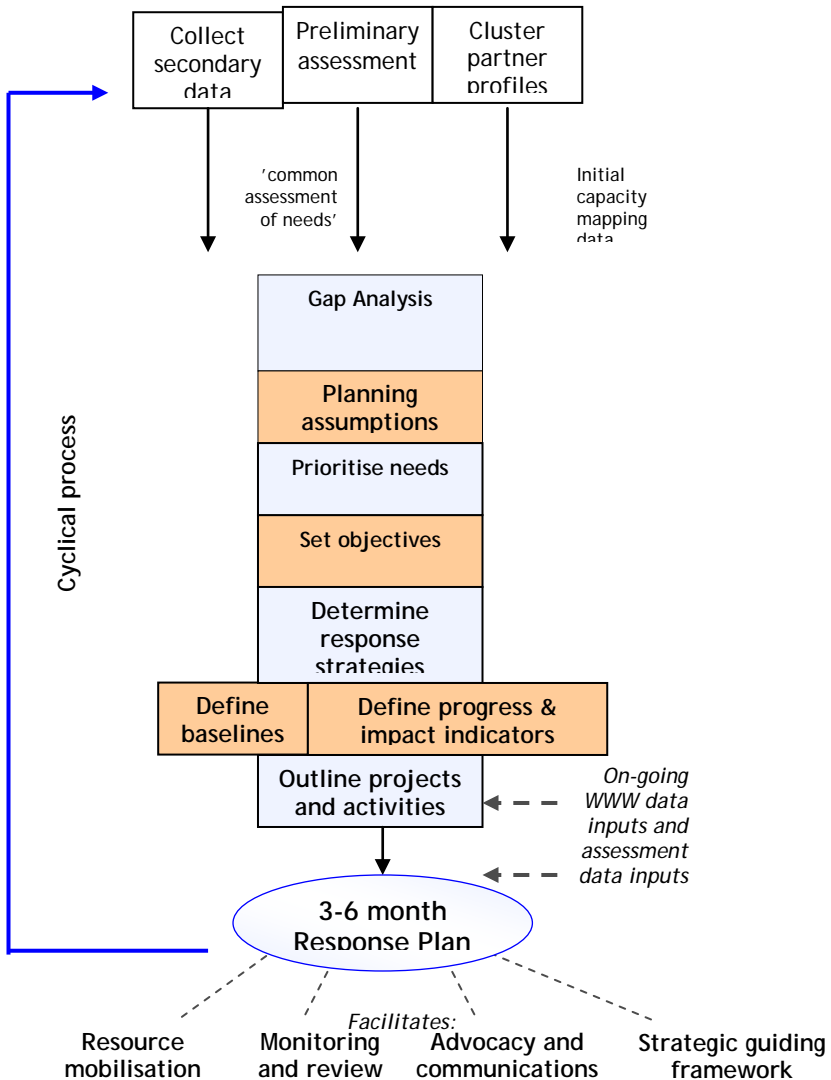
- ✓ Avoiding gaps and duplication
- ✓ Developing a Cluster Strategy and Response Plan

The chapter is split into the following **three sections**:

5.1	Response planning process	<ul style="list-style-type: none"> ▪ An overview of the response planning process ▪ Who should be involved in the response planning process? ▪ Challenges in response planning ▪ How can response plans be used? ▪ Guiding strategic framework ▪ Phasing out
5.2	Steps in response planning	<ul style="list-style-type: none"> ▪ Identifying gaps and duplication in capacity and response ▪ Prioritising identified needs ▪ Outlining response strategies ▪ Defining indicators for monitoring the response ▪ Outlining WASH Cluster projects and activities ▪ Formulating a response plan
5.3	Early recovery, contingency planning, and emergency preparedness	<ul style="list-style-type: none"> ▪ Early recovery ▪ Contingency planning ▪ Emergency preparedness

5.1 Response planning process

5.1.1 An overview of the response planning process



The purpose of response planning is to enable a coordinated, evidence-based approach to WASH Cluster action.

a) Following preliminary assessment (within first 2-3 days)

Based on an RC/HC and HCT 'common assessment of needs' (if available), a basic response plan and guidelines need to be drawn up by the WCC / steering group to guide rapid assessment planning and steer priorities in the first three to four weeks.

It is important to have an outline response plan *before* getting embroiled in planning for assessments, because it provides a guiding framework for indicators, standards, etc.

At this stage, information will be limited and may be unsubstantiated but will help to ensure a focus on critical life-threatening issues. In one to two pages, set out:

- the overall aim of the WASH Cluster response,
- the main problems identified, assumptions being made, and overall objectives for addressing the problems,
- the main priority needs and broad strategies to be adopted,
- an outline indication of the main actors,
- details of any gaps, where known.

b) Following the initial rapid assessment (after 1-2 weeks)

The basic response guidelines (above), created in the first week can be developed in detail to guide the forthcoming three to six month period.

Section 5.2 and the flow chart above set out the response planning process in separate stages. In practice, the process will involve combined stages, with constant review and revision.

Information from the rapid assessment is still unlikely to be comprehensive, with gaps and conflicting information in relation to specific needs. **Don't get bogged down in the need for specific details, but focus on the major issues.**

The latter stages of detailed response planning may run alongside a more comprehensive assessment process, drawing on preliminary qualitative findings as they emerge (see *section 4.1*). The **Response Plan** will need continuous updating and modification in response to the changing situation, emerging needs, and the outcome of on-going activities.

5.1.2 Who should be involved in the response planning process?

Ideally, the planning process will be led by the national government WASH partner, in conjunction with the WASH CLA (the WCC). It should be **facilitated by a smaller steering group**, such as the SAG (see *section 1.2*), to enable faster and more effective decision making, while ensuring that WASH Cluster actors are properly consulted and kept informed.

When initial response guidelines are developed, the level of stakeholder involvement will inevitably be very limited. However, in developing more detailed response plans, as outlined in *section 5.2*, there should be **equitable representation of those affected** by the WASH Cluster response plans, as there is by those implementing or resourcing the plans.

The risks and problems associated with specific crisis situations may be well known, but it is **important not to jump to conclusions**. Ensure that decisions are based on reasonable evidence and that the perspectives of all stakeholders, and particularly those of less powerful local interests, are adequately represented.

Choose a **balance of men and women of different ages**, ethnicities, and livelihoods to participate in the planning process.

Involving the community

There is a tendency to consider community involvement only in terms of implementation. This can cause misunderstanding and resentment, and limit the potential for effective early recovery, capacity building, or emergency preparedness.

- ✓ Consider community capacities for filling gaps.
- ✓ Facilitate and support community proposals for addressing agreed WASH priorities.
- ✓ Identify an active role that the community can play in establishing and monitoring realistic indicators (see *sections 5.2 and 7.2*).

5.1.3 Challenges in response planning

- ✗ Plans become **outdated** and are of limited use.
- ✗ Plans are not updated and response activities become **‘project’ rather than ‘objective’ driven**.
- ✗ Plans are **unrealistic**, including too many activities which cannot be achieved within the timeframe or in the local context.

- ✖ Plans are **inaccurate** due to inadequate or ineffective investigation, verification, and analysis of data.
- ✖ Plans are **not accepted** or '**owned**' by Cluster actors, of affected communities, due to inadequate consultation and communication.
- ✖ Plans are **seen as biased** in favour of the CLA or more powerful WASH agencies because of inadequate stakeholder representation.
- ✖ Plans are **not understood** because they use inappropriate language or terminologies, or lack relevance to the context.

The majority of challenges can be addressed by regular consultation with stakeholders, and continuous review and modification to ensure that **plans are flexible, realistic, and appropriate**.

5.1.4 How can response plans be used?

i) Mobilising resources (see section 6)

Successful funding appeals are dependent on providing a robust analysis of the emergency situation, including the principle and emerging problems, their causes, and appropriate strategies being used to address them. Donors will also expect to see plans aligned with government and broader humanitarian response strategies, as seen in DRC (see case study in *section 6.1*).

The WASH Cluster Response Plan should also provide the detail needed for the WASH component of the Common Humanitarian Action Plan (CHAP). See *section 6.1* and guidelines under Resources below.

Inadequate analysis, or documentation of needs and subsequent priorities, can lead to wasted resources as new and existing WASH Cluster agencies commit time, funding, and materials to problems or locations which are not a priority, leaving other gaps unfilled.

ii) Monitoring and review of WASH programming (see section 4)

The WASH Cluster objectives and indicators, defined during the response planning process, provide an effective framework for monitoring Cluster progress, outcomes, and impact.

As long as they are derived from evidence-based analysis of the emergency situation, they will be focused on the priority problems and causes.

iii) Communication and Advocacy (see section 7)

Analysis and evidence documented within the WASH Cluster Response Plan will assist in quickly developing early advocacy and external communications without the need for separate assessment and research.

5.1.5 Guiding strategic framework

In addition to response planning, there may be a need for a broader strategic framework to guide not only prioritisation and activity planning, but also programmatic and operational aspects of the WASH Cluster.

This will include agreed principles, policies, and standards (see *section 7.1*) and be aligned with national strategies, e.g. national disaster management plans or a Humanitarian Action Plan.

Three examples that have been used in practice are:

Strategic Operating Framework (SOF)	Humanitarian Action Plan (HAP)	Earthquake Response Plan (ERP)
Used in Bangladesh and Georgia	Used in DRC	Used in Yogyakarta
Suited to rapid-onset emergencies	Suited to complex emergencies	Applicable to all emergencies with disaster management plans
<p>Based on a tool developed in the ES Cluster.</p> <p>Developed within the Cluster based on internal analysis of needs, priorities, and gaps.</p> <p>Incorporates principles, policies, and standards for cluster operations and performance.</p> <p>Provides comprehensive guidance on all aspects of Cluster activity.</p> <p>Example included in the Resources section below.</p>	<p>Used the HAP as the guiding strategy and a participatory approach involving all Cluster stakeholders, including donors. WASH Cluster / sector strategy was effective in:</p> <p>Monitoring the response - as priorities, objectives, and indicators were linked to the HAP and were already being well monitored.</p> <p>Mobilising resources - as donors were actively involved in developing the strategy.</p> <p>Strengthening sector partnerships - due to stakeholder involvement in developing the strategy.</p> <p>No guidance on operational aspects of the Cluster was included.</p>	<p>The Cluster adopted the ERP to guide planning and decision making for the WASH sector. The ERP was essentially an appeal document compiled in the early response.</p> <p>There were inaccuracies and omissions in the detail and, when revised, the WASH Cluster targets and activities were not reviewed accordingly.</p> <p>No guidance on operational or performance aspects of the Cluster was included.</p>

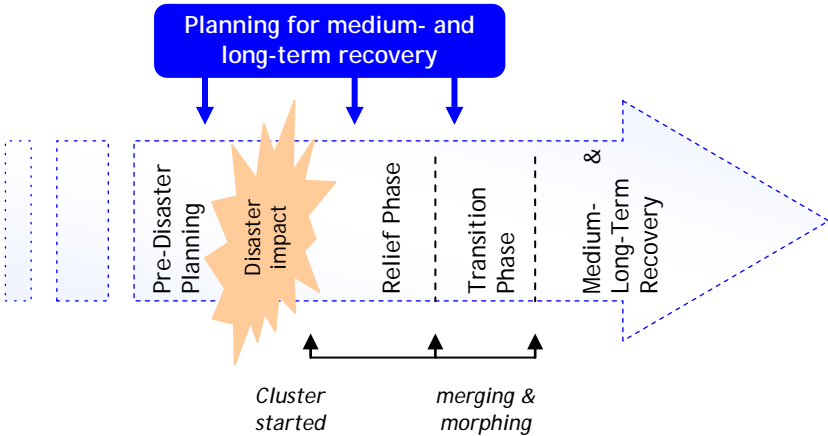
Log Frame Analysis and Results Matrix tools

Incorporation of a Log Frame Analysis (LFA) or Results Matrix within the strategic framework will enable accurate assessment of on-going needs and progress in relation to the original problems and priorities identified. In addition, both tools will support the development of proposals for funding appeals and reporting on funds disbursed, because information may be requested in this form by donors such as ECHO, CIDA, and DFID.

An extract from the DFID guidelines on **Log Frame Analysis** and an example of the **WASH Cluster Results Matrix** from Iraq are incorporated in the Resources section.

5.1.6 Phasing out

Lifespan of clusters



Adapted from Shepherd-Barron, J., (2008) Cluster Coordination, Source: Max Lock Centre

The requirements for WASH Cluster phase out or transition will depend on the nature, scale, and anticipated duration of the emergency. Plans for this process of merging or morphing should be undertaken with the full participation of the HC and government actors, and a broad indication of the anticipated process should be outlined within the WASH Cluster Response Plan or Strategy document.

These documents also need to reflect the phase out and transition plans of key WASH Cluster actors to ensure that particular locations or sub-sectors of the WASH Cluster response are not suddenly left without coverage of on-going needs and recovery interventions. Gathering initial WASH Cluster agency data through the Agency Reporting Tool, and on-going Cluster monitoring process (see *section 3.2* for details of both), will facilitate collection and monitoring of project start and completion dates.

Avoid use of the term 'exit strategy', as this can cause concern, particularly among government actors.

Phase out or transition will normally take place once early recovery activities are well established. Further guidelines on the promotion of early recovery can be found in *section 5.3*.









Linking relief and early- and long-term recovery in Myanmar

Prior to Cyclone Nargis there was an existing coordination mechanism, made up of Myanmar WASH NGOs, called the 'WASH Thematic Group'. Their function was largely replaced by the WASH Cluster as they had limited experience in emergencies. However, response planning in the relief phase incorporated plans for transition of coordination to this group after the early recovery period.

This proposed arrangement draws from the strength of the WASH Thematic Group in managing medium and longer-term WASH interventions, and gives them the opportunity to gain experience in emergency planning and management as partners within the WASH Cluster, to ensure preparedness for potential future emergencies.

Example provided by Prasad Sevekari, WCC, Myanmar, 2008

Resources

-  **WASH Cluster Bangladesh, Super Cyclone Sidr Response, Strategic Operational Framework**, Feb 2008
Example of a strategic framework, highlighting many elements of the response planning process, plus guiding principles, policy, and coordination arrangements.
-  **IFRC, Developing a Strategic Operational Framework**, undated
Guidelines from the Emergency Shelter Cluster for developing a strategic framework.
-  **The Logical Framework**, DFID, extract from the IM Toolbox
-  **Sample of Results Matrix**, Water and Sanitation Cluster, Iraq
-  **IASC Technical Guidelines for Consolidated Appeals**, 2008
Provides guidelines on information required for the CHAP and CAP.
-  **Closure of the Watsan Cluster**, Pakistan, 2005-6
Example of the issues to be considered in taking the decision to phase out.
-  <http://www.humanitarianinfo.org/imtoolbox/>
-  <http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=304>
Details of strategic planning resources from the Emergency Shelter Cluster

5.2 Steps in response planning

Tips for response planning

- ✓ Avoid being over-ambitious; it is easier to scale up activities over time.
- ✓ Adopt a phased or incremental plan in the immediate response.
- ✓ Keep it simple: keep priorities and objectives to a minimum.
- ✓ Plan around available and confirmed capacities and resources.
- ✓ Take changes to context and the longer-term perspective into account.

5.2.1 Identifying gaps and duplication in capacity and response

Improving the coverage and predictability of humanitarian response, through identifying and filling gaps, is an essential part of the Cluster Approach. Furthermore, identification of gaps, along with evidence of how the gaps have been determined, is of critical importance to donors.

The WCC role is to:

- ✓ Advocate with WASH Cluster partners to fill the gaps;
- ✓ Raise awareness of gaps and capacity shortfalls through the media, etc.;
- ✓ Seek support from other Clusters, government agencies, the military (if applicable), or the private sector;
- ✓ In the case of life-threatening needs which cannot be met by WASH Cluster partners, it may be necessary to approach the WASH CLA as the Provider of Last Resort (see *section 1.2*).

Accurate gap analysis is unlikely in the initial response, due to limited scope and depth of assessment data and poor and confusing information about the presence and implementation plans of WASH Cluster actors. However, continued collection and analysis of data will improve understanding of both the situation and available capacities.

In order to identify gaps:

- Overlay assessment and capacity mapping information.
- Colour code geographic areas to highlight areas of greatest need.

- Match relevant needs to the 'focus' of implementing agencies in each locality, e.g. agencies mandated to work with particular groups, or with particular expertise or capacities, such as water supply.
- Present the findings in visual form to help interpretation, e.g. maps.
- In locations that appear to be 'covered', ensure the implementing agencies have the necessary financial, human, and material resources to meet the scale of anticipated needs.

A number of tools to support **gap analysis** can be found under Resources below.

5.2.2 Prioritising identified needs

The purpose of prioritisation is to ensure that WASH Cluster action is focused on the most pressing needs for the greatest number of affected people, while targeting particular needs of the most vulnerable.

Based on the preliminary assessment findings:

- ✓ Focus on the immediate needs and hazards, and the most vulnerable;
- ✓ Focus on needs which can be addressed within the means available;
- ✓ The context will change - consider the underlying socio-economic situation (e.g. entrenched ethnic tension, low level civil or political unrest) and assess the impact of potential scenarios and the longer-term perspective;
- ✓ Consider the differing priorities of men, women, and children;
- ✓ Where feasible, prioritise needs which promote early recovery, emergency preparedness, and local capacity building;
- ✓ Consider opportunities for tackling cross-cutting concerns, e.g. minimising environmental impact, mitigating further suffering to PLWHAs, addressing protection concerns, etc.;
- ✓ Review and adjust existing national crisis management and contingency plans, as appropriate, for the identified priorities.

a) How to prioritise

Prioritisation will be challenging, as most identified needs, particularly in the early response, will be a priority. However, some groups and locations are always more adversely affected, or more vulnerable, than others.

The steering group will need to determine a **transparent method for prioritisation** that is **acceptable to all Cluster stakeholders**. Otherwise, Cluster actors are unlikely to work to the objectives drawn from it.

Whether prioritisation can be done for the overall response, or location by location, will depend on the context and type of emergency.

- Record the main problems and needs in a **framework** to assist in systematic prioritization. Example tools are included under Resources below.
- Establish how many people have been affected, where they have come from, and their current location.
- Identify whether it is a pre-existing problem or a result of the crisis, and when it began.
- Rank the needs in order of severity based on between three and five critical issues, e.g.:
 - What is the risk of increased mortality or morbidity if this problem is not addressed?
 - What proportion of the total affected population(s) and most vulnerable groups are affected by this problem?
 - What are the current coping strategies and forms of assistance, and how long can these be sustained?
 - What are the anticipated threats and risks over the coming months, and how will this affect the problem identified?
 - Are the resources and means (transport, etc.) available (or in the pipeline) to address this problem or need?
- Consider the costs and resources required for addressing each problem. A simple cost-benefit analysis can be used, taking the total estimated cost for addressing each problem and the total number of people that would be assisted.
- Compare the outcomes and select priorities accordingly.

b) Highlighting assumptions

Planning assumptions are aspects of the current situation or its future development which are treated as fact, when, in reality, they are quite uncertain. Assumptions should be made explicit and documented within the plan.

Some planning assumptions may be based on information provided by others outside the WASH Cluster, e.g. size of the affected population(s), proportion of men, women, and children affected, traditional hygiene practices, etc. Additional assumptions may be made around WASH Cluster capacity and the suitability of technical solutions or methodologies, e.g. based on previous experience or similar contexts.

Errors commonly occur in making assumptions about:

- the cause(s) of observed problems,
- the interests of different stakeholders, particularly those who are not party to decision making, and
- available capacities (or lack of them) to respond.

Keep assumptions as accurate as possible, because inaccuracies will limit the effectiveness and impact of WASH Cluster action. Assumptions should be reviewed as part of the on-going Cluster monitoring and review process (see *section 4.2*).

c) Defining objectives for the response

An objective can be defined as an 'expected outcome' or result. In the context of the WASH Cluster, the steering group will identify wider or 'overall objectives'. These represent the purpose that individual projects among WASH Cluster partners will be seeking to address.

Objectives must:

- ✓ Be **SMART** = Specific + Measurable + Achievable + Realistic + Time-bound;
- ✓ Address the priority problems and needs identified, with specific attention to life-threatening issues;
- ✓ Be tailored to particular stages or aspects of the response within the planning period;
- ✓ Take account of context, security and access, resource availability, local capacity building and early recovery, and prioritised cross-cutting concerns;
- ✓ Relate to community needs and interests, rather than external operational goals.

5.2.4 Outlining response strategies

Response strategies are the methods or approaches taken to address the agreed WASH priority needs and achieve the WASH Cluster objectives.

Tips for appropriate response strategies

- ✓ Ensure that final response strategies can address the priority problems and needs within the required time frame.
- ✓ Check that strategies are feasible, e.g. the necessary financial, human, and material resources are available, all physical and security constraints can be overcome, and that they are politically and culturally acceptable.
- ✓ Adopt strategies that are appropriate to context, build on local structures, and enhance local capacities wherever possible.

a) Explore the options

Explore a number of alternative response strategies in relation to each of the prioritised needs and problems. This will need to be done rapidly, so keep the response options to a minimum.

Example : Alternative response strategies to addressing the need for safe drinking water

Options for addressing inadequate access to safe drinking water may include establishing alternative supplies or sources, providing for treatment at point of use, or trucking in additional water.

In this example, consideration might be given to:

- the overall availability and proximity of water (for drinking, washing/household use, and livestock etc),
- the anticipated response period required and potential change in approach, e.g. timing of the rainy season,
- the capacity (within the Cluster and affected populations) to establish alternative sources, or provide guidance or monitoring of water treatment,
- the cost of alternative options (e.g. trucking is very expensive and sourcing vehicles, fuel, etc. may be a constraint).

b) Focus on what is feasible and appropriate

Derive response strategies from considering the context and constraints to implementation, and from looking at alternative uses of resources and capacities.

Guiding questions to consider are given in the table below.

The problem	<ul style="list-style-type: none"> ▪ What proportion of the affected populations can be supported through this strategy? ▪ To what extent will the most urgent needs be addressed, and within what time frame? ▪ Which groups or locations would not be assisted? ▪ To what extent are particular needs of the most vulnerable being addressed?
The context	<ul style="list-style-type: none"> ▪ What experience and learning from previous crises in a similar context is being drawn on? ▪ How are cultural or social issues being taken into account (e.g. rights and protection of women and children, role and organisation of civil society, language)?

	<ul style="list-style-type: none"> How are political considerations and barriers being addressed (e.g. land and water access, political influence, international support for the crisis)? To what extent is the strategy aligned with or responding to national guiding policies and regulations (e.g. crisis management or contingency plans, national standards)?
Available capacity / resources (refer to section 6)	<ul style="list-style-type: none"> Who is already responding or able to respond, where, and in relation to which priorities? What other local capacities will be drawn on, and with what additional technical, financial, or material support (e.g. national and local government or private sector for implementation; academic, civil society and research institutions for community mobilisation)? What additional expertise is required and where is it being sourced? What financial and material resources are actually available on the ground? What additional resources are required and how can they be mobilised rapidly and effectively, given the priorities and constraints?
Constraints	<ul style="list-style-type: none"> What are the physical constraints that the strategy needs to overcome (e.g. damage to infrastructure, climate, etc.)? What are the security issues and how are these being addressed? What are the political constraints (e.g. multiple govt structures, legal precedents, such as access to water)? What are the financial constraints and how are funding limitations or delays being addressed?
Early recovery and emergency preparedness (refer to section 5.3)	<ul style="list-style-type: none"> What are the risks of dependency and how are these being mitigated? What longer-term recovery requirements are being addressed within the strategy? What are the on-going threats to, and specific vulnerabilities of, the affected population, are how are these being tackled through the strategy?

Select the most appropriate strategies by analysing the strengths and weaknesses of the options identified.

Cautionary notes

The suitability of response strategies may be very short lived in the early WASH Cluster response.

- ✖ Lack of time or information may prevent deeper analysis of the causes of problems and needs resulting from a crisis.
- ✖ Subsequent short-term actions can lead to more serious long-term problems in on-going service provision, e.g. sustaining water supply, protecting land and water rights, etc.
- ✖ Similarly limited consultation or verification of information can lead to inequitable support and conflict at community level.
- ✖ The situation on the ground can change rapidly and dramatically, particularly in complex emergencies.

Such risks can be mitigated.

- ✓ Review and revise response strategies regularly as new information unfolds.
- ✓ Consult continuously about the effectiveness of WASH action and new developments in the crisis.
- ✓ Consider the longer-term perspective.

5.2.5 Defining indicators for monitoring the response

Determine appropriate indicators based on the agreed WASH strategies. These need to guide the focus and standard of WASH Cluster partners' action, and form the basis for measuring Cluster progress, outcomes, and impact (see *section 4.2*). They should demonstrate:

- *whether the objectives have been achieved, and,*
- *how they have been achieved.*

a) Adopting meaningful indicators

Minimise the number of indicators, and ensure that they are realistic and can be measured or verified by representatives at community level. Try to get a mix of quantitative indicators (e.g. quantity of water consumed per person per day) and qualitative indicators (e.g. community satisfaction with facilities provided).

Some aspects of WASH programming may be difficult to measure. In this case 'proxy indicators' can be used, e.g. the number of men, women, and children using latrines may be a proxy indicator of improved sanitation practice. See further guidelines in **Indicators for monitoring Hygiene Promotion in Emergencies** under the Resources below.

Essential indicators for monitoring Hygiene Promotion in emergencies

The five essential indicators which should always be monitored as a priority include:

- X% of the population uses safe water for drinking
- environment free from all faecal matter
- X% of the population wash their hands with soap or ash at least after contact with faecal matter and before handling food
- Women are enabled to deal with menstrual hygiene issues in privacy and with dignity
- All sectors of the community, including vulnerable groups, are enabled to practise the target hygiene behaviours

(X% = depends on the situation)

Characteristics of meaningful indicators	Examples from WASH
Indicators should: <ul style="list-style-type: none">✓ Clearly describe the situation and provide clarity about the type of intervention required;✓ Draw on the Sphere Minimum Standards as the basis for determining appropriate indicators;✓ Address the differing needs of men, women, children, and vulnerable groups;✓ Take account of cross-cutting issues, e.g. protection and priority issues identified by UN OCHA;✓ Link in or align with the indicators established within other Clusters, where relevant, e.g. distribution of NFIs, water supply quantities, access to sanitation facilities, etc.	<ul style="list-style-type: none">✓ The environment in xx locations is free from faecal matter and specific provisions are in place for the disposal of child faeces.✓ Soap or ash for hand washing is available in all households.✓ Appropriate sanitary materials and underwear are available for all women and girls.✓ Adequate numbers of well lit, lockable latrines for each sex are available within camp settings.✓ Xx per cent of persons affected in locations xxx have access to xx litres of safe drinking water per day from x existing boreholes.

Field example : Myanmar response planning (water supply)

Problem:

Contaminated ponds and wells.

Prioritised need:

Access to safe drinking water and water for personal hygiene and domestic use for affected communities and IDPs

Planning assumptions:

- 1,200,000 persons are affected, plus 550,000 IDPs (figures provided by UN OCHA). Average household size = 5.
- People will accept and use water purification treatment correctly, and restrict use to the amounts indicated.

Objective:

Safe and equitable access to sufficient quantities of safe drinking water, and fresh water for personal hygiene and domestic use, for all affected households and IDPs.

Response strategies:

1. Supply of water containers, Water Guard, and chlorine tablets for purification of drinking water to 1200,000 affected persons over four months and 550,000 IDPs over one month.
2. Supply of fresh water for personal hygiene and domestic use to 550,000 IDPs over two months
3. Supply tarpaulins for rainwater collection in Southern areas where water sources are affected by salinization, and prioritise clearance of drinking water ponds in same areas after acute emergency is over.

Indicators (verifiable and realistic):

- 3l safe drinking water/ca./day for 1,200,000 persons over 120 days.
- 3l safe drinking water/ca./day for 550,000 IDPs over 30 days.
- 10l clear & fresh water/ca./day for 550,000 IDPs over 60 days.

WASH projects / activities (related to response strategy 1):

- Training affected households in the use of water purification treatment and good hygiene practice, e.g. production of public health information, training of community mobilisers, etc.
- Supply, storage and distribution of jerry cans, buckets, and water purification chemicals.
- Monitoring the effectiveness of the water purification strategy, and available daily quantities and use of safe drinking water.

Link to Sphere Minimum Standards in Disaster Response

The Sphere **Standards** represent the baseline in guiding WASH Cluster action (see *section 7.1*). However, the **Indicators** given within Sphere may need to be adjusted as appropriate to the local context and should always be read in conjunction with the **Guidance Notes**.

b) Establishing baselines for the response

Pre-crisis baseline data (see *section 3.1*) gives WASH Cluster actors and the steering group a realistic measure of the WASH situation before the emergency, e.g. levels of mortality and morbidity. While in-crisis baseline data provides a starting point against which to measure progress, e.g. the availability of water or soap immediately after the start of the emergency, the lack of which is contributing to outbreaks of disease.

Pre-crisis baseline data may be drawn from international or government sources, or from a pre-crisis WASH Cluster mapping exercise (see *section 3.1* for details). In-crisis baseline data may be drawn from data sets provided by the IASC / HCT or UNOCHA.

5.2.6 Outlining WASH Cluster projects and activities

Projects and activities within the Response Plan will be drawn from planned and on-going activities of WASH Cluster partners, and the agreed WASH Cluster response strategies. Where possible, they should facilitate and support community-driven proposals.

WASH response projects and activities that facilitate active community involvement

- ✓ Provide small-scale funding to support CBOs and groups.
- ✓ Set up water resource management /sanitation committees.
- ✓ Support livelihood opportunities through construction activities and local workshops, suppliers and services.
- ✓ Employ community staff, facilitators, monitors, and mobilisers.
- ✓ Engage local youth groups, schools, and the elderly in drama, drawing, and story telling for community sensitisation.
- ✓ Set up security patrols, water distribution, and water and sanitation maintenance teams.

Ensure that all projects are clearly linked to the Cluster objectives, i.e. expected project results should contribute directly to achieving the desired state (change) outlined in the WASH Cluster objectives. Use of a **Log Frame** or **Results Matrix** can help in achieving this by testing the logic between:

GOAL: <i>Wider problem the Cluster will help to resolve</i>
PURPOSE (Cluster objectives): <i>The immediate impact on the affected population ie. the change or benefit to be achieved by the Cluster</i>
OUTPUTS (Individual project objectives): <i>These are the specifically deliverable results expected from the project to attain the purpose</i>
ACTIVITIES: <i>These are the tasks to be done to produce the outputs</i>







If response planning is done before or alongside preparation of funding appeals (e.g. Flash Appeals or the CERF), try to avoid duplication by capturing project information needed for appeal documents at the same time. Examples of the **WASH project outlines for the CAP** and the **CERF** are given under Resources below. For further details see *section 6.1*.

5.2.7 Formulating a response plan

- ✓ Draft a concise plan (max four pages) for the first 3-6 months outlining:
 - the overall goal,
 - priority problems/needs to be addressed, with specific objectives for each,
 - the response strategies to be adopted,
 - the projects and activities to be undertaken,
 - the allocation of responsibilities and resources (i.e. stating specifically who is doing what, where, and with what material and financial resources)
- ✓ Within the plan, highlight uncovered needs, especially those of vulnerable groups, resource gaps, and opportunities for local capacity building and early recovery.

- ✓ Disseminate the plan widely among Cluster stakeholders (donors, other Clusters, etc.) and affected communities, and ensure plans are clear and easy to translate or explain.
- ✓ Feed planning information into the Common Humanitarian Action Plan (CHAP – see *section 6.1*) and other coordinated funding appeals.
- ✓ Advocate with Cluster partners, other Clusters, and the CLA to mobilise additional resources and address any unmet needs (WCC).

Resources

-  **Gap Analysis spreadsheet**, Emergency Shelter Cluster, Myanmar
-  **OCHA Inter-cluster prioritisation matrix** by township, Myanmar, 2008
-  **WASH Cluster Response Plan**, Myanmar, May 2008.
Example of an initial WASH Cluster Response Plan
-  Global WASH Hygiene Promotion project, **Indicators for monitoring Hygiene Promotion in Emergencies**, 2007.
-  **CAP**, Somalia 2005, Projects
Best practice example of project descriptions for a CAP – for WASH projects see pp 88-93.
-  **CERF Application** template (Grant component), March 2007
- ▶ <http://www.smartindicators.org>

5.3 Early recovery, contingency planning and emergency preparedness

There are two necessary factors in facilitating early recovery, effective contingency planning, and emergency preparedness:

- ✓ the active engagement of national and local actors in WASH Cluster decision making and programming processes,
- ✓ consideration of the longer-term perspective.

5.3.1 Early recovery

Tips to promote early recovery

- ✓ Prioritise community self-help projects and approaches in response planning.
- ✓ Mobilise resources and inputs which can facilitate long-term development, e.g. improved hygiene and water management practices.
- ✓ Promote government and community responsibility for WASH programme design, coordination, implementation, and monitoring to maximise ownership and build local capacities.

Recovery programming works to restore services, livelihood opportunities, and governance capacity. It needs to be an integral part of the initial relief efforts.

Early recovery measures help to stabilise affected areas as national and local institutions resume provision of basic services and governance functions, such as security, local administration, and justice. Furthermore, they promote the psychological recovery of affected persons and restore community dignity and livelihoods.

WASH Cluster strategies to support early recovery

- ✓ Re-establish access to water and sanitation services, including water for livelihood activities, e.g. vegetable gardens, rearing livestock.
- ✓ Assess and protect environmental assets within the planning process.
- ✓ Adopt the use of construction materials and technologies that can be readily re-sited, re-used, and dismantled in the longer-term.
- ✓

- ✓ Support community opportunities for waged employment, particularly for women and vulnerable groups, e.g. water distribution, supply of materials such as pit latrine slabs.
- ✓ Mitigate conflict and reduce future disaster risks through active community participation, risk assessment, and contingency planning.
- ✓ Support community-driven projects through funding and promoting partnerships with local organisations.
- ✓ Engage national and local government and traditional authorities in planning and decision making at all levels.
- ✓ Promote community-based approaches in WASH Cluster programming.
- ✓ Strengthen community organisational capacity and rights-based awareness through training and recruitment of community mobilisers, etc.

Example: Creating livelihood opportunities in Myanmar

The WASH Cluster agreed to the excavation of ponds as a standard policy intervention for high-risk areas (water scarce or those without community water storage). This:

- ✓ relied solely on unskilled labour providing a source of income for vulnerable households,
- ✓ enhanced water storage and harvesting capacity for the forthcoming monsoons,
- ✓ mitigated the risk of future water shortages and increased vulnerability,
- ✓ enabled vulnerable households to buy and replace urgent supplies,
- ✓ reduced the burden and risks to vulnerable households in finding water from distant sources.

Example provided by Prasad Sevekari, WCC, UNICEF, Myanmar 2008

5.3.2 Contingency planning

Contingency plans provide an outline of the likely response requirements in the event of a subsequent disaster or emergency.

Many disasters lead to increased vulnerability of both people and the environment, contributing to increased chances of a subsequent emergency. Contingency planning saves time and resources in planning and preparing for a response.

Tips for effective contingency planning

- ✓ Build on existing crisis management and contingency plans, structures, and projects - avoid introduction of parallel contingency measures.
- ✓ Adopt a participatory approach to ensure that contingency planning responsibility rests in national hands and that there is an accurate understanding of local risks and norms.
- ✓ Establish a mechanism for review and updating of plans from the start.

a) WASH Cluster action

Contingency planning may be combined with the response planning process, or it may be undertaken separately but preferably by the same steering / advisory group.

- ✓ Based on learning from previous emergencies, current vulnerability assessments, and existing preparedness measures, identify potential hazards and associated risks (steering group).
- ✓ Use scenario building to assess the potential impact and consequences of the hazards identified. In some situations, particularly in complex emergencies with uncertain movements of people, this may be difficult and establishing an estimated level of overall need may be preferable.
- ✓ For each scenario, outline the trigger factors, risks, assumptions, specific objectives, and suggested response strategies (see the **CAP Côte d'Ivoire example** under Resources below).
- ✓ Outline specific WASH Cluster preparedness measures that might be required, e.g. monitoring of trigger indicators, training or simulation exercises, regular security assessments, collaborative operational agreements.
- ✓ Disseminate contingency plans and preparedness procedures to Cluster partners and other stakeholders (WASH CC, IM).
- ✓ Incorporate associated financial resource requirements into funding appeals (WCC).
- ✓ Take action to put any necessary agreements in place, e.g. warehousing, emergency ports clearance, secondment of government staff and equipment, etc. (designated individuals or working groups, e.g. logistics).
- ✓ Establish a system for on-going monitoring and review of contingency plans (steering group)

The WCC may also be involved in an inter-Cluster Contingency Planning Working Group (CPWG) under the direction of the HC/RC. See the **Inter-Agency**

Contingency Planning Guidelines for Humanitarian Assistance under Resources, for useful additional guidance.

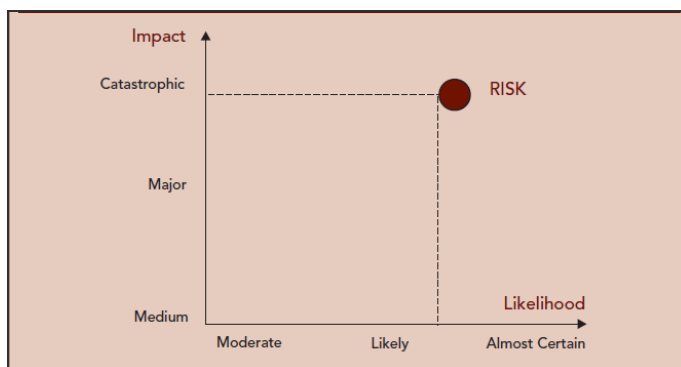
b) Hazard and risk analysis

Analysis of possible hazards (e.g. conflict, flooding, drought, poor harvest) and their potential risk, together with assessment of existing vulnerabilities and capacities within the population, provides an insight to the potential humanitarian impact of the different hazards.

Focus on the most critical hazards through risk analysis which looks at both the likelihood and potential impact of a particular hazard.

Triggers

Triggers are particular sets of circumstances or events which indicate a change in the situation. Historical data on previous emergencies can help identify possible triggers, e.g. increasing incidence of inter-community violence prior to civil war, or prolonged storms prior to flooding.



Extract from the Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance

5.3.3 Emergency preparedness

Emergency preparedness is very important because of the increasing incidence of disasters, the most recurrent being wind storms and floods.¹³ Being aware of

¹³ Powerpoint presentation: Disaster response preparedness - an overview and OCHA's role

hazards and better prepared for potential disasters can significantly reduce their adverse effects.

Provisions to facilitate emergency preparedness

- ✓ Focus on reducing vulnerability within WASH programming, e.g. through attention to livelihood needs, environmental impacts, etc.
- ✓ Promote the lead of national and local stakeholders in the design and implementation of emergency preparedness measures to promote sustainability, e.g. maintenance of flood barriers, rainwater harvesting.
- ✓ Facilitate regular review, testing, and update of contingency plans as an essential element of emergency preparedness

At a global level, the WASH Cluster is supporting WASH sector preparedness through mapping sectoral capacity (skills and organisations), providing training, and developing IT and HP tools.

In the medium- to longer-term response, the WASH Cluster should aim to map and build in-country WASH capacity, and develop contextualised tools and resources, as appropriate. This will contribute to national preparedness for responding to future emergencies.

In the immediate response, effort should be focused on building emergency capacities at community level as an integral part of WASH programming.

WASH Cluster strategies to support emergency preparedness

- ✓ Raise awareness of disaster risks and preparedness measures among WASH Cluster agencies and local actors.
- ✓ Identify and monitor major risks through contingency planning and contribute to early warning, e.g. pressure on ground water sources, disease risk due to poor sanitation.
- ✓ Integrate disaster awareness and knowledge of preparedness measures in WASH activities, e.g. in hygiene promotion and public health programmes, water management, sanitation design.
- ✓ Reduce risks through environmental and water management measures, e.g. drainage and flood barriers.

Use contingency planning to improve the preparedness and operation of Cluster: identify roles and responsibilities, and agree common services and standards beforehand among WASH sector actors.

- ✓ Strengthen disaster preparedness, e.g. building organisational capacity at community level through HP projects.

Emergency preparedness measures following Cyclone Sidr, Bangladesh

Experience of involvement the WASH Cluster led the Department of Public Health Engineering to embed aspects of Cluster coordination into its preparedness plans for future emergencies. The WASH Cluster helped to facilitate this process through a three day workshop with WASH stakeholders.

Source: Implementation of the WASH Cluster Approach : Good practice and lessons learned, Oct 2008, ACF

Resources

- 📖 Cluster Working Group on Early Recovery (CWGER), **Guidance on Early Recovery**, April 2008.
- 📖 **Early Recovery - Compilation of Tools and Resources**, June 2008
Overview of resources and links to further information on ER
- 📖 Global WASH, **Checklist for inter-Cluster Contingency Planning**
Adapted from IASC Interagency Contingency Planning Guidelines for Humanitarian Assistance
- 📖 IASC Inter-Agency **Contingency Planning Guidelines** for Humanitarian Assistance, 2007.
Aimed primarily at inter-agency contingency planning, these guidelines also provide useful guidance on the contingency planning process.
- 📖 WHO **Communicable disease risk assessment** and interventions, Cyclone Nargis, Myanmar, 27 May 2008
An example of undertaking a risk assessment in practice.
- 📖 **Extract from CAP**, Côte d'Ivoire, 2005, Section 3.2 Scenarios
Best practice example of setting out alternative scenarios
- ▶ <http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=80>
Link to the Early Recovery Cluster
- ▶ <http://ocha.unog.ch/drptoolkit/contacts.html>
UNOCHA's Emergency Preparedness Section website - provides tools, resources, and links to advice on taking emergency-preparedness measures.

6

MANAGING CLUSTER
COORDINATION

Chapter Six relates to the **following WCC responsibilities**:

- ✓ Mobilising resources;
- ✓ Building capacity.

The chapter is split into the following **three sections**:

6.1	Collaborative funding appeals	<ul style="list-style-type: none"> ▪ Coordinating funding requirements ▪ Flash Appeals ▪ The Consolidated Appeals Process ▪ The CERF mechanism ▪ In a rapid-onset emergency, which funding appeal should be done first? ▪ Selecting projects for funding ▪ Other funding sources
6.2	Mobilising and building human resource capacity	<ul style="list-style-type: none"> ▪ Cluster actions in mobilising human resources ▪ Mapping and effective use of available capacities ▪ Increasing the capacity of WASH Cluster actors ▪ Timely exchange of information and resources ▪ Mobilising resources through UNICEF and global surge mechanisms
6.3	Mobilising and managing materials and equipment	<ul style="list-style-type: none"> ▪ WASH Cluster actions in mobilising materials ▪ Identifying and selecting materials ▪ Mobilising materials ▪ Material storage, transport, and distribution ▪ Coordinating materials requirements

6.1 Collaborative funding appeals

Tips in developing collaborative funding appeals

- ✓ Keeping to the guidelines and formats will save time.
- ✓ Ensure that the content is evidence based and concise.
- ✓ Clearly highlight WASH needs and those taking responsibility for meeting them.
- ✓ Be open and transparent, and advocate for an equitable range of Cluster partners in selecting projects.
- ✓ Fully brief Cluster partners on the funding criteria and restrictions of different funding mechanisms.
- ✓ Reflect the benefits of inter-Cluster support and linkages.

6.1.1 Coordinating funding requirements

To get a realistic overview of the funding required to meet critical WASH Cluster needs, information will be needed about the funds available and/or committed for WASH Cluster agency projects.

Gathering this data will be difficult, particularly in the early response when information is hazy or agencies are reluctant to provide financial data. However, continuous effort is needed, through on-going partner mapping and review, to ensure that additional donor funding is prioritized to meet the most critical - and under-resourced - aspects of WASH.

Measures to encourage exchange of funding information include:

- ✓ The 'pull factor' of potential funding;
- ✓ Participation of WASH Cluster agencies in response planning and prioritization;
- ✓ Efforts to represent the interests of all WASH Cluster actors among the projects submitted for funding;
- ✓ Potential for collaborative projects bringing different actors together with shared resources;
- ✓ Doing deals to secure the necessary information, e.g. support in securing materials, agreement to working in particular areas etc.;
- ✓ Highlighting Cluster agencies that fail to meet information requirements to government, donors and each other.

Potential funding as a 'pull factor' for cluster participation - experience from DRC

The "pull factor" of pooled funding was key to increasing Cluster participation in DRC.

Over three years, both the CAP and Humanitarian Action Plan (HAP) budgets reflected very significant growth in activities (and capacity) of actors within the WASH sector:

- ✓ WASH in CAP budget 2005 : 1 million USD (restart of UNICEF WASH activities)
- ✓ WASH in HAP funding 2006: 13 million USD (4 per cent of the total financing).
- ✓ WASH in HAP budget 2007: 99 million USD (15 per cent of the total budget).

This exponential growth clearly indicated the growing strength of the WASH Cluster. However there was some fear that participation may diminish for actors whose financing opportunities were limited, mainly local NGOs and national institutions.

Referral to the **Financial Tracking Service** (FTS) is useful in gathering an overview of funding commitments. FTS is an online database showing global humanitarian funding requirements and financial and in-kind contributions made (see www.reliefweb.int/fts). Regular donor liaison will also assist in providing guidance on:

- Donor priorities,
- funding availability and restrictions,
- funded and implementing partners.

In addition to funding for WASH projects, remember funding for WASH Cluster coordination activities, for example:

- Assessments and on-going monitoring and review
- IM support
- Translation and interpretation services
- Evaluations and lessons learnt
- Advocacy activities
- Training and capacity building for WASH Cluster partners

6.1.2 Flash Appeals - a coordinated appeal to multiple donors

The Flash Appeal is a tool for structuring a coordinated humanitarian response for the **first three to six months** of an emergency. It provides a concise overview

(max 10 pages) of urgent life-saving needs and recovery projects that can be implemented within the Flash Appeal timeframe.

Multiple donors use the Appeal document as the basis for rapidly identifying the areas and projects that they want to support. They then approach project holders directly to agree individual terms for funding, etc. Funds are not channelled through UNOCHA and the WASH CLA, but are counted as funding towards meeting WASH Cluster needs.

i) Who prepares a Flash Appeal?

The WCC coordinates the information required for the WASH section of the Appeal document. This will normally be based on early response planning (see *chapter 5*), and drafting the document (max one page) may be done by the WASH steering or advisory group.

The overall content for a Flash Appeal is coordinated and compiled by the Humanitarian Coordinator and UNOCHA, with input from the Humanitarian Country Team, usually within five to 10 days of the start of an emergency. The WCC will be required to attend an inter-Cluster meeting to input the requirements for WASH. IASC **Guidelines for completion of a Flash Appeal** are included under Resources below.

The Flash Appeal may be developed into a Consolidated Appeal (CAP) if the emergency continues beyond six months. Similarly, it can be used as the basis for the Central Emergency Response Fund (CERF - see below).

ii) Who is eligible for funding?

UN agencies and NGOs are eligible to submit projects under the WASH Cluster, and government activities may be considered if incorporated into a UN or NGO project.

The WASH CLA may also submit projects, including proposals to support funding for WASH Cluster coordination activities.

iii) Revised Flash Appeal

A revised Flash Appeal may be made, usually approx one month after the initial appeal. This takes the same format but will be based on more detailed assessment data and new or revised response projects.

6.1.3. The Consolidated Appeals Process (CAP) - a coordinated strategy to guide diverse donor funding

The **Consolidated Appeals Process** (CAP) is a forum for ensuring a strategic approach to humanitarian action through collaborative planning, coordination,

funding, implementation, and monitoring of activities by aid agencies. It should involve close collaboration between government, line ministries, donors, NGOs, UN agencies, IOM, and the Red Cross and Red Crescent Movement, and may be compiled up to six months after the onset of an emergency. In complex emergency situations, the CAP may be prepared on an annual basis.

Multiple donors use the appeal as a catalogue to select and fund particular projects, or as a means of providing funds for a more flexible pooled funding resource. The projects are presented as a way of specifying who is doing what, where.

It is important to list all projects, whether they are likely to be funded by other donors or not. This helps to highlight funding shortfalls and reinforce advocacy messages. NGO projects can be listed separately, rather than under the umbrella of a UN agency (e.g. UNICEF), which can help to overcome funding delays and NGO concerns about autonomy.

i) The Common Humanitarian Action Plan

A consolidated appeal consists of a **Common Humanitarian Action Plan** (CHAP) and a set of projects necessary to achieve this strategy. If the situation changes, or new needs emerge, the CAP can be revised at any time. The CHAP includes:

- Analysis of the context;
- Best, worst, and most likely scenarios;
- Assessment of needs and statement of priorities;
- Detailed response plans, including who does what, where;
- The link to longer-term objectives and goals;
- A framework for monitoring the strategy, and revising it if needed.

From the UN OCHA 2008 CAP leaflet

ii) Who prepares a CAP / CHAP?

The WCC is responsible for coordinating and submitting information in the CAP format about all on-going or planned projects under the WASH Cluster, whether funded by other donors or not.

In DRC, the Humanitarian Action Plan was used as the basis for the overall WASH Cluster Strategy, contributing to a significant increase in access to pooled funding and a solid and reasonably reliable basis for monitoring and review, as the Cluster was working to common targets. This could be a useful approach to response planning in an on-going emergency (see *section 5.1* for further details).

The HC leads a one month (approx) consultation exercise with the Humanitarian Country Team (or CAP sub-group) to consider detailed assessments, priorities, and appropriate strategies for a longer-term response. Selected projects form the basis for the Common Humanitarian Action Plan (CHAP).

iii) *Who is eligible for funding?*

UN agencies, IFRC, and NGOs are eligible to submit projects under the WASH Cluster, and government activities may be considered if incorporated into a UN or NGO project.

Individual donors will approach project holders directly to agree individual terms for funding etc. Or in the case of 'pooled funds', UNOCHA will have responsibility for disbursement and administration of funding to individual projects. In this case, a Letter of Understanding will be required between the individual project holder and UNOCHA.

6.1.4 The CERF mechanism - an emergency UN funding facility

The Central Emergency Response Fund (CERF) interacts with, but is distinct from, the **fundraising mechanism** outlined above. It is a **stand-by fund** established and managed by the UN to enable more timely and reliable humanitarian assistance (see further details under Resources below). It comprises of a \$450 million grant facility and a \$50 million loan facility (i.e. loans to cover the period before a forthcoming donor pledge is honoured).

The CERF is intended to **complement, not to substitute**, the existing humanitarian funding mechanisms. The CERF acts as a donor, providing seed funding to jump start critical operations and fund life-saving programmes which may have been developed for a Flash Appeal, but are not yet covered by other donors.

i) *CERF Grant facility*

Grants from the Central Emergency Response Fund (CERF) are made for two general purposes:

1. for **rapid responses** to sudden-onset emergencies or rapidly deteriorating conditions in an existing emergency.

In these situations recommendations for the use of the CERF mechanism are driven by the HC, who identifies the priority life-saving needs in collaboration with the HCT. These are submitted as a package of prioritized proposals to the ERC.

Disbursement of grants may begin from the onset of the emergency and must be committed within three months. The minimum grant allocation per project is £100,000.

2. to support activities within existing humanitarian response efforts in **under-funded emergencies**.

One-third of the CERF grant facility is earmarked for under-funded emergencies. These countries are selected by the ERC, who informs the

relevant HC/RC of funding available and invites the HC/RC to submit details of life-saving projects for funding.

The WCC may be involved in identifying and submitting suitable WASH projects for either of these purposes, depending on the nature of the emergency.

ii) CERF loan facility

Loans under the CERF are made to cover the same purposes as outlined above, the difference being that they require re-payment within six months of receipt. The loan facility aims to enable UN agencies to access funds rapidly while they are waiting for donor pledges to be transferred.

iii) Who selects projects for funding under the CERF?

If CERF funding is triggered, the WCC is responsible for managing the selection of suitable **'life-saving'** projects within the WASH Cluster and submitting them to the HC / UNOCHA in the **CERF format**. This may be done with a WASH steering or advisory group, bearing in mind the points outlined in section 6.1.2 above.

The HC then makes recommendations to the ERC on projects for funding and, in conjunction with UNOCHA, compiles the final CERF appeal document.

vi) Who is eligible for funding?

UN agencies, programmes, and IOM are eligible to submit projects, and funding is disbursed by UNOCHA, through a Letter of Understanding, to the relevant UN agency.

While NGOs cannot apply directly for CERF funds, they should be included in the process at two levels:

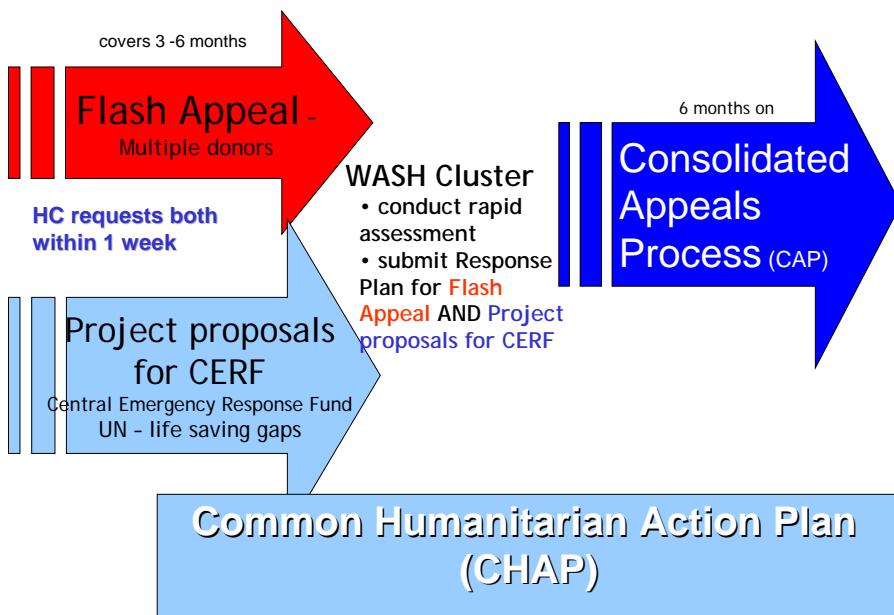
- NGOs can contribute to prioritization and selection of projects and Clusters for CERF funding through the Cluster mechanism,
- NGOs may be the recipients of funding as implementing partners for CERF-funded UN agency projects.

In the case of the WASH Cluster, all projects would be submitted by UNICEF as the CLA. Some Cluster partners may be reluctant to implement projects for which the funding is channeled through UNICEF, particularly if this compromises the opportunity to source their own funding elsewhere.

Remember...

- ✓ The CERF does not replace Flash Appeals - it interacts with them;
- ✓ Flash Appeals and CERFs are developed in tandem;
- ✓ CERF allocations to under-funded CAPs (existing humanitarian emergencies) will go to the highest-priority CAP projects.

6.1.5 In a rapid-onset emergency, which funding appeal should be done first?



Extract from UNOCHA Planning and Mobilising Resources, Power point for WASH CC Training, Oslo, 2008

First: Do a Flash Appeal that clearly articulates humanitarian needs, priority sectors for response, an outline of response plans, and roles and responsibilities.

Second: Projects that address life-saving activities from the Flash Appeal can easily be submitted to the CERF mechanism. All that is required is endorsement from the HC, putting them in the CERF format, and the signing of Letters of Understanding between submitting agencies and OCHA.

Third: Revision of the Flash Appeal. As better assessment information becomes available, the projects within the Flash Appeal can be revised at any time. New projects can be inserted. The Flash Appeal is not a static document, but is open and flexible.

Fourth: If the emergency continues for more than six months, a CAP can be considered.

6.1.6 Selecting projects for funding

Five to 10 days after the start of an emergency, details of the WASH Cluster Response Plan and individual WASH projects will need to be submitted for a Flash Appeal. Aim to do this as part of a systematic response planning process, as outlined in *Chapter 5*. At the same time, life-saving projects may be put forward for the CERF as outlined above.

a) The selection process within the WASH Cluster

The selection of appropriate projects can be a very sensitive process, particularly when projects proposed by the WASH CLA are also under consideration. Some cluster partners will also be unfamiliar with the restrictions and criteria for funding.

To help overcome misunderstandings about project selection:

- ✓ Provide clear guidance and supporting information about pooled funding mechanisms and criteria (e.g. core competencies, capacity, prior presence in locality, targeting un-met needs, alignment with Cluster priorities, etc.).
- ✓ Emphasise that inclusion of projects within a Flash Appeal is not a guarantee of funding.
- ✓ Establish a systematic process for the prioritisation of needs, identification of gaps, and subsequent selection of project (see section 5.2), and ensure broad representation of WASH Cluster actors in this process.
- ✓ Request donor cooperation in abiding by Cluster priorities and not ‘cherry picking’ projects with particular agencies.

A structured mechanism for prioritising needs, identifying gaps, and outlining the necessary projects and activities for an effective WASH response, will also assist in keeping project selection objective and open. Where possible, include projects for as wide a range of Cluster actors as possible, including international and national NGOs and local organisations and institutions.

The WCC will play a key role in:

- ✓ Coordinating the collection of information about on-going and proposed projects among Cluster actors;
- ✓ Providing necessary information about funding requirements and the selection process;
- ✓ Assisting local and national organisations in the preparation of documentation for funding appeals;

- ✓ Establishing a representative but timely mechanism for the assessment and selection of Cluster projects;
- ✓ Collaborating with government partners and other Clusters to maximise complementarities in the selection of projects.

As with response planning, it may be prudent to manage project selection through a steering or advisory group, such as the SAG, but particular effort will be needed to ensure that the group is genuinely representative of the diverse interests within the Cluster. A group dominated by international agencies, or with inadequate government representation, may lead to serious misunderstanding and loss of confidence in the Cluster Approach.

b) The selection process across Clusters

Selection of projects for inclusion in a **Flash Appeal** is collectively undertaken by the Cluster Lead Agencies in their role as part of the HCT. They are guided by the outcomes of joint or Cluster-specific rapid assessment findings, the Flash Appeal timeline, and an indication of the available funding, and are responsible for drafting the Response Plan section of the Appeal, incorporating the selected projects.

The WCC along with other Cluster Coordinators contributes to this process by proposing and explaining the projects being put forward for their Cluster. The projects are then prioritized (weighted) then reviewed again on the basis of funding already received and committed to each Cluster or project.

Factors influencing the selection of projects may include:

- Life-saving impact
- Numbers of people assisted
- Availability of resources (including funding) required
- Assistance to priority vulnerable groups or locations
- Complementarities between projects and Clusters
- Cost
- Contribution to early recovery and emergency preparedness

The HCT, with the HC, is responsible for prioritizing and selecting projects for the CAP, and a **Needs Analysis Framework** has been developed to support this process.

In order to trigger the need for emergency funding through the CERF, the HC is required to provide a list of prioritized humanitarian emergency needs, which is developed through the HCT. Funding through the CERF is restricted to **life-saving interventions**, and selection of suitable projects is guided by a list of pre-determined criteria.

6.1.7 Other funding sources

a) Multi Donor Trust Funds

A Multi Donor Trust Fund (MDTF) is a mechanism through which donors pool their resources, with the intention of supporting national humanitarian, recovery, reconstruction, and development priorities.

They are a useful additional source of funding after the immediate relief stage and help to reduce the burden of seeking, and reporting on, funding from multiple sources.

The funds are managed through an Administrative Agent such as UNDP, and the nature and requirements for funding are determined by the individual country context and programme or project objectives. Further details can be found on the UNDP website under Resources below.

b) Emergency Response Fund

In addition to common or pooled funding sources, in some countries the WASH Cluster may be able to bid for project funding through the Emergency Response Fund (ERF). The ERF is managed by OCHA through the HC, and aims to provide rapid, flexible funding to:

- address gaps in humanitarian aid,
- enable the scale up of response and recovery interventions, particularly by international and national NGOs who are not eligible for direct funding through the CERF.

Further details can be found under Resources below.

c) Traditional donors

The WASH Cluster provides a useful platform for Cluster partners to develop collaborative proposals for their traditional bi-lateral donors, e.g. ECHO, DFID, OFDA, DEC, CIDA, DANIDA, SIDA, and, in S.E. Asia, Saudi Arabian, Chinese, and South Korean donors. Many donors encourage collective or consortia bids, particularly those that demonstrate partnerships with local organisations.

Cluster partners should not rely on the WASH Cluster as a mechanism for generating funds, but see the collaborative Cluster assessment and planning process as a robust basis for additional funding appeals.

Resources

- 📖 UNOCHA **Planning and Mobilising Resources**, Power point, Nov 2008
- 📖 IASC CAP sub-working group (2006), **Guidelines for Flash Appeals**

- 📖 UNOCHA **Guidelines for Consolidated Appeals**, 2008
- 📖 UN OCHA **NGOs in CAPs**, 2007
- 📖 UNOCHA **CAP Leaflet**
Useful A4 leaflet for explaining details of the CAP and CHAP to Cluster partners

- 📖 **CERF Application** template (Grant component), March 2007
- 📖 UNOCHA **CERF Technical Guidelines** and Application template for Under funded Grants, August 2007
- 📖 **CERF Grants for Under-funded Emergencies**, January 2007
- 📖 **CERF Life-Saving Criteria Guidelines**
- 📖 **CERF How to apply for Grants for Rapid Response emergencies**, Power point
- 📖 **Example of CERF under-funded grant request**, 2007, Ethiopia

- 📖 UNOCHA **Humanitarian Financing Workshop Report**, Ethiopia, 2007
Provides an outline of the Emergency Response Fund and examples of how it has been used to date.
- 📖 **Financial Tracking System** - how does it work, Power point, Dec 2007

- 📖 UNOCHA **Sector Prioritisation spreadsheet**, Myanmar
- 📖 IASC (2006), **Needs Analysis Framework**, IASC CAP Sub-Working group.
Outlines the framework used by the IASC/Humanitarian Country team in assessing and prioritising projects for inclusion in the CAP.

- ▶ <http://cerf.un.org>
Website for the UN Central Emergency Response Fund and the CERF application toolkit
- ▶ <http://www.humanitarianappeal.net>
Web site for the Flash Appeals and the Consolidated Appeals Process, with a range of 'best practice' examples and guidelines on the appeals process.
- ▶ <http://reliefweb.int/fts>
Link for the OCHA financial tracking service
- ▶ <http://ochaonline.un.org/FundingFinance/ResponseFunds/tabid/4404/language/en-US/Default.aspx>
Details of UNOCHA Emergency Response Fund.
- ▶ <http://www.undp.org/mdtf/trustfunds.shtml>
Details of the Multi Donor Trust Fund

6.2 Mobilising and building human resource capacity

Tips in maximising human resource capacity

- ✓ Invest in mapping the capacity of Cluster partners.
- ✓ Devolve Cluster responsibilities, where feasible, through advisory or technical working groups.
- ✓ Avoid wasting the capacity of experienced Cluster partners on activities that could be done by others.
- ✓ Seek funding to cover required specialist skills and capacities.
- ✓ Pro-actively engage with and build on national and local capacities.

6.2.1 Cluster actions in mobilising human resources

A range of skills and human resource capacities will be needed to support WASH Cluster coordination (see *section 1.2* for further details). These may be drawn from existing Cluster partners, civil society or academic institutions, government ministries and departments, affected communities, or by mobilising international personnel or increasing the capacity of available personnel.

The WCC has overall responsibility for exploring and facilitating a range of strategies that may be used to increase human resource capacity, however, implementation of specific activities may be undertaken by the IM focal point or a designated working or sub-group.

Strategies include:

- Mapping and optimising use of available capacities (WCC / IM focal point);
- Timely exchange of accurate information and useful resources, in order to minimise wasted time and human resource capacity (IM focal point);
- Mobilising international surge capacity through the CLA and Global WASH partners (WCC);
- Promoting and supporting training for WASH Cluster actors, based on the mapping (WCC and / or working group);
- Increasing the capacity of WASH Cluster partners, particularly national and local actors (WCC and / or working group);
- Temporary support through volunteers, interns, and local students;
- Short-term recruitment of diaspora staff from other countries (through UNICEF or WASH partners).

WASH Cluster agencies have an equal responsibility to mobilise human resources through drawing on their own surge capacity mechanisms, local partners, or staff in other countries.

6.2.2 Mapping and effective use of available capacities

a) Taking all Cluster capacities into account

The human resource capacities of international WASH Cluster partners may be more apparent and familiar, with national and local actors seen as something of an 'unknown'.

However, it will pay dividends to develop a full understanding of the mandate, focus, and staffing capacity of all WASH Cluster partners through a capacity mapping process (see *sections 3.2; 4.2*).

This will also protect against:

- Underutilisation of existing Cluster capacities,
- overlooking valuable skills and experience,
- de-motivation of Cluster partners,
- inadequate involvement of national and local organisations,
- errors and insensitivities caused by inadequate local knowledge.

b) Delegating responsibilities within the WASH Cluster

The structure, coordination, and decision-making mechanisms of the WASH Cluster will impact on its human resource capacity.

Dividing responsibilities vertically, e.g. between national- and sub-national levels, and horizontally, e.g. through advisory, strategic, sub-groups, or technical working groups, will increase the Cluster's ability to manage a large volume and range of activities in a short space of time. Furthermore, as highlighted by the Global WASH Cluster Learning project¹⁴, commitment to WASH Cluster principles, policies, and standards can be enhanced through facilitating broad participation of Cluster partners.

Advocating for the necessary specialist staff (e.g. Information Manager) will also help to ensure that the WCC focuses on guiding the overall direction, interaction, and progress of Cluster coordination activities, rather than taking on too many direct responsibilities.

¹⁴ Implementation of the WASH Cluster Approach : Good practice and lessons learned, Oct 2008, ACF

Team approach in Bangladesh

The WASH Bangladesh Cluster took a collective approach to data analysis, contributing to team building and a strong collective identity. This was achieved through shared analysis of overall WASH Cluster capacity (budgets) and matching capacities to assessed needs, without attribution to individual agencies.

In any funding appeals, adequate provision will need to be made to cover WASH Cluster human resource costs and the attendance and participation of other WASH actors.

6.2.3 Increasing the capacity of WASH Cluster actors

There is a tendency to assume that the need for capacity building applies solely to national and local actors. This risks over-estimating the degree of appropriate skills and contextual understanding among international actors, and can undermine valuable local capacities.

In evaluating the impact of the tsunami response on national and local capacities, the Tsunami Evaluation Coalition found that “local ownership of the tsunami response was undermined and some local capacities were rendered more vulnerable by the response to the disaster ... **only 20% of claim-holders were satisfied with the way their skills had been used**”.

Scheper B., Parakrama A., and Patel S. (2006), Impact of the tsunami on National and Local Capacities, London. TEC

In addition to NGOs, there may be a range of national and local actors, that the WASH Cluster can draw on to increase capacity, e.g.

- **Government ministries and departments** - for technical expertise, logistics (transport, warehousing, etc.), analysis of country context, emergency preparedness, national communication and information exchange, advocacy;
- **Civil society** - for community liaison and mobilisation, translation and interpretation, early recovery strategies, local communication and information exchange, situational assessment, analysis and monitoring, mapping local capacities, liaison with local and traditional authorities, advocacy;
- **Academic or research institutions and professional associations** - for technical expertise, research, data collection and data analysis, Information Management capacity, translation and interpretation, analysis of context.

Developing local capacities through the WASH Cluster

Uganda -Local coordination mechanisms have been adapted following integration with the WASH Cluster coordination mechanism consolidating partnerships within the WASH sector.

Bangladesh - The Department of Public Health Engineering has recognized the value of the Cluster Approach in strengthening service delivery and incorporated aspects of Cluster coordination in its emergency preparedness plans.

Somalia - Due to prevailing security conditions and the limited capacity of international agencies, UNICEF forged partnerships with, and mobilised small scale-funding for local NGOs to enable them to help increase coverage of the drought relief response.

Capacity building involves:	What strategies can be used for increasing WASH Cluster actor capacities?
Equipping people with skills and competencies which they would not otherwise have.	<ul style="list-style-type: none"> ✓ Mentoring between more and less experienced cluster agencies; ✓ Mixed working groups (rather than continually selecting the most experienced people); ✓ Using widely participatory methods, e.g. in contingency planning and on-going strategy development (may not be feasible in early stages);
Realising existing skills and developing potential.	<ul style="list-style-type: none"> ✓ Promoting an equitable balance of international and local interests and experience in WASH steering and working groups to increase capacity and mutual understanding;
Increasing people's self-confidence.	<ul style="list-style-type: none"> ✓ Facilitating training and coaching in WASH Cluster processes and best practice, e.g. standard tools, hygiene promotion, early recovery, etc.;
Promoting people's ability to take responsibility for identifying and meeting their own, and other people's, needs.	<ul style="list-style-type: none"> ✓ Providing translation in meetings and translating minutes, information, and key tools as required; ✓ Supporting community-driven initiatives and maximising the involvement of community based organisations at all stages of the project cycle (see <i>section 4.3</i> for further details).

Opportunities to engage national and local capacities can be enhanced through:

- ✓ Minimising information and reporting requirements to save time and accommodate weaker IT and reporting capacities of some agencies.
- ✓ Providing information and training in forms which are appropriate to the recipients, e.g. consider use of language and terminologies, translation, understanding of signs and diagrams.
- ✓ Promoting good human resource management practice, including a policy of working through local organisations rather than poaching skilled staff (see www.peopleinaid.org for further information).

6.2.4 Timely exchange of information and resources

The availability of timely, accurate, and consistent information about the WASH Cluster and its activities will increase WASH Cluster partners' capacity to respond, and assist in identifying where they have capacities to best support the Cluster. See *section 3.2* for details.

General briefing information on the expectations of the humanitarian reform process and Cluster Approach, and standard tools and approaches being used by the Global WASH Cluster, can be provided from this Handbook or reference to the humanitarian reform website:

<http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=70>

6.2.5 Mobilising resources through UNICEF and global surge mechanisms

UNICEF

The first point of contact for mobilising additional personnel will be through the UNICEF Country Office.

- ✓ **Regional Emergency WASH Advisers** based within UNICEF regional offices can be drawn on for short-term rapid deployment and play an important role in building local capacities.
- ✓ **WES staff** at country level can also provide critical technical and contextual advice.
- ✓ **WASH staff from UNICEF headquarters** at global level may also be available for short term deployment.
- ✓ **Standby partners** provide UNICEF with short term secondments ranging from 2 weeks to six months. Further details can be found in the Guidelines for Standby Partners document under Resources.

Rapid Response Team

The Global WASH Cluster through collaboration with ACF, CARE International, and OXFAM, have mobilised a rapid response team. The team comprises three people, with complementary skills in Cluster coordination, funding and resource mobilisation, and technical WASH skills.

WASH partners

It may also be possible to draw on the surge capacity of WASH Cluster partners at country, or global level. While experienced staff will inevitably be prioritised for their own programmes, this mechanism may assist in identifying people with particular skills to support the WASH Cluster in an advisory capacity.

6.2.6 Training opportunities for WASH Cluster actors

Addressing training and capacity building needs among WASH Cluster actors can be undertaken by a dedicated sub-group or working group. This will involve:

- Assessing the capacity building and training needs among Cluster partners at national and sub-national levels;
- Highlighting training opportunities being offered by other Clusters and humanitarian actors in response to the emergency;
- Facilitating training opportunities in priority topics such as needs assessments and monitoring and evaluation, Sphere, hygiene promotion, emergency preparedness, etc.;
- Organising joint training through Cluster agencies themselves or specialist external trainers and training organisations.

Sphere training

Sphere training may be facilitated by trained Sphere trainers within participating WASH agencies, or other local Sphere focal points. A full list of trainers can be found at:

http://www.sphereproject.org/index.php?option=com_peoplebook&search_category=93&Itemid=231

Resources

- 📖 **Building Trust in Diverse Team**, The Toolkit for Emergency Response, Oxfam for the ECB Project
- 📖 **Guidelines on external staff in emergencies: Standby Arrangements**, UNICEF, 2006
- 📖 **Rapid Staff Orientation Package**, Global WASH Cluster HP Project, 2007
Focuses on how to engage women, men, and children in WASH interventions, plus materials for a half day staff or community orientation workshop.
- 📖 **Training Package for Hygiene Promoters**, Global WASH Cluster HP Project, 2007
- 📖 **Training Package for Community Mobilisers**, Global WASH Cluster HP Project, 2007
- 📖 **Orientation Workshop Package - Handouts**, Global WASH Cluster HP Project, 2007
- 📖 **Orientation Workshop Package - Facilitator's Resources**, Global WASH Cluster HP Project, 2007
- 📖 **Orientation Workshop Package - Power-points**, Global WASH Cluster HP Project, 2007
- ▶ <http://www.ecbproject.org/> -
Emergency Capacity Building project website with a range of research and resources to build staff capacities.
- ▶ www.managing.peopleinaid.org and www.peopleinaid.org -
People In Aid website with comprehensive resources to support effective human resource management in emergencies.
- ▶ www.aidworkers.net
Useful for blogging

6.3 Mobilising and managing materials and equipment

Tips for material selection and mobilisation

- ✓ Procure local goods and materials where possible.
- ✓ Kits and voucher schemes allow people to make their own choices.
- ✓ In an immediate disaster aftermath, mass distribute only culturally acceptable items, e.g. soap, water containers.
- ✓ A phased approach to distribution, based on comprehensive assessment data enables identification of more specific needs and sensitivities.

6.3.1 WASH Cluster actions in mobilising materials

WASH Cluster strategies for mobilising and stockpiling materials should link with, and can strengthen government Emergency Preparedness plans, e.g. In Uganda the WASH cluster emergency material and equipment stocks are incorporated into District Response Plans.

While the WCC has ultimate responsibility for overall Cluster resource requirements, individual Cluster agencies have responsibility for mobilising the resources required for their own projects and activities.

WASH Cluster support in mobilising and coordinating material requirements can provide very tangible benefits for Cluster partners, and is useful in promoting and maintaining the participation of WASH agencies in the Cluster (see *section 1.4*).

A collaborative approach to mobilising materials and equipment will need to be guided by individual Cluster partners, or a sub-group or working group, with logistics expertise and sufficient knowledge of the local context. This can have a marked impact on the speed and efficiency of material logistics and procurement.

WASH Cluster strategies to assist with resource mobilisation include:

- ✓ Identifying core WASH material resource requirements in assessment and response planning;
- ✓ Identifying and monitoring in-country and stock pile capacities;
- ✓ Encouraging WASH Cluster agencies to collaborate in procurement and logistics where feasible, drawing on their usual supply channels;
- ✓ Sharing specifications and prices within, and across Clusters, to prevent variable quality of goods, and manipulation of prices, by suppliers;

- ✓ Engaging government support in clearance, transportation, warehousing, etc.;
- ✓ Engaging the support of the CLA and other Clusters in procurement and logistics.

6.3.2 Identifying and selecting materials

Selection and procurement of materials should be considered as an integral part of the assessment and planning process, so that selection is made based on contextual suitability and taking into account supply constraints. In response planning (see *chapter 5*), consideration of available materials and logistics and supply capacities is needed, to identify the fastest and most effective response strategies.

WASH materials and equipment can be specified from a range of sources such as the **UNICEF catalogue**. A comprehensive list of normal hygiene promotion materials is also provided under Resources.

Points to consider when selecting appropriate materials and equipment

- ✓ Observe **cultural norms and sensitivities** in selection, particularly in relation to sanitation and personal hygiene items. Involve hygiene promoters and community representatives in the selection and distribution of hygiene items.
- ✓ Make affected groups aware of the requirements for **disposal of hygiene items** as part of the supply and distribution process.
- ✓ Consider the **special needs** of people with disabilities, HIV and AIDS, the elderly, women, girls, and children in specification of materials.
- ✓ Adapt family water kits as necessary to suit the **local context**.
- ✓ Provide instructions for the use of water kits, water purification materials, bleach, and chlorine in pictures and / or **local language(s)**. See the WASH Visual Aids library CD at: <http://www.humanitarianreform.org/Default.aspx?tabid=343> for examples in different languages.
- ✓ Consider the **environmental impact** of different material options, including use of local materials, such as timber, sand, locally burnt bricks, and the long term impact of temporary, emergency structures, i.e. latrines, concrete structures.
- ✓ In order to avoid undermining local markets and livelihoods, procure locally where possible. **Livelihood opportunities** may be created through the supply of some goods, e.g. soap, water containers, pit latrine slabs, etc.

Supplying appropriate Hygiene Kits

Following the Pakistan earthquake response, an IFRC evaluation of hygiene kit distribution in 2006 found that:

- Only small and medium-size underwear was distributed for women, and often not used.
- Women were unfamiliar with disposable sanitary towels, and sanitary towels and underwear should have been packaged separately in the family hygiene kits.
- Men tended to have beards, so razor blades were unnecessary.
- Some people felt that razor blades were being imposed to try to change local culture and religion.

Source: Global WASH Cluster HP project - WASH Related NFIs - A briefing paper

In contrast, good practice was observed in DRC, where the WASH Cluster and UNICEF developed context-specific hygiene kits for women and girls based on a process of participatory needs assessment with representatives from conflict-affected communities.

Example provided by Kelly Naylor, WASH Specialist, UNICEF, DRC

6.3.3 Mobilising materials

Initial WASH Cluster strategies to address life-threatening needs should ideally draw on materials that are already available, or that can be readily procured or supplied in country. This may be through:

- UNICEF local procurement arrangements or stockpile items,
- Government partners,
- Donors (NOREP - Norway, OCHA, DFID - UK),
- Cluster agencies (through mapping of material / equipment capacities - see *sections 3.2, 4.1*),
- Private sector suppliers, contractors, and local markets,
- Developing the capacity of local producers.

Save time and frustration: **find an ally in the Country UNICEF Office** to help navigate the admin, finance, supply, and procurement procedures, **particularly if new to the organisation.**

In the initial response, it may be advisable to restrict the import of supplies that are unavailable locally to emergency materials and equipment only. The Global WASH Cluster can provide support and information regarding globally available stockpiled items.

Coordinating import requirements with the UNICEF Country Office and other Clusters can save time, money, and significant resources in the administration of multiple shipments. Following Cyclone Nargis in Myanmar, the Emergency Shelter Cluster established a 'Joint Procurement Initiative' working group, led by World Concern, to coordinate the mass procurement, shipment, and distribution of NFIs.

6.3.4 Material storage, transport, and distribution

a) Storage / warehousing

The warehousing and distribution of emergency materials is essentially the responsibility of the government but in many situations they may lack the capacity to coordinate requirements.

However, the government, other international and national WASH Cluster actors, other UN agencies such as WFP, and other Clusters such as Logistics, can play a key role in supporting the WASH Cluster in identifying appropriate storage locations and facilities.

WASH Cluster response strategies will need to take account of storage and stockpiling requirements, particularly when:

- the evolving emergency situation is unpredictable, e.g. with uncertain population movements or potential insecurity or deterioration in conditions,
- a prolonged response is expected,
- there are likely to be fluctuations in supply and distribution,
- a high level of turnover of supplies is anticipated
- there is limited transport available or the transport infrastructure is poor or badly damaged.

There may be significant value in stockpiling some items to:

- ✓ ensure continuity of supplies,
- ✓ allow more flexibility in transportation methods and schedules,
- ✓ stagger distribution, and,
- ✓ ensure standardisation and quality of supplies.

However, there are also negative implications of stockpiling which will need to be taken into account:

- ✗ High costs involved in initial purchase, storage, and protection,
- ✗ Potential threat to those in the vicinity of stores,
- ✗ Risk of damage, deterioration, or redundancy if requirements change,
- ✗ Risk of need to re-locate stock in the event of conflict, population movements, or threats of natural disaster.

b) Transport

Transport and distribution options may be affected by physical damage or poor infrastructure, security, or weather conditions, and lack of drivers, fuel, or spare parts.

Where transportation is likely to be a major constraint, try to minimise the weight, volume, and overall quantities of materials requiring distribution.

Similarly, in response planning, make adequate allowance for transportation times and delays, taking into account clearance and security checks, road conditions, availability of transport, fuel, drivers, etc.




6.3.5 Coordinating materials requirements

It may be appropriate to establish a separate sub-group or working group to coordinate material logistics (storage, transport, and distribution) and procurement needs.

The following actors will also be important for effective coordination:

- ✓ **UN Joint Logistics Centre -**
The UNJLC is a UN Common Service which is activated when intensified field-based inter-agency logistics information is required: <http://www.unjlc.org/>
- ✓ **The Logistics Cluster -**
The Logistics Cluster facilitates an uninterrupted supply chain of life saving relief items to the affected population (inc. establishing staging areas, strategic cargo movements, mobile storage, ground transport capacity, and infrastructure repair): <http://www.logcluster.org/>
- ✓ **Other Clusters -**
Particularly those involved in the procurement of WASH NFIs or similar materials, e.g. CCCM (NFIs), Health (mosquito nets), Shelter (tools, plastic sheeting, etc.)
- ✓ **UNICEF Logistics staff -**
Involved in procuring materials for UNICEF as CLA and other WASH Cluster partners if they are contracted as implementing partners.
- ✓ **Relevant government departments -**
Such as for warehousing, distribution, and customs and excise, ports and airport authorities, etc.

Resources

-  UNICEF (2005), **Emergency Field Handbook** - pp 357-388 provide comprehensive guidance on materials supply and logistics.
-  Global WASH Hygiene Promotion project (2007), **WASH related non-food items** - a briefing paper providing details of standard material requirements for WASH NFIs.
-  UN (2004) **Emergency Relief Items** - Compendium of Generic Specifications
- ▶ <http://www.supply.unicef.dk/catalogue>
Web-based version of the UNICEF supplies catalogue.
- ▶ http://www.unicef.org/supply/index_about.html
Information about standard UNICEF stockpile items, water kits, etc.
- ▶ <http://www.icrc.org/emergency-items/>
Web-based version of the IFRC supplies catalogue.
- ▶ <http://www.unjlc.org/>
The UNJLC website.
- ▶ <http://www.logcluster.org/>
The Logistics cluster website.
- ▶ <http://ocha.unog.ch/cr>
The OCHA directory of emergency stockpiles. It is currently being re-designed, but once completed will provide comprehensive cross-Cluster information on availability of supplies.

7

GUIDING PRINCIPLES AND STANDARDS

Chapter Seven relates to the following WCC responsibilities:

- ✓ Applying appropriate technical standards;
- ✓ Monitoring performance.

The chapter is split into the following five sections:

7.1	Establishing agreed guiding principles and standards	<ul style="list-style-type: none"> ▪ Overarching principles for humanitarian response ▪ Guiding principles for the WASH Cluster ▪ Defining appropriate standards for WASH ▪ How to establish and review guiding principles, policies and standards
7.2	Integration of Hygiene Promotion in WASH programming	<ul style="list-style-type: none"> ▪ Hygiene Promotion: pivotal to effective WASH interventions ▪ The role of the WCC in Hygiene Promotion ▪ What is Hygiene Promotion? ▪ Addressing Hygiene Promotion in an emergency ▪ Hygiene Promotion: approaches and methods
7.3	Promoting accountability to affected populations	<ul style="list-style-type: none"> ▪ Accountability in the Cluster Approach ▪ Promoting accountability to affected populations
7.4	Reviewing WASH Cluster performance and capturing lessons learned	<ul style="list-style-type: none"> ▪ Reviewing WASH Cluster operations ▪ WASH Cluster Performance Review process ▪ Sharing good practice and lessons learned
7.5	Using advocacy to promote the interest of the WASH Cluster	<ul style="list-style-type: none"> ▪ What is advocacy? ▪ Advocacy in relation to the WASH Cluster ▪ Compiling an effective advocacy message ▪ What channels can be used? ▪ Public information and dealing with the media

7.1 Establishing agreed guiding principles and standards

7.1.1 Overarching principles for humanitarian response

Principles are the rules or laws which guide any humanitarian action. They provide the ‘ethical framework’ within which the WASH Cluster operates and the underlying basis for WASH Cluster policies and standards.

There are a number of overarching principles that apply to the WASH Cluster which can be seen as ‘non-negotiable’, these include:

- **Humanitarian and Human Rights laws;**
- The **Code of Conduct** and commitment to the humanitarian imperative and principles of humanity, impartiality, participation and accountability;
- **Principles of Partnership** as defined under the Humanitarian Reform process (see section 8.1 for details).

The Humanitarian Imperative

All possible steps should be taken to prevent or alleviate human suffering arising out of conflict or calamity, and that civilians so affected have a right to protection and assistance.

The Sphere Project Humanitarian Charter, 2004

7.1.2 Guiding principles for the WASH Cluster

a) Defining guiding principles for the WASH Cluster

While the above sets out an ethical framework for the WASH Cluster, a range of unwritten rules or guidelines will be needed which outline ‘acceptable’ behaviours and the way in which activities should be carried out. These ‘**guiding principles**’ are particularly important in establishing shared understanding where there is a diverse range of actors or interests, as in the WASH Cluster.

The WASH Cluster Performance Review Tool (see section 7.4) incorporates a range of measures for WASH service delivery, predictability, quality, accountability and leadership. This provides a useful and practical guide to considering principles and policy.

When setting up the WASH Cluster it may be useful to agree Guiding Principles in relation to:

WASH Cluster approaches and behaviours, e.g. :

- **Equitable assistance** for all affected groups, e.g. refugees, IDPs, affected communities, and host communities.
- **Building on local structures and capacity building**, e.g. prioritising support for projects implemented by local and national actors.
- **Collaborative approach**, e.g. coordination of HP, and commitment to ensure coverage of all aspects of WASH in any location.
- **Participation**, e.g. commitment to community involvement in all assessments of their needs and planning, design, and implementation of subsequent response programmes.
- **Inter-cluster coordination and collaboration**, e.g. use of common approaches, tools, and shared responsibilities (see *section 1.5*).
- **Good governance and accountability**, e.g. reporting to affected populations and involvement in decision making, and a Complaints Handling system.
- **Gender based approach** to the WASH response.

WASH Cluster practice, e.g. :

- **Compliance with international and national standards** (see details below).
- **Sourcing material and human resources**, e.g. use of renewable resources, resistance to ‘poaching’ of local NGO or government staff.
- **Evidence based interventions** based on objective assessment of damage, risks, and vulnerabilities, and drawing on knowledge and experience of what works and what does not work in practice.
- **Emergency preparedness and disaster risk reduction**, e.g. integrated flood or drought management measures.
- **Early recovery and long-term sustainability**, e.g. reduce reliance on emergency water supply measures, such as trucking.
- **Integration of priority cross-cutting issues**, e.g. equitable gender and age representation in WASH Cluster decision making, environmentally friendly WASH programming (see relevant IASC guidelines in Resources below).
- **Multi language / media communications**, e.g. agreement to use of visual aids, translation, and interpretation, and dissemination of information in different media to ensure equal opportunities for participation and access to information

b) WASH Cluster Policies

Policies are the written guidelines which steer WASH Cluster action in line with agreed Guiding Principles.

For example, if the WASH Cluster adopts a principle of supporting evidence based interventions, there may be a series of policies developed in relation to:

- Focus on areas with limited access to resources, e.g. ground water.
- Focus on areas with limited support, e.g. presence of NGOs, or government.
- Targeting particular categories of vulnerability.

Similarly, if the WASH Cluster supports a principle of promoting environmental protection and sustainability, there may be a series of policies in relation to:

- Use of salvaged or sustainable natural resources, e.g. timber, bricks, etc.
- Design of temporary structures that can be resited or dismantled, e.g. sanitation facilities.

The WASH Cluster will also need to be guided by existing government policies and regulations, e.g. National water or sanitation policies, Poverty Reduction strategies, etc.

7.1.3 Defining appropriate standards for WASH

Key points in establishing standards

- ✓ Base standards on evidence-based good practice.
- ✓ Take full consideration of existing national standards, and both the local and emergency context, in determining appropriate standards.
- ✓ Build consensus amongst Cluster actors based on the evidence put forward.
- ✓ Keep standards to a minimum – focus on the critical issues.

Standards established by the WASH Cluster define the specification (quality and quantity) for WASH Cluster interventions. The Global WASH Cluster has adopted the **Sphere Minimum Standards in Disaster Response** as the baseline for guiding WASH programming and action.

The **Sphere Common Standards** should be considered before defining technical requirements, and they provide an essential foundation for WASH Cluster interventions by ensuring that attention is paid to the local context and all aspects of the project cycle.

Common standards							
Participation	Initial Assessments	Response	Targeting	Monitoring	Evaluation	Aid worker's competencies and responsibilities	Supervision, management and support of personnel

The [Sphere Minimum Standards in WASH](#) (Chapter 2) provide the basis for defining the technical requirements of WASH Cluster interventions.

Water Supply, Sanitation and Hygiene Promotion					
Hygiene Promotion	Water Supply	Excreta Disposal	Vector Control	Solid Waste Management	Drainage
Standards					
1: Programme design and implementation - covering all aspects of water, excreta disposal, solid waste disposal, etc.	1: Access and water quantity	1: Access to, and numbers of, toilets	1: Individual and family protection	1: Solid waste collection and disposal	1: Drainage works
	2: Water quality	2: Design, construction and use of toilets	2: Physical, environmental and chemical protection measures		
	3: Water use, facilities, and goods		3: Chemical control safety		

Care is needed in distinguishing between the Sphere Standards, around which there is generally consensus, and the Sphere Indicators, which can be the cause

for significant disagreement. It is important to make reference to national standards as well, as these often take precedence over Sphere. Then determine indicators which are appropriate to the local and emergency context and available capacities.

For example, under the Sphere water supply standard 1: there can be little argument that people should have safe and equitable access to sufficient water for drinking, cooking, and personal and domestic hygiene. However, there may be great debate over the indicators that outline how much water that should be and where it should be located.

Strategies that may be useful in addressing disagreement over appropriate indicators include:

- ✓ Reference to the [Sphere Guidance Notes](#) which are included for each Sphere standard. These highlight practical experience and areas of potential controversy, and can assist in determining appropriate indicators in relation to the local context.
- ✓ Adopting a phased approach to the attainment of standards through a series of staged indicators over time, e.g. the indicators adopted for tracking the availability of improved sanitation facilities following Cyclone Nargis in Myanmar were: one latrine per 100 persons after 60 days, one latrine per 50 persons after 90 days, one latrine per 36 persons after 120 days, until the target of one latrine per 20 persons was reached.
- ✓ Consideration of alternative indicators which are more familiar within the context, e.g. the Joint Monitoring Programme for Water Supply and Sanitation (JMP) indicators developed by UNICEF and WHO for monitoring progress towards the global water and sanitation goals (Millennium Development Goals):
<http://www.unicef.org/wes/mdgreport/definition.php>.

Indicators adopted by the WASH Cluster should:

- ✓ build on existing national standards in the first instance,
- ✓ take the local and emergency context into account,
- ✓ strive for the Sphere indicators as a minimum, where feasible.

7.1.4 How to establish and review guiding principles, policies, and standards

a) Role and actions for the WASH Cluster Coordinator

- ✓ Focus on establishing a mechanism for the coordination of guiding principles, policies, and standards, not on the detail itself;

- ✓ Ensure compliance with all necessary international and national laws and regulations through the policies and standards adopted;
- ✓ Facilitate a process for reaching broad consensus;
- ✓ Ensure that the principles, policies, and standards proposed provide sufficient clarity for WASH Cluster actors and address all critical aspects of the WASH response;
- ✓ Establish an effective mechanism for the review and updating of policies and standards when required.
- ✓ Where national policies and standards fall below international best practice, advocate for the enhancement of existing national standards.

Opportunity to review and enhance national standards - Bangladesh

In the emergency response following Cyclone Sidr, there was lack of clarity about the government of Bangladesh standards for pond cleaning and pond sand filtration.

The WASH Cluster offered a forum for dialogue to resolve the issue and find the most appropriate technical solution. This also gave the Department of Public Health Engineering the opportunity to review their own standards.

Bangladesh WASH Cluster Review, March 2008

b) Establishing guiding principles and standards

- ✓ Identify critical issues around which clear guidance is needed, through the Steering or Advisory Group.
- ✓ Establish a mechanism for Cluster partners to suggest or raise issues about which guiding principles or policies are required.
- ✓ Undertake research and ground work for policy development and standard setting through technical or working groups.
- ✓ Facilitate an effective feedback mechanism between technical and working groups and the wider WASH Cluster forum.
- ✓ Clearly articulate, in all relevant languages, and widely disseminate agreed policy and standards to all WASH Cluster stakeholders, including affected communities.











Guiding principles, policies, and standards will be developed continuously as more is learnt about the emergency situation and the most appropriate form of response.

c) **Important considerations in establishing and maintaining appropriate standards¹⁵**

Potential problems or shortfalls	Strategies to address problem
Inadequate consideration of standards relating to the process of WASH interventions, e.g. availability and standardisation of information, participation of, and accountability to, affected populations	Set key standards to monitor the performance of the WASH response process, drawing on the Sphere Common Standards for guidance.
Tendency to focus on quantitative outputs, rather than qualitative outcomes , e.g. monitoring the number of latrines constructed, rather than whether they are well constructed and being used.	Identify a mix of quantitative and qualitative indicators in relation to each standard. Determine HOW they can realistically be measured and by WHOM .
Tendency to focus on raising awareness of standards rather than strategic consideration of whether standards (esp. Sphere) are appropriate and can be achieved .	Build on existing standards; consider how they can be enhanced in line with Sphere, where feasible. Take account of the emergency phase, e.g. in early recovery it should be national standards that apply.
Poor monitoring of compliance with standards and limited power to take remedial action, e.g. National and local authorities may have good understanding of performance requirements, but lack the resources to enforce them.	Advocate for resources to enable national and local authorities to monitor WASH performance and compliance, in order to: Help build capacity Strengthen monitoring and accountability Provide the 'authority' (legitimacy) needed to demand compliance or remedial action.
Inadequate review and revision of standards in line with the changing context, e.g. the problems which need to be addressed have changed.	Regularly review WASH Response Plans, starting from problem analysis. In this way appropriate adjustment to standards and indicators can be made.

¹⁵ Extracted from WASH Cluster evaluations in DRC, Uganda, Bangladesh, Yogyakarta.

Resources

-  **The Sphere Project Humanitarian Charter and Minimum Standards in Disaster Response**, 2004
-  **Joint Monitoring Programme for Water Supply and Sanitation**, Water for Life - making it Happen, UNICEF and WHO, 2005
-  **WHO Technical Notes for Emergencies**, WEDC, Jan 2005
 - Cleaning and disinfecting wells, Technical Note No. 1
 - Cleaning and disinfecting bore holes, Technical Note No. 2
 - Cleaning and disinfecting water storage tanks, Technical Note No. 3
 - Rehabilitating small-scale piped water distribution systems, Technical Note No. 4
 - Emergency treatment of drinking water, Technical Note No. 5
 - Rehabilitating water treatment works, Technical Note No. 6
 - Solid Waster Disposal, Technical Note No. 7
 - Disposal of dead bodies, Technical Note No. 8
 - Minimum water quantity, Technical Note No. 9
 - Essential hygiene messages, Technical Note No. 10
 - How to measure chlorine residual, Technical Note No. 11
 - Delivering water by tanker, Technical Note No. 12
 - Emergency Sanitation - planning, Technical Note No. 13
 - Emergency Sanitation - technical options , Technical Note No. 14
-  **IASC Women, Girls, Boys and Men - Different needs - equal opportunities**, 2006
Guiding best practice on the integration of gender in humanitarian programming, with specific guidance for WASH.
-  **IASC Guidelines for HIV interventions in emergency settings**,
Guidelines on the integration of HIV in humanitarian programming with examples for WASH.
-  **Protection Cluster Working Group (2007), Handbook for the Protection of Internally Displaced Persons**
Guidelines for ensuring good Protection practice, including in WASH, in humanitarian programming.
-  **UNHCR, Handbook for the Protection of Women and Girls**, 2006
Examples of best practice from UNHCR for ensuring adequate attention to protection issues, including WASH, in interventions.
-  **IASC Humanitarian Action and The Environment**, 2007
Guiding best practice on the integration of the environment in humanitarian programming, with specific guidance for WASH.
-  **IASC Learning from older people in emergencies**, 2007
Guiding best practice on the integration of old age in humanitarian programming, with specific guidance for WASH.
-  **CSLT Cross-cutting issues - key things to know**, 2007

- ▶ http://www.unicef.org/wes/index_documents.html
- ▶ http://wedc.lboro.ac.uk/who_Technical_notes_for_emergencies/
Water Engineering Development Council (WEDC) site with wide range of resources and publications, including the WHO Technical Notes above.
- ▶ <http://www.lboro.ac.uk/well/>
The WELL website is a focal point for information about water, sanitation, and environmental health and related issues in developing and transitional countries.

7.2 Integration of Hygiene Promotion in WASH programming

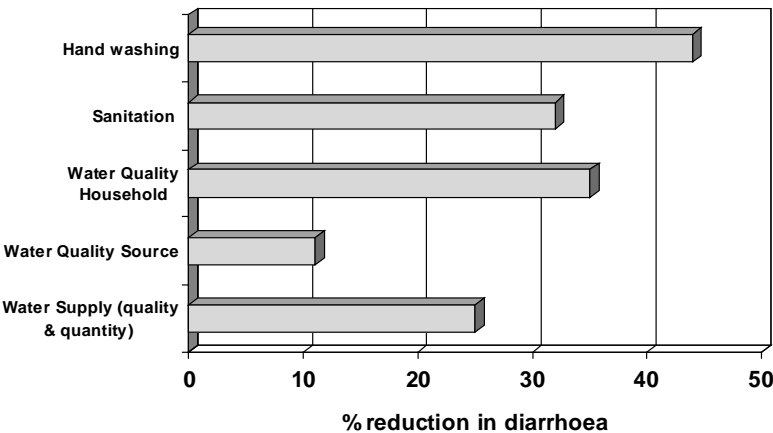
The content of this section is drawn from a comprehensive range of guidance and tools produced by the Global WASH Cluster Hygiene Promotion project. See <http://www.humanitarianreform.org/Default.aspx?tabid=343> for details.

7.2.1 Hygiene Promotion: pivotal to effective WASH interventions

Water and sanitation related diseases contribute significantly to the number of deaths and incidence of sickness in emergencies. During protracted conflict, diarrhoeal diseases can kill more people than the fighting itself.

The overarching aim of any WASH intervention in a humanitarian emergency is to reduce these levels of avoidable mortality and morbidity.

Water, sanitation, and hygiene interventions to reduce diarrhoea in less developed countries: a systematic review and meta-analysis, Fewtrell et al (2005)



Data leads to some controversy, partly due to the difficulty of splitting impacts of interventions. For example:
* Hand-washing is not possible without a water supply, so 'hand-washing' is in fact 'water supply and hand-washing'
** Water quality at household will also have involved some hygiene promotion when setting up the household water treatment processes

However good the provision of water and sanitation infrastructure, without interventions to ensure that people use the facilities in the best possible way, high levels of mortality and morbidity will persist. The importance of hand washing is well documented (as highlighted in the previous diagram), but is just one area of hygiene promotion that also includes involving people in designing suitable facilities and maintaining them (refer to the Hygiene Promotion Framework later in this section).

7.2.2 The role of the WCC in hygiene promotion

Currently, the way in which Hygiene Promotion (HP) is implemented varies widely between different agencies, particularly national and local agencies, for which the concept may be quite unfamiliar. Furthermore, HP often gets little attention in emergency coordination meetings.

As WCC try to ensure:

- ✓ clarity about the purpose of HP, and common understanding and commitment to appropriate approaches to implementation,
- ✓ inclusion of HP in all aspects of WASH programming and in WASH Cluster meetings,
- ✓ additional support for HP coordination through an individual focal point, specialised in HP, or a working group which brings together different agencies involved in HP,
- ✓ coordinated HP briefings, orientation, operations, and training tools for use by WASH agencies, building on tools developed by the Global WASH Cluster HP Project. Further details can be found below under Resources, or at www.humanitarianreform.org.

7.2.3 What is Hygiene Promotion?

Hygiene Promotion is the **planned, systematic approach to enabling people to take action to prevent or mitigate water, sanitation, and hygiene related diseases**. At its best it can facilitate community participation and accountability in WASH interventions.

The principle strategies for preventing diarrhoea in an emergency are:

- ✓ Safe disposal of excreta,
- ✓ effective hand washing, and
- ✓ reducing the contamination of household drinking water.

While WASH interventions focus mainly on the prevention or reduction of diarrhoea, malaria may also be a cause of significant mortality, and hygiene promotion is equally relevant in helping to address this issue. Where the key

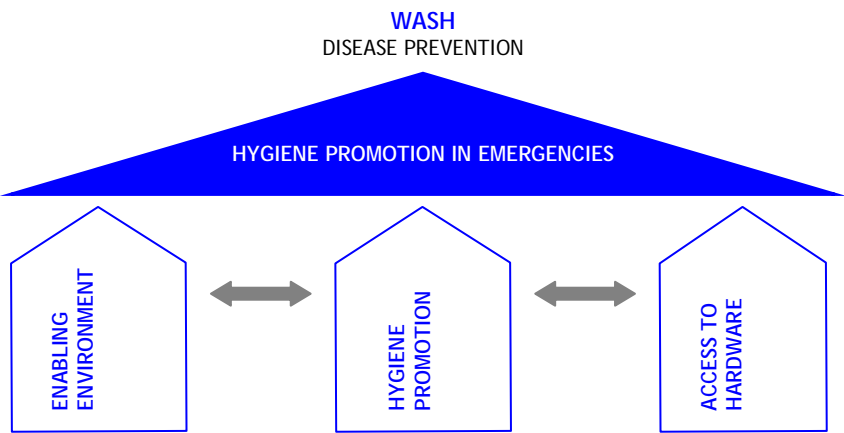
priorities are being well managed, it may be more appropriate to focus on an environmental clean up to further reduce the risks of transmission of disease.

Whatever the focus of Hygiene Promotion, the emphasis must be on **enabling and mobilising** women, men, and children to take **ACTION** to mitigate health risks (by adhering to safe hygiene practices), rather than simply raising awareness about the causes of ill health.

Hygiene Improvement Framework

In addition to tackling WASH related diseases, HP ensures **optimal use of water, sanitation, and hygiene facilities**. Previous experience indicates that without HP, these facilities are often designed and used in an ineffective and unsustainable manner.

Access to hardware, combined with an enabling environment AND Hygiene Promotion, will result in **improved hygiene**. This is represented below by the **Hygiene Improvement Framework for Emergencies** which was developed by USAID. (See the Global WASH Cluster **Hygiene Promotion in Emergencies** briefing paper under Resources for further details).



7.2.4 Addressing Hygiene Promotion in an emergency

Consider HP at all stages of the project cycle, and continuously assess and review. This will ensure that approaches to HP, communication strategies, and training programmes are adjusted to facilitate safer hygiene practices as rapidly as possible.

Project cycle stage		Steps
Initial assessment		<p>Step 1 - Rapid assessment to identify the incidence and severity of risk practices, and get an initial idea of what the community knows, does, and understands about WASH.</p> <p>Step 2 - Consult men, women, and children on their different hygiene needs and the contents of hygiene kits, e.g. sanitary towels, razors, potties, etc.</p>
	Planning	<p>Step 3 - Select the highest or most widespread risk practices for intervention (with objectives and indicators). Identify hardware and resource requirements.</p> <p>Step 4 - Define the target groups (may be whole community, with special focus on those caring for young children). Identify stakeholders: those that can influence the target groups, e.g. elders, teachers, traditional birth attendants.</p> <p>Step 5 - Define the strategy for intervention and communication channels and initial messages for all groups. Determine advocacy and training needs.</p> <p>Step 6 - Set up outreach system and recruit & train fieldworkers</p>
Implementation		<p>Step 7 - Begin implementation and continue assessing situation.</p>
	On-going assessment	<p>Step 8 - Gather quantitative and qualitative data (through participatory techniques) and establish baselines. Further investigate motivational factors for safe hygiene practices, and refine key messages accordingly.</p>
	Monitoring	<p>Step 9 - Establish whether hygiene kits and sanitation facilities are being used, and whether people are satisfied with them. Monitor hand washing practices and household water quality standards.</p>

		<p>Step 10 - Increase interactive approaches and identify and implement training for longer-term community groups. Refine implementation and communication plans in relation to monitoring outcomes. Continue monitoring and training.</p>
--	--	---

Adapted from Guidance Manual on Water Supply and Sanitation: LSHTM/WEDC 1998

7.2.5 Hygiene promotion - approaches and methods

a) Community mobilisation

The community may be reached through:

- ✓ A Cascade Outreach System involving outreach workers (volunteers / mobilisers / animators - at least one per 500 people), supervised by trained hygiene promoters and supported by skilled professionals.
- ✓ Peer educators, e.g. teenagers or young mothers.
- ✓ Hygiene Clubs established in each affected area.
- ✓ Building on local skills and capacity, identified in the initial WASH assessments.

b) HP staff, volunteers, and training

The WASH CC can facilitate a consistent and coordinated approach to HP through encouraging the adaptation of generic **Job Descriptions** and the organization of **training for field Hygiene Promoters** and **Community Mobilisers** at sub-national level. Comprehensive details of both are incorporated under Resources.

Voluntary workers

Where risks to health are high and intensive outreach work is necessary, volunteer workers are unlikely to want to work long hours for little or no reward.

Payment in kind, e.g. bicycle, tee shirts, hygiene items, etc. may be an option, but some agencies, e.g. government, local NGOs may not have the resources to provide any incentives. The WASH Cluster will need to agree a universal approach that does not disadvantage local actors or create unsustainable expectations at community level for the future, e.g. payment for water and sanitation committees.

c) Communications

Both the **available mass media** (e.g. community radio, leaflets, posters) **AND other more interactive methods** are recommended for effective HP. Even in an acute emergency try to hold some initial discussions with individuals and community groups to better understand motivational factors for changing behaviour, and explore appropriate communications to encourage safer practice.

No need to re-invent the wheel; there is a wealth of HP material available. Check the Global HP Project WASH Visual Aids CD and UNICEF library resources. Find web links under Resources below.

As the emergency evolves, more widespread use of methods that foster discussion should be encouraged.






In developing communication materials, remember that health benefits are not always the main motivating factor for changes in behaviour. The need for privacy and safety, convenience, social status, and esteem may sometimes be stronger driving forces than health arguments.






d) Participatory methods



Among the most useful participatory methods are 'community mapping' exercises, focus group discussions, exercises using visual aids to stimulate discussion and mobilisation (such as three pile sorting, chain of contamination, and pocket chart voting). See the Rapid Staff Orientation package in Resources below.

An assessment of existing local resources is important, as this will help to ensure that culturally appropriate methods and tools are employed. Even if tools are not available for HP, similar tools or approaches used in public health education may be readily adapted for HP.

Resources

-  **Hygiene Promotion in Emergencies – A Briefing Paper**, Global WASH Cluster HP Project, 2007
Useful to disseminate to WASH Cluster agencies for common understanding.
-  **UNICEF Hygiene Promotion Manual**, WES Technical Guidance Series No. 6, 1999
-  **Annotated bibliography**, Global WASH Cluster HP Project, 2007
List of HP tools and resources
-  **Global WASH Visual Aids CD** available at www.humanitarianreform.org
-  **List of essential hygiene promotion equipment for communication**, Global WASH Cluster HP Project, 2007

-  **Orientation Workshop Package – Handouts**, Global WASH Cluster HP Project, 2007
-  **Orientation Workshop Package – Facilitator’s Resources**, Global WASH Cluster HP Project, 2007
-  **Orientation Workshop Package – Power points**, Global WASH Cluster HP Project, 2007
-  **Training Package for Hygiene Promoters**, Global WASH Cluster HP Project, 2007
-  **Training Package for Community Mobilisers**, Global WASH Cluster HP Project, 2007

-  **Generic Job Descriptions** for HP staff and volunteers, Global WASH Cluster HP Project, 2007
-  **Rapid Staff Orientation Package**, Global WASH Cluster HP Project, 2007
Focuses on how to engage women, men, and children in WASH interventions, plus materials for a half-day staff and community orientation workshop.

- <http://www.humanitarianreform.org/Default.aspx?tabid=343>.
Link for Global WASH Cluster HP project information
- http://www.unicef.org/wes/index_documents.html
UNICEF hygiene promotion related resources

7.3 Promoting accountability to affected populations

7.3.1 Accountability in the Cluster Approach

The intention of the Cluster Approach is to ‘strengthen overall levels of accountability for humanitarian response’.¹⁶

However, as indicated in the Evaluation of the Cluster Approach in 2007, emphasis to date has been on improving upward accountability to the Humanitarian Coordinator and donors, rather than downwards to the affected population.

Key accountabilities within the WASH Cluster?

The **WASH Cluster Coordinator** is accountable to:

- The affected population
- The WASH Cluster Lead Agency (CLA) at country level
- WASH Cluster agencies and other Clusters

Further details are outlined in sections 1.2 and 1.3.

The **WASH CLA** is accountable to:

- The affected population
- The HC / RC and HCT
- WASH Cluster agencies
- National government (for information and coordination)
- Donors and others providing funding or resources for their programmes

WASH Cluster partners are accountable to:

- The affected population
- National government (for information and coordination)
- Donors and others providing funding or resources for their programmes
- Each other

National government and state institutions are accountable to:

- The affected population
- Donors and others providing funding or resources for their programmes

WASH Cluster performance in improving accountability

¹⁶ IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response, Nov 2006.

Most of the WASH Cluster evaluations to date¹⁷ have indicated improvements in upward accountability to the HC and international donors, as a result of the Cluster Approach. This is largely because of improvements in filling gaps and coverage of needs, and more comprehensive reporting.

Accountabilities to government have varied depending on the emergency context and capacity of government before the emergency. In addition, at country level there have been differences in the levels of accountability nationally and locally, with closer collaboration at local level in Uganda and Bangladesh.

In all cases, there have been limitations in the achievement of accountability to the affected populations, with a reliance on the accountability measures at individual WASH agency level, rather than a common approach.

7.3.2 Promoting accountability to affected populations

WASH Cluster accountability to affected populations

Downward accountability demands that:

The people and communities with whom the WASH Cluster work systematically inform Cluster decisions and implementation, throughout the lifetime of the cluster response, and are respected as the most important judges of programme impact.

Adapted from the WASH HP Project Orientation Package, 2007

WASH Cluster provisions to facilitate downward accountability include:

i) Information exchange

An appropriate platform for providing information to affected communities and individuals on the WASH Cluster role and purpose, its plans, and entitlements for relief assistance (e.g. agreed standards and indicators).

Information must be provided in a way that can be accessed, understood, and explained to others, e.g. in local languages and posted in public places.

ii) Two-way consultation

Opportunities for two-way consultation with those being assisted. This should occur as close to the start of humanitarian relief operations as possible, and continue throughout the response.

¹⁷ Bangladesh, DRC, Uganda, Yogyakarta

Effective two-way consultation will enable the exchange of information and views between the Cluster and affected groups in relation to:

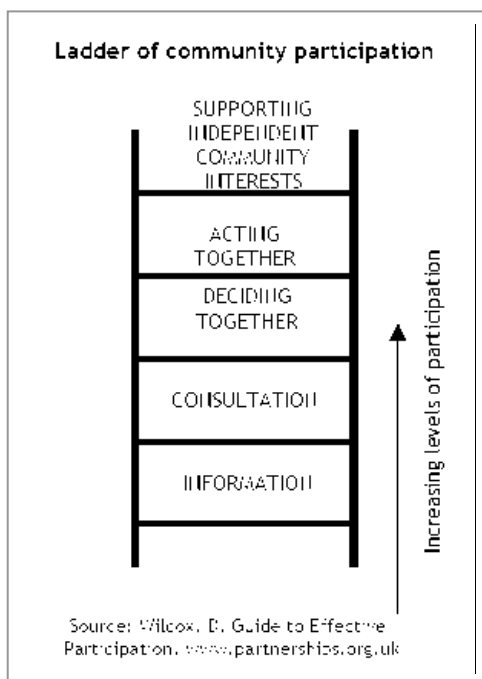
- The needs, aspirations, and concerns of affected communities and individuals about the emergency and proposed WASH response;
- WASH Cluster response plans;
- Relief entitlements (e.g. minimum standards and indicators);

Simply consulting the affected population on decisions that have already been taken will not provide a sound basis for accountability.

iii) Community involvement

Opportunities for community participation in defining needs, assessing priorities, outlining plans, and managing implementation, such as:

- ✓ **Hygiene Promotion** can facilitate partnership with affected communities and provide a structure for accountable programming.
- ✓ **Partnership and consortia arrangement** with local organisations provides a platform for local involvement in WASH programming.
- ✓ **Technical and working / sub-groups** at sub-national level facilitate local community input to WASH Cluster decision making and provide a feedback mechanism for affected communities.
- ✓ **Recruitment of local staff and volunteers**, e.g. for water and sanitation committees, facilitates regular community involvement.



iv) Systematic feedback and complaints handling mechanisms

Systematic feedback mechanisms that enable:

- Opportunities for affected communities to feedback on WASH Cluster impact in addressing their needs and priorities, and the resultant changes to their lives.

- WASH Cluster reporting at community level on progress and assessed achievements / impact.
- Input of affected communities to WASH Cluster reviews and performance evaluations.
- An independent mechanism for handling community complaints about the conduct of WASH Cluster actors, e.g. failure to adhere to agreed standards, abuse of position, inequitable treatment, etc.

v ***Regular review of WASH Cluster plans and priorities***

Regular review of WASH Cluster response plans, processes, and priorities in the light of feedback received, and subsequent reporting to stakeholders on the changes made, or reasons why they were not possible.

Resources

- 📖 The **Code of Conduct**: Principles of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programmes
- 📖 **HAP 2007 Standard in Accountability** and Quality Management, International
- 📖 The **Good Enough Guide** - Impact Measurement and Accountability in Emergencies, OXFAM Publishing, 2007
- 📖 UNHCR, **A community-based approach** in UNHCR operations, 2008
- ▶ www.ecbproject.org
Web-site for the Emergency Capacity Building project - incorporates resources and best practice in Accountability and Impact Measurement.
- ▶ <http://www.hapinternational.org/projects/publications.aspx#books>
HAP International web-site for advice and resources on accountability.
- ▶ <http://www.alnap.org/>
Learning, accountability, and performance in humanitarian response.

7.4 Reviewing WASH Cluster performance and capturing lessons learned

7.4.1 Reviewing WASH Cluster operations

a) WASH Cluster reviews

Undertaking a review of the Cluster performance is important in:

- understanding the impact of utilisation of the Cluster approach on the progress and results of the WASH response,
- giving people from the different stakeholder groups an opportunity to reflect on how well they are working together and whether the Cluster is working effectively for them,
- finding ways to improve Cluster performance, and
- sharing ideas and learning with others.

Such a review can be undertaken through a **real-time evaluation** and / or a 'lessons learned' exercise. The global WASH Cluster has developed a standard **WASH Cluster Performance Review Tool** to facilitate this process (detailed below).

b) Common weaknesses in WASH Cluster performance

The WCC responsibilities in relation to performance concern the overall performance of the WASH Cluster in addressing humanitarian needs in the WASH sector. The WCC is not responsible for monitoring and reporting on the performance of individual Cluster actors.

The performance of individual Cluster actors will, however, have an impact on the confidence and trust placed in them with regard to on-going Cluster activities, e.g. selection of projects for funding, leading working groups, sub-national coordination. etc.

Country level WASH Cluster evaluations to date¹⁸ have tended to highlight weaknesses in the quality and accountability of Cluster performance, rather than capacity or operational issues. Areas of particular concern include:

- Community level participation and accountability
- Integration of cross-cutting issues
- Local capacity building
- Emergency preparedness and early recovery

¹⁸ WASH Cluster evaluations from Yogyakarta, DRC, Uganda, Bangladesh, Somalia

c) **WASH Cluster Performance Review Tool**

This tool offers a simple, tried-and-tested framework for carrying out a WASH Cluster performance review. It is designed for use by the Cluster Coordinator or review initiator and the review team (see resources below). It is designed for implementation approx two months after a rapid-onset emergency, and every two years for Roll Out countries.¹⁹ However, the timing will depend on the practicalities of getting access and gathering timely, accurate data.

The tool provides performance indicators, a review methodology and supporting tools, and templates for data collection, analysis, and reporting.

d) **Measures of performance**

The Performance Review Tool incorporates a series of performance measures relating to the overall objectives, outputs, and processes of the Cluster Approach. Performance indicators are based on recognised standards, such as the IASC ToR for Cluster/Sector Lead Agencies and Sphere standards. These should be complemented by any additional standards agreed at country level (see *section 7.1*).

Evaluations may be carried out to examine all, or part of the overall humanitarian response, e.g. within UNICEF, inter-agency real time evaluation, sector response, etc. The Wash Cluster and WCC may be asked to contribute to the ToR for such evaluations, and provide external evaluation teams with information.

Performance objectives	Main performance areas
Effectiveness	<i>WASH service delivery (linked with the WASH Cluster Monitoring Tool)</i>
Predictability Accountability	<i>Management of programming Quality of delivery</i>
Leadership Partnership	<i>WASH Cluster coordination mechanisms</i>

7.4.2 WASH Cluster Performance Review process

All stakeholder groups should be involved in the review process, cascading from the Humanitarian Country Team to community level.

¹⁹ Roll out of the Cluster Approach is underway in 26 countries with on-going emergencies

The process needs to be well organised in advance and is therefore generally facilitated by an external consultant who is responsible for training three to four WASH Cluster representatives in using the survey methodology (see Resources for a sample ToR).

The Review process begins with awareness raising of all stakeholders, collection and analysis of data (as appropriate for the context), and a one-day workshop to consolidate findings, identify good practices and lessons learnt, and agree priority actions.

7-step methodology for a WASH cluster performance review

Step 1	Mobilise the Performance Review team <ul style="list-style-type: none"> - Brief WASH Cluster stakeholders - Agree high-level plan and timing of the assessment - Identify actors to join the review team - Recruit an external facilitator
Step 2	Collect data via questionnaires <ul style="list-style-type: none"> - Distribute questionnaires to all relevant stakeholders - Return completed questionnaires to the review team
Step 3	Conduct initial analysis <ul style="list-style-type: none"> - Data analysis and identification of priorities for discussion
Step 4	Collect data via interviews <ul style="list-style-type: none"> - Conduct interviews with all stakeholder groups, if possible - Focus on obtaining qualitative information
Step 5	Conduct analysis and prepare (preliminary) findings <ul style="list-style-type: none"> - Prepare presentation of findings, etc. for workshop
Step 6	Final review workshop <ul style="list-style-type: none"> - Include all stakeholder groups among partners - Review initial findings, identify opportunities and constraints, agree priority actions and follow-up processes
Step 7	Produce final report and circulate <ul style="list-style-type: none"> - Refine data analysis - Prepare and disseminate final report

7.4.3 Sharing good practice and lessons learned

Good practice and lessons learned can be identified through the various review processes outlined above. However, capturing good practice and lessons learned is not enough. A significant weakness in humanitarian aid is passing on, and applying this learning elsewhere.







The WASH Cluster Performance Review mechanism is currently the only formal mechanism for sharing learning and best practice. Formal and informal reviews



from Uganda, Liberia, Somalia, DRC, Yogyakarta, and Bangladesh have already made a significant contribution to improving global WASH Cluster performance. These review reports are incorporated in Resources in *section 1.2*)

At regional level - the REWAs also play a role in disseminating best practice from global level and sharing lessons within the region.

At global level - the Global WASH CAST team promote learning and best practice through a range of projects and resources such as the Hygiene Promotion and Information Management projects.

Resources

-  WASH Cluster Performance Review Tool, Version 1, Dec 2008
-  WASH Cluster Performance Review, ToR for Facilitator, Dec 2008
-  WASH Cluster Performance Review Tool - Workshop slide pack, Power point Dec 2008
-  WASH Cluster Performance Review Tool - Briefing Pack for Cluster, Power point Dec 2008
-  WASH Cluster Performance Review Tool - Workshop agenda, Dec 2008
-  WASH Cluster Performance Review Tool - Analysis spreadsheet, Dec 2008

-  Beck, T (2006), **Evaluating Humanitarian Action** using the OEDC-DAC criteria, ALNAP
Useful guidelines on evaluating humanitarian aid programmes in line with international performance criteria.
-  **The Good Enough Guide** - Impact Measurement and Accountability in Emergencies, OXFAM Publishing, 2007
Highly practical guide on designing basic monitoring and evaluation systems with a view to measuring outcomes and impact.

- <http://www.humanitarianreform.org/Default.aspx?tabid=347>
Link to further information on the Global WASH Learning Project

7.5 Advocacy and public information for promoting the interests of WASH

7.5.1 What is advocacy?

Advocacy means making a persuasive argument for a specific outcome.²⁰ Advocacy arguments are context specific and must be based on clear evidence.

There are different forms of advocacy; the most persuasive involve arguments or communications that are targeted at rights issues or political interests, to **create political will**. In principle, any advocacy argument or communication must serve a purpose (or contribute to the objectives and interests) for the group or individual being targeted.

Advocacy may be carried out by a group of like-minded people in a public way, e.g. collective WASH cluster ‘statements’, or by individuals in a private way, e.g. WCC dialogue with government representatives.

7.5.2 Advocacy in relation to the WASH Cluster

WATER is the key aspect of WASH that has political interest and can be used as an entry point to tackling other issues. In contrast, advocacy communications centred around hygiene, solid waste, or sanitation are less likely to generate much political support.

Human Right To Water (HRTW)

The following international protocols provide some guidance on the HRTW:

- General Comment N°15 was adopted in 2002 by the UN Committee on Economic, Social, and Cultural Rights (CESCR). This text is an interpretation of the International Covenant on Economic, Social, and Cultural Rights (Decision E/C.12/2002/11) and is a non-binding legal instrument. However, it is the most precise text on the HRTW.
- The Universal Declaration of Human Rights (1948) recognises implicitly the right to water (especially through article 25).
- The Geneva Convention (1949) and its two protocols (1977) protect the right to water in times of conflict. The Convention on the Elimination of All Forms of Discrimination against Women and the Convention on the Rights of the Child (1989) explicitly recognise the right to water of women and children.

²⁰ UNICEF Emergency Field Handbook

a) Role of the WCC and WASH Cluster partners in advocating for the Cluster

It will be a bonus if, as WCC, you are an effective and confident advocate, but it is not a requirement. For many people, advocacy may be a function in which they have very limited experience. In this case:

ACF are conducting a number of regional workshops on Advocacy and the Right to Water and Sanitation in Emergencies. Contact clanord@missions-acf.org for details.

- ✓ Source the necessary expertise from other actors within the Cluster;
- ✓ Elicit WASH Cluster agreement for a nominated person or agency to support you with advocacy;
- ✓ Work alongside a more experienced partner to build up confidence;
- ✓ Alternatively, establish a working or sub-group to provide support in developing appropriate advocacy strategies and communications and providing advice;
- ✓ Source professional support from the CLA and UNICEF Communications function. However, be aware that they may well be focused on communicating to raise funds, rather than advocacy and rights issues.

Advocating for the human right to water in Gaza

Israel's imposition of severe restrictions on the movement of people and goods at Gaza's border crossings, and its reduction of supplies of fuel and electricity, triggered a humanitarian crisis in the Gaza Strip.

In October 2007, ten Israeli and Palestinian human rights organisations petitioned the Israeli Supreme Court, seeking an injunction against fuel and electricity sanctions. They argued that reduced fuel and electricity supplies would cause widespread damage to essential services in Gaza, including health systems, water wells, and sewage treatment facilities. Furthermore, they stated that the disruptions amounted to collective punishment of the civilian population.

By April 2008, about 95 per cent of Gaza's water wells and sewage pumping stations were non-operational because of equipment, supplies, fuel, and power cuts. Despite continued advocacy efforts, the Israeli Supreme Court ruled against them.

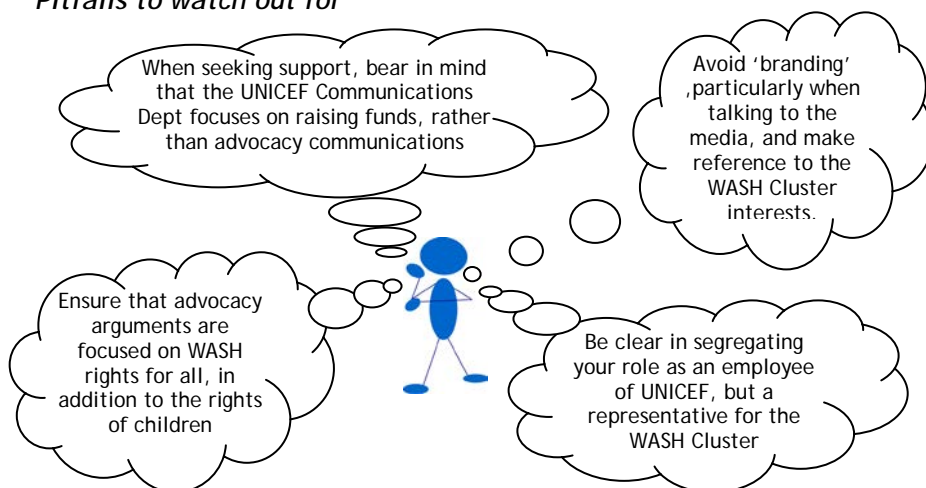
Source: The Human Right to Water and Sanitation in Emergency Situations: An Advocacy Tool WASH Cluster Project 2008 – see Resources below

b) Developing an **advocacy strategy**

Steps	Activities
Initial / on-going assessments	Outline the advocacy issue and expected outcome. Find out the priorities of politicians and investigate other potential advocacy channels. Identify means of communication, e.g. media, word of mouth, religious groups, etc.
Analysis	Analyse your data and compile reliable evidence.
Implementation	Determine a single overarching communication message or objective.
Monitoring	Check whether the message has got across and assess the impact.
Review	Review and adapt the advocacy strategy.

c) **UNICEF support for the advocacy function**

Where UNICEF is the CLA, the UNICEF Communications Officer can provide valuable support with advocacy and communications, in particular accessing the media and raising awareness. However, care is needed in ensuring that it is the WASH Cluster's interests that are being represented, not just those of UNICEF. The WCC may be requested to pass communications (especially press releases) through the Communications Officer before publication.

Pitfalls to watch out for

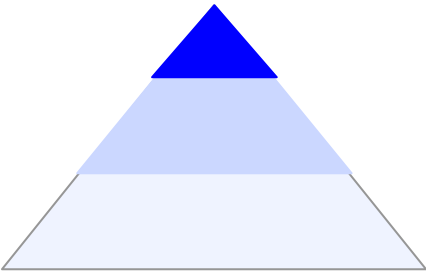
7.5.3 Compiling an effective advocacy message or campaign

A good tool for guiding advocacy communications is the POINT – SOCO – WIIFM triangle.

POINT – get to it FAST, develop short ‘sound bites’

SOCO – Single overarching communications objective

WIIFM – What’s in it for me



Tips for getting your message across

Don't worry about being nervous, but try to be clear	Emphasise the interests of the affected population	Speak with authority - ensure that you are well informed of the current situation
Keep to the point	Have a good punch-line and 'sound bites'	Avoid jargon and acronyms
Accurately describe needs	Talk from the heart	Present clear evidence

7.5.4 What channels can be used?

Key points in identifying an appropriate channel or group:

- ✓ It must provide access to **decision makers**;
- ✓ The advocacy issue must **be in the interests of the group**, i.e. serve a purpose for them in addressing their own objectives and problems;
- ✓ It must have the **potential to influence political will**.

What channels to use	Why?	What's in it for them?	Advocacy instruments to use
Politicians	tackle constraints, e.g. access, influence policy and political will	Publicity, votes	Negotiation
National and local govt authorities	tackle constraints, e.g. access, mobilize resources, influence political and community actors	Means for putting pressure on decision makers	Negotiation and briefings
Donors	Mobilize resources, influence funding priorities, gain political backing	Visibility, evidence-based funding, clarity on priorities	Briefings, field visits
Media	Raise awareness, generate public support, influence political actors	A story	Briefings, press statements, field visits
Community/religious leaders	Generate public support, mobilize resources	Means for putting pressure on decision makers, local reputation	Public education campaigns, negotiation, field visits
The military	Tackle constraints, e.g. access	Bargaining power	Negotiation

7.5.5 Public information and working with the media

Working with the media

The media can play an important role in disseminating information, particularly at community level, and in raising awareness of advocacy issues and resource requirements.

However, the media have their own agenda and care is needed in addressing sensitivities and ensuring accuracy in drafting releases for the press. Everything is on the record, even when they say it isn't.

Tips for interacting with the media

- ✓ Ask for questions before press interviews;
- ✓ Think through the possible questions that might be asked;
- ✓ Have a clear message and ensure that you get it across;
- ✓ If you are not fully informed don't do an interview;
- ✓ Be factual: only use figures that can be verified;
- ✓ Avoid predictions and don't be afraid to say "I don't know";
- ✓ When faced with a contentious question, use a bridging statement to get back to your own point, e.g. "I understand your concern, but the real issue is...";
- ✓ Be clear and positive, and where possible, include quotes.








A good news story is based on real news backed up by facts.

Source: UNICEF Emergency Field Handbook, 2005

Actions by the WCC / administrator:

- ✓ Establish contacts with local and international journalists and radio stations.
- ✓ Prepare immediate press releases and organise press briefings for publicising important information and events.
- ✓ Encourage field visits, particularly where current reporting is distorted or insensitive, or local capacities are being undermined.
- ✓ Establish a photo library - ensure sensitivity when using images of children and in reflecting the cultural context. Record photo source, location, and names of those photographed.
- ✓ Maintain an up to date overview of the situation and give a contextual background to press releases and statements,
- ✓ Make sure that you have nominated somebody to deal with the press who is competent and available at the right time.

Resources

-  UNICEF **Emergency Field Handbook**, 2005 (pp 298-303 give guidelines on interacting with the press).
-  WASH **Advocacy Case Study**, Gaza, Palestine, 2008, extract from The Human Right to Water and Sanitation in Emergency Situations: An Advocacy Tool WASH Cluster Project 2008 (draft)
-  Sanitation – a wise investment for health, dignity, and development, **Key messages for the International Year of Sanitation**, UN-Water 2008
-  **Sanitation Communications Matrix**, UN-Water 2008
-  **Advocacy for Sanitation** – a brief guide, UN-Water 2008
-  CSLT, **Building an Advocacy Strategy**, 2007
-  Aubriot, J., **The Right To Water** – Emergence, Definition, Current Situation and Stakeholder positions, ACF
- <http://www.wsscc.org/en/resources/advocacy-material/wash-images-messages/wash-2007/index.htm>
- <http://www.wsscc.org/en/resources/advocacy-material/international-year-of-sanitation-advocacy-kit/iys-advocacy-kit-english/index.htm>
The Water Supply and Sanitation Collaborative Council has a range of Global WASH Advocacy materials to help address the global water and sanitation crisis.

8

HUMANITARIAN REFORM AND THE
CLUSTER APPROACH

Chapter Eight provides background information in order to understand the WCC role in relation to the broader global context of humanitarian reform, the Cluster Approach and the Global WASH Cluster.

The chapter is split into the following **three sections**:

8.1	Humanitarian Reform process	<ul style="list-style-type: none"> ▪ Humanitarian Coordinators ▪ Humanitarian Funding ▪ Cluster Approach ▪ Strong Humanitarian Partnerships
8.2	Understanding the Cluster Approach	<ul style="list-style-type: none"> ▪ Aims of the Cluster Approach ▪ Global Cluster Lead Agencies ▪ Key Actors in the Cluster Approach ▪ Who sets up the Cluster Approach and how?
8.3	Global Cluster Leads and the role of the Global WASH Cluster	<ul style="list-style-type: none"> ▪ What are Global Cluster Leads responsible for? ▪ Who comprises the Global WASH Cluster? ▪ What does the Global WASH Cluster do? ▪ What can the Global WASH Cluster offer the WCC?

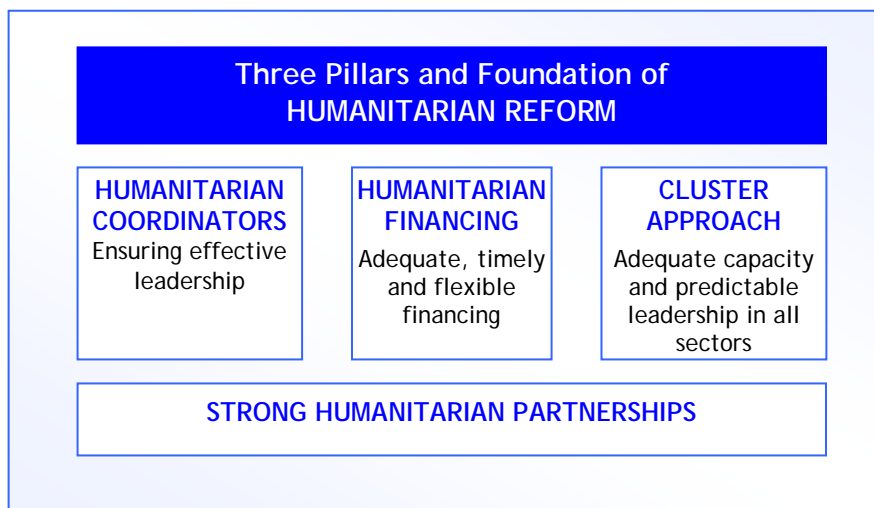
8.1 Humanitarian Reform process

The Humanitarian Reform process was prompted by significant changes in humanitarian operations; with an ever-increasing number of humanitarian actors, greater competition for funding and resources, increased public scrutiny, and the changing role of the UN. This led to a **Humanitarian Response Review** in 2005, undertaken by the Inter-Agency Standing Committee (IASC).

Subsequent changes to humanitarian sector operations are aimed at **building a stronger, more predictable, humanitarian response system**, with greater:

- predictability** - in financing and leadership of the response
- accountability** - to the affected populations
- partnership** - between UN and non-UN humanitarian actors

The changes are an ambitious effort by the international humanitarian community to reach more beneficiaries, with more comprehensive needs-based relief and protection, in a more effective and timely manner. The resulting Humanitarian Reform agenda addresses four inter-related areas.



8.1.1 Humanitarian Coordinators

The **Humanitarian Coordinator** (HC) role is adopted in those countries where there is a humanitarian crisis or emerging humanitarian needs, and is undertaken by a senior UN official. The HC function is crucial in ensuring a well-coordinated humanitarian response.

Recognition of the need for high-quality leadership and coordination skills has led to the development of a roster of highly experienced and trained individuals to perform the role of HC.

Additional IASC measures to improve effectiveness of the role include:

- *Strengthened commitment to coordination at the field level by all humanitarian partners;*
- *Greater inclusiveness, transparency, and ownership in the appointment of HCs;*
- *Clearer accountability of HCs to the humanitarian community;*
- *Appropriate training and induction to prepare and support HCs in performing their role;*
- Adequate support for HCs in their work.

Role of the Humanitarian Coordinator (HC)

The HC is responsible for the overall coordination and effectiveness of the international humanitarian response, including:

- Establishing and leading a Humanitarian Country Team (HCT);
- Establishing appropriate mechanism, for inter-Cluster coordination;
- Leading resource mobilisation, needs assessments, gap analysis, prioritisation, strategic planning, and M&E;
- Advocating and liaising with government, military, peace keepers, etc.;
- Developing inter-agency contingency plans.

In rapid-onset emergencies, the RC plays the same role as an HC and reports to the ERC on coordination of the humanitarian response.

8.1.2 Humanitarian financing

(Also refer to *section 6.1*)

The predictability, effectiveness, and success of humanitarian interventions is dependent on straightforward and timely access to adequate flexible emergency funding.

IASC initiatives to strengthen humanitarian financing include the ***Central Emergency Response Fund (CERF)***. This is a stand-by fund to complement existing humanitarian funding mechanisms. It provides seed funds to jump start critical operations and fund life-saving programmes not yet covered by other donors.

Additional initiatives include Emergency Response Funds, Pooled Funding, the **Good Humanitarian Donorship Initiative** and reform of the Consolidated Appeals Process (CAP). Further details can be found at: <http://www.humanitarianreform.org>

Good Humanitarian Donor (GHD) Initiative

It is vital that the increasing amount of money being spent on humanitarian aid is used effectively. In response, 24 donors have signed up to the GHD, which provides a forum for donors to discuss good practice in funding humanitarian assistance and other shared concerns.

A major challenge is making sure that enough money is available at the right time. This money then needs to be spent on the right kind of assistance, and targeted according to need, not political affiliation, ethnicity, religion, or race.

The GHD initiative has agreed upon a set of 23 principles and good practices of humanitarian donorship (see further details under Resources below). By defining principles and standards it provides both a framework to guide official humanitarian aid and a mechanism for encouraging greater donor accountability.

8.1.3 The Cluster Approach

(Also refer to *section 8.2*)

Effective coordination is essential in covering humanitarian needs and maximising the use of scarce resources. However, historically this has been weak, due to limited responsibility and accountability for coordination.

The Cluster Approach has been introduced to address this limitation through designated Cluster Lead Agencies at global and country levels. **The IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response** provides further detail (see Resources below).

The Cluster Approach aims to:

- Ensure sufficient global capacity,
- Ensure predictable leadership,
- Embrace the concept of partnership,
- Strengthen accountability,
- Improve strategic coordination and prioritisation.

8.1.4 Strong Humanitarian Partnerships

(Also refer to *section 1.4*)

A central element of the humanitarian reform process is the need to strengthen strategic partnerships between (1) NGOs, (2) the International Red Cross and Red Crescent Movement, and (3) UN agencies and related international agencies. This underpins each of the initiatives above.

The **Global Humanitarian Platform (GHP)** was established in 2006 as a complementary initiative and offers a forum for the three 'families' above to come together and share responsibility for enhancing the effectiveness of humanitarian action.

The GHP seeks to ensure that the non-governmental humanitarian agencies are broadly and adequately represented.

Based on the principle of diversity, the GHP does not seek to convince humanitarian agencies to pursue a single mode of action or work within a unique framework.

The GHP Principles of Partnership






set out a common understanding of, and approach to partnership, including:

- ✓ equality,
- ✓ transparency,
- ✓ a results-oriented approach,
- ✓ responsibility, and
- ✓ complementarity

'Working together is an urgent life-and-death issue'

Full details of the GHP Principles of Partnership can be found in Resources below, or at <http://www.icva.ch/ghp.html>

Resources

-  IASC (2005), **Humanitarian Response Review**
-  IASC (2006), **Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response**
-  Global Humanitarian Platform (2007), **Principles of Partnership**
-  IASC (2006), **Strengthening the Humanitarian Coordinator's System: What is our goal and how do we get there?**
-  **Principles of Good Humanitarian Donorship**
 - ▶ <http://www.icva.ch/ghp>
 - ▶ <http://www.humanitarianreform.org>
 - ▶ <http://www.globalhumanitarianplatform.org>
 - ▶ <http://www.goodhumanitarianandonorship.org/>

8.2 Understanding the Cluster Approach

The Cluster Approach is one element of the Humanitarian Reform Agenda. It is about making the international humanitarian community more **structured**, **accountable**, and **professional**, so that it can be a better partner for host governments, local authorities, local civil society, and affected populations.

What is the difference between a 'Cluster' and a 'sector'?

A "Cluster" is essentially a "sectoral group", and there should be **no differentiation between the two in terms of their objectives and activities**.

The IASC/Humanitarian Country Team decides on the **terminology to be used**, e.g. "Clusters", "sector groups", "working groups", "task forces", etc. To ensure coherence, standard terminology should be used within each country, and similar standards should be applied to all the key sectors or areas of humanitarian activity.

Because of global commitments to humanitarian reform, country-level **Cluster Lead Agencies (CLAs) may not opt out of certain provisions of the Cluster Approach**, such as "accountability" or "partnerships", or "provider of last resort". There is no such thing as a "Cluster lite".

8.2.1 Aims of the Cluster Approach

- i. Ensure that **sufficient global capacity** to respond to emergencies is built up and maintained in all the main sectors or areas of activity.
- ii. Ensure **predictable leadership**. Cluster Lead Agencies (CLAs) are responsible for organising the response to emergencies in their sector or area of activity, in collaboration with sector actors and in accordance with agreed standards and guidelines.
- iii. Work in **partnership** towards agreed common humanitarian objectives, both at the **global level** (preparedness, standards, tools, stockpiles, and capacity-building) and at the **country level** (assessment, planning, delivery, and monitoring).
- iv. Strengthen **accountability**. CLAs are accountable:
 - at the **global level**, for building up a more predictable and effective response capacity in line with IASC agreements,

- at the **country level**, in addition to their normal institutional responsibilities, for fulfilling agreed roles and responsibilities for Cluster leadership.

The approach also strengthens **accountability to beneficiaries** through commitments to participatory and community-based approaches, improved collaborative needs assessments and prioritisation, and better monitoring and evaluation.

- Improve strategic **coordination and prioritisation** by placing responsibility for leadership and coordination with the competent operational agency.

When is the Cluster Approach used?

- For all major 'new' emergencies requiring a wide-ranging international response.
- In all countries with a Humanitarian Coordinator.
- In all Contingency Planning for emergencies (see *section 5.3* for the IASC Guidelines)
- Where the host government supports this approach, although government approval is not required.

8.2.2. Global Cluster Lead Agencies

The Inter Agency Standing Committee (IASC) has identified 11 Clusters, each with a designated Cluster Lead Agency, responsible to the Emergency Relief Coordinator (at global level) or Humanitarian Coordinator/Resident Coordinator (at country level). In addition, there are three cross cutting focal points.

Global Cluster Leads	
Sector or Area of Activity	Global Cluster Lead
Agriculture	FAO
Camp Coordination / Camp Management (CCCM): <i>IDPs (from conflict)</i> <i>Disaster situations</i>	UNHCR IOM
Early Recovery	UNDP
Education	UNICEF Save The Children - UK
Emergency Shelter: <i>IDPs (from conflict)</i> <i>Disaster situations</i>	UNHCR IFRC (Convener)

Emergency Telecommunications	OCHA/UNICEF/WFP
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection: <i>IDPs (from conflict)</i> <i>Disasters and civilians affected by conflict</i> <i>(other than IDPs)</i>	UNHCR UNHCR/OHCHR/UNICEF
Water, Sanitation and Hygiene (WASH)	UNICEF
Cross cutting issue Leads	
<i>Cross cutting issue</i>	<i>Cross cutting issue Lead</i>
Environment	UNEP
Gender (co-chairs of the IASC sub working group on gender)	UNFPA WHO
HIV and AIDS (IASC Task Force on HIV and AIDS)	UNAIDS

8.2.3 Key actors within the Cluster Approach

a) Global level

Office for the Coordination of Humanitarian Affairs (OCHA)

OCHA is a branch of the UN Secretariat, created specifically to improve coordination between UN agencies and other organisations in areas affected by humanitarian crises. OCHA is not normally present in stable countries and intervenes only at the onset of a crisis that requires the joint effort of several UN agencies.

Emergency Relief Coordinator (ERC)

The ERC is the head of OCHA, the chair of the IASC, and reports to the UN Secretary-General. The ERC is responsible for global coordination of humanitarian assistance.

Inter-Agency Standing Committee

Full Members and Standing Invitees

Full Members		Standing Invitees	
	<u>Food and Agricultural Organisation (FAO)</u>		<u>International Committee of the Red Cross (ICRC)</u>
	<u>Office for the Coordination of Humanitarian Affairs (OCHA)</u>		<u>International Council of Voluntary Agencies (ICVA)</u>
	<u>United Nations Development Programme (UNDP)</u>		<u>International Federation of Red Cross and Red Crescent Societies (IFRC)</u>
	<u>United Nations Population Fund (UNFPA)</u>		<u>American Council for Voluntary International Action (InterAction)</u>
	<u>United Nations High Commissioner for Refugees (UNHCR)</u>		<u>International Organisation for Migration (IOM)</u>
	<u>United Nations Children's Fund (UNICEF)</u>		<u>Office of the High Commissioner for Human Rights (OHCHR)</u>
	<u>World Food Programme (WFP)</u>		<u>Office of the Special Representative of the Secretary General on the Human Rights of Internally Displaced Persons (RSG on HR of IDPs)</u>
	<u>World Health Organisation (WHO)</u>		<u>Steering Committee for Humanitarian Response (SCHR)</u>
			<u>World Bank (World Bank)</u>

Inter-Agency Standing Committee (IASC)

Comprises major humanitarian actors, including key UN agencies, IOM, the Red Cross Movement, and three international NGOs (see details on previous page). It provides the mechanism for inter-agency (UN and non-UN) coordination of humanitarian assistance. Under the leadership of the ERC, the **IASC** determines who is responsible for what in humanitarian response, identifies gaps, and advocates for application of international humanitarian principles.

UN Disaster Assessment and Coordination (UNDAC) Team

This is a stand-by team of disaster management professionals. The team can be deployed within hours if requested by the RC or host government, to carry out rapid assessments, establish cross-sector coordination, and Information Management systems, and to support national authorities and the RC/HC in coordinating the international response.

Global Cluster Lead Agency (see Section 8.3 for further details)

Is the designated agency responsible in each Cluster for on-going:

- standards and policy setting
- building response capacity
- operational support

Global Cluster

Each Cluster itself is made up of members of IASC and other humanitarian actors, including NGOs, the Red Cross Movement, UN agencies, consortia, institutions, and donors, all with an interest and expertise in that sector

b) Country level

Resident Coordinator (RC)

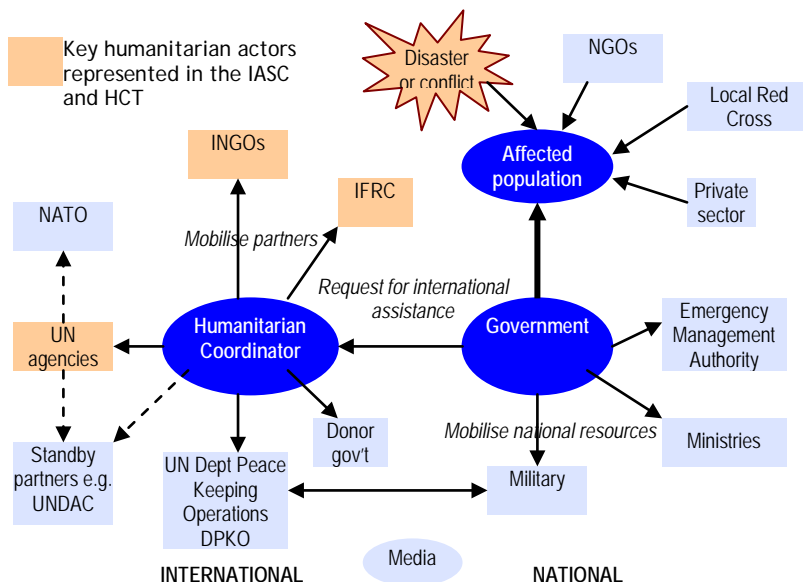
Is typically the most senior UN representative in-country and represents all organisations of the UN, with a mandate to coordinate their activities. **The RC** chairs the UN Country Team and is appointed by the Secretary-General. The RC is responsible for inter-agency coordination in the initial response to a rapid-onset emergency, in line with the ToR for an HC. UNOCHA and/or a HC may be deployed to support the RC in this function. The RC is usually familiar with the country and nature of the crisis when an emergency occurs.

UN Country Team (UNCT)

Includes representatives of the operational UN agencies already resident in the country and is chaired by the RC. Its role in major new emergencies is limited,

with primary responsibility being undertaken by a broad-based Humanitarian Country Team (HCT) from the earliest stage.

Key humanitarian actors at country level



Adapted from Workshop Materials, Tri Cluster Coordinator training, WASH, Health, and Nutrition Clusters, April 2008

Humanitarian Coordinator (HC)

Has overall responsibility for ensuring coherence of relief efforts in-country, chairs the Humanitarian Country Team, works closely with the RC, and is responsible to the Emergency Relief Coordinator. The appointment of **an HC** signals the need for a long-term humanitarian presence in the country.

Criteria for appointing an HC include:

- Intensive and extensive political management, mediation, and coordination to enable the delivery of humanitarian response, including negotiated access to affected populations
- Massive humanitarian assistance requiring action by a range of partners beyond a single national authority
- A high degree of external political support, often from the UN Security Council

ToR for the HC post are currently being developed by the IASC. An outline of the main responsibilities is incorporated under *section 8.1*.

Humanitarian Country Team (HCT)

Is composed of the cross-sectoral IASC representatives who are in-country responding to a disaster. Also known as the IASC Country Team or Task Force, the **Humanitarian Country Team** has overall responsibility for mounting a coordinated humanitarian response.

Country Cluster Lead Agency (for details see *section 1.3*)

The country Cluster Lead Agency (CLA) is appointed by the HC and takes responsibility for ensuring effective leadership and coordination of a particular Cluster at country level.

Cluster partners (for details see *sections 1.4*)

The Cluster is open to all those involved in the humanitarian response and who have expertise, resources, or information to support the relevant sector.

The Cluster Approach will only work with the cooperation of all actors

8.2.4 Who sets up the Clusters and how?

There is a formalised process for establishing the Cluster Approach at country level. For full details see the **IASC Standard Operating Procedures for major new emergencies** and **IASC Standard Operating Procedures for on-going emergencies** under Resources below. This will take place before Cluster Coordinators are appointed.

In brief, the HC or RC consults with national authorities and relevant IASC partners at global and country level, and makes decisions in consultation with the Humanitarian Country Team. Negotiation will almost certainly be needed to determine which Clusters are required and who should be assigned to lead them.

Ideally, national authorities will be fully involved and endorse the Cluster Approach, but this is not a requirement. It is, however, the responsibility of the HC and HCT to ensure that the coordination mechanisms adopted are aligned with those of the government.

The agreed proposal is sent to the ERC, who reaches agreement with IASC at Global level. A **sample letter** is incorporated in Resources below. The final

decision is conveyed to the HC/RC who informs the host government and all relevant partners.

The implications of adopting the Cluster Approach differ for new and on-going emergencies.

i) Major New Emergencies

In a '**major new emergency**' the scale and complexity of humanitarian needs demands a multi-sectoral response by a wide range of international humanitarian actors. In countries that are familiar with humanitarian interventions, introduction of the Cluster Approach may be reasonably straightforward. In others there may be resistance.

Furthermore:

- Limited local knowledge or networks constrain ability to sensitise and fully consult with national and local actors;
- Limited in-country response capacity may constrain identification of appropriate CLAs and government partners.

ii) On-going Emergencies

The Cluster Approach has been introduced in most of the 26 countries which currently have **on-going emergencies** and, in future, will be adopted in any country with an HC as a part of 'normal operational procedures'. In these situations more time is available for consultation with government and key national and local actors and this helps to ensure that development of appropriate coordination mechanisms is led by those on the ground.

There are, however, still some obstacles:

- Integration with existing and sometimes well-established coordination mechanisms;
- Gaining recognition and acceptance for the approach from other international, national, and local actors who are accustomed to, and satisfied with, the mechanisms in place;
- Existing coordination bodies may be working to principles and standards that are not acceptable to the Cluster Lead Agencies (CLAs).

a) What is the role of government?

Close coordination and collaboration with government efforts in humanitarian response is an essential part of the Cluster Approach.

Where there is a functioning government, the national authorities have responsibility for leadership and coordination of the humanitarian response, with or without international involvement. Ideally, the Cluster Approach can strengthen these mechanisms through government invitation to participate.

“Each State has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, the affected State has the primary role in the initiation, organization, coordination, and implementation of humanitarian assistance within its territory.”

(GA Resolution 46/182)

At individual Cluster level, the relevant national authorities should take the lead in chairing meetings and play an active role in Cluster decision making. Alternatively, they may opt to do this through a co-chairing arrangement between the CLA and the main line ministry or government department counterpart (see *section 1.2*).

A key responsibility of CLAs at country level is to ensure that other humanitarian actors **maintain regular and appropriate coordination with national and local government actors**. The nature of these links will depend on the emergency context and the willingness and capacity of government actors to participate in humanitarian activities.

b) How are the Cluster Lead Agencies decided at country level?

Cluster Lead Agencies (CLAs) will only be designated for sectors relevant to the emergency. In some emergencies certain Clusters may not be needed (e.g. Logistics or Emergency Telecommunications), or sectors may be combined within the same Cluster (e.g. Health and Nutrition).

Any IASC member can be a CLA; it does not have to be a UN agency.

Where possible, the country-level CLA is aligned with the global-level CLA (see table earlier in this section for details). However, in circumstances where they lack a country presence or sufficient capacity, another agency may be given this responsibility, e.g. in Zimbabwe the WASH Cluster is being co-led by UNICEF and Oxfam GB.

The CLA at country level may also designate another Cluster partner as a sub-national Cluster Coordinator or Cluster Focal Point in another part of the country. An outline of alternative WASH Cluster structures can be found in *section 1.2*.

The country-level Clusters need to include participating agencies with real operational capacity. They should be results-oriented, with a clear focus on ensuring adequate humanitarian response, including shifting their own priorities and resources to address any gaps in the overall response.

Resources

- 📖 IASC (2006), **Guidance Note on Using the Cluster Approach** to Strengthen Humanitarian Response
- 📖 IASC (2007), Operational Guidelines on Designating Sector / Cluster Leads in On-going Emergencies
- 📖 IASC (2007), Operational Guidelines on Designating Sector / Cluster Leads in Major New Emergencies
- 📖 **Sample letter from the RC to the ERC** on need for the Cluster Approach in Central African Republic, July 2007
- 📖 **Sample letter from the RC to the ERC** on need for the Cluster Approach in Mozambique, Feb 2007

- 📖 UN OCHA (2007), **CRD Desk Officer's Toolkit**
Useful guidance on the process for formalising the Cluster Approach and engaging government.
- 📖 IASC - **What is the IASC?**
- 📖 **RC Job Description**
- 📖 **HC ToR** (under review), Dec 2003
- 📖 **ToR for HCT** Afghanistan

- 📖 IASC (2006) **Interim Assessment of the Cluster Approach** in the field
Self assessment of the Cluster Approach, highlighting initial challenges.
- 📖 IASC (2007) **Cluster Approach Evaluation Report**
Useful report that highlights challenges, strengths, and weaknesses in the Cluster Approach and different strategies used in practice.

- ▶ <http://www.humanitarianreform.org>
Site with extensive information of the humanitarian reform agenda and all individual Clusters
- ▶ www.icva.ch/ghp
Further information on the Global Humanitarian Platform
- ▶ <http://www.humanitarianinfo.org/iasc/content/default.asp>
Main site for information about the IASC
- ▶ <http://www.un.org/issues/m-humani.html>
Site providing background information on the UN system and its role in humanitarian relief
- ▶ <http://ochaonline.un.org/Coordination/tabid/1085/Default.aspx>
Website for UNOCHA as the coordinator of humanitarian assistance
- ▶ http://www.redcross.org/services/intl/0_1082_0_448_00.html
Website for the International Federation of Red Cross and Red Crescent Societies

8.3 Global Cluster Leads and the role of the Global WASH Cluster

The Cluster Approach operates at two levels. At global level it aims to strengthen sector-wide preparedness and technical capacity through designated lead agencies. UNICEF is the WASH Global Cluster Lead.

8.3.1 What are Global Cluster leads responsible for?

At the global level, the aim is to:

- ✓ strengthen system-wide preparedness and technical capacity to respond to humanitarian emergencies,
- ✓ ensure that there is predictable leadership and accountability in all the main sectors or areas of activity,
- ✓ establish broad partnership bases.

Activities focus on three main areas:

i) Standards and policy-setting

- consolidation and dissemination of standards
- where necessary, development of standards and policies
- identification of "Best practice"

ii) Building response capacity

- training and system development at the local, national, regional and international levels.
- establishing and maintaining surge capacity and standby rosters
- establishing and maintaining material stockpiles

iii) Operational support

- assessment of needs for human, financial, and institutional capacity
- emergency preparedness and long-term planning
- securing access to appropriate technical expertise
- advocacy and resource mobilization
- pooling resources and ensuring complementarity of efforts through enhanced partnerships

8.3.2 Who comprises the Global WASH Cluster?

Active **Global WASH Cluster Working Group** partners include:

NGOs	Action Contre la Faim (ACF), Oxfam, International Rescue Committee (IRC), World Vision International (WVI) , Catholic Relief Services (CRS), Concern, CARE, Norwegian Church Aid (NCA), RedR, International Centre for Health and Migration (ICMH),
Red Cross	IFRC
UN	UNICEF, WHO, United Nations Environment Programme (UNEP), UNHCR
Consortiums	InterAction
Institutions	Center for Disease Control (CDC)

Implementation is supported by the **Global Cluster Advocacy and Support Team (CAST)** :

- Jean McCluskey, WES Emergencies Adviser
IASC WASH Cluster Coordination, UNICEF Geneva
Office 41 22 909 56 16, jmccluskey@unicef.org
- Professor Paul Sherlock, Senior Adviser, Emergencies, IASC WASH Cluster Coordinator, UNICEF, New York
Office 1 212 326 7556, psherlock@unicef.org

Additional **global partners** include International Medical Corps (IMC), Tearfund, Mercy Corps, ICRC, OCHA, SCHR and donors OFDA, DFID, and ECHO.

Formal recognition of UNICEF's role as Global Cluster Lead has allowed the organisation to dedicate resources to take up the role and ensure standards, systems, and capacity for rapid response. Ensuring that all key WASH sector actors are fully involved at the global level is a critical part of this role, in order to formalise their support and active participation in the WASH Cluster at country level, in an emergency.

Different agencies have specific strengths and can make a significant collective contribution to developing the sector globally.

8.3.3 What does Global WASH Cluster do?

The **Global WASH Cluster work plan 2006/8** has been formulated into five strategic areas, covering outstanding capacity gaps identified by the WASH Cluster Working Group (see Resources below for the detailed plan) The five strategic areas where increased capacity is required are:

i) WASH Sector Coordination and Advocacy

- Dedicated CAST team
- Developing Training and rosters (Project 1)
- Resources for initial cluster coordination cell
- Rapid Needs Assessment Team
- Advocacy and resource mobilisation - tools and guidance (Project 8)

ii) Information Management & Standards Policy

- Systems and tools - in coordination with OCHA and other clusters (Project 2), see below

iii) WASH Sector Capacity for Humanitarian Response

- Hygiene promotion tools, guidance, etc. (Project 3)
- Training for capacity building (Project 6)
- Standby arrangements for accessing technical expertise
- Agency-specific capacity building
- Technical support services (Project 9)

iv) WASH Sector Preparedness

- Global and national capacity mapping (project 4)
- WASH Cluster awareness workshops
- Interagency preparedness and contingency planning
- Global WASH stockpile (project 5)

v) WASH Sector Best Practice and Learning

- Learning reviews (project 7)
- Cross-cutting issues (projects 11-14)

Projects Overview

This strategy has been developed into 15 projects which the Global WASH Cluster are currently working on. Full details can be found on the website:

<http://humanitarianreform.org>.

8.3.4 What can the Global WASH Cluster offer the WASH CC?

The **support, resources and services** offered are outlined under Resources below. Details of specific Information Management tools are given in *chapters 3 and 4* of the Handbook.

Regional Emergency WASH Advisers (REWAs)

UNICEF has REWAs in six of its seven regions. Their role is to:

- form a practical link between the Global WASH Cluster group and the country level;
- roll out the tools developed at global level;
- assist in short-term rapid deployment;
- support local capacity building.

Members of WASH Cluster agencies (especially field staff) are encouraged to contact REWAs regarding any WASH Cluster matters.

8.3.5 Inter-Cluster Coordination at a Global level






Experience from the field has highlighted some **overlaps and gaps in emergency interventions between Clusters**.

There is a recognised need for clarity on the relative roles and responsibilities of the different Clusters in order to avoid duplication of effort, while ensuring that all areas of need are covered. However, there is also recognition that the **formation of dedicated Clusters runs the risk of deepening the ‘division’ between sectors**.

To address these challenges, a **range of cross-Cluster initiatives and tools** have been developed by the Global WASH Cluster for use by the WASH Cluster and other Clusters at country level.

- **Matrices** mapping out the mutual roles and responsibilities of WASH and other Clusters (see *section 1.5* for details).
- **Cross-Cluster Hygiene Promotion** initiative to encourage hygiene promotion in other Clusters (see *section 7.2*).
- **Tri-Cluster Initiative** between the WASH, Health, and Nutrition Clusters to enhance collaboration by regular dialogue, joint training, and mechanisms to improve information sharing and the development of shared or complementary outputs and resources.

Resources

-  Global WASH Cluster (2007), **Key things to know**
-  Global WASH Cluster **Strategic Framework** 2007-8 (Power-point)
-  Global WASH Cluster (2007) **Support, Resources and Services** (Power-point)
-  Global WASH Cluster **Work Plan** 2007-8
-  **MoU for agencies participating in the Global WASH Cluster**, 2007

- ▶ <http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=314>
- ▶ http://www.unicef.org/wes/index_43104.html

Glossary of terms

Actor(s)	Individuals, groups, organisations, or institutions.
Affected population(s)	Populations affected by a disaster or emergency which may include refugees, internally displaced persons, host communities, other specific groups, or a combination of these.
Assessment	A structured process of collecting and analyzing data to measure the impact of the crisis, and provide an understanding of the situation and any related threats, in order to determine whether a response is required and, if so, the nature of that response. An assessment is a time-bound exercise that produces a report and recommendations to inform decision-making at a particular point in time.
Cluster Cluster approach	A group of organizations and other stakeholders working together to address needs in a particular sector (such as WASH). The Cluster Approach is a way of organizing coordination among humanitarian actors to facilitate more predictable leadership, improved planning and prioritisation, stronger partnerships, and enhanced response capacity and accountability.
Coordination	A process (set of activities) that brings different elements into a harmonious or efficient relationship. [<i>from Oxford English Dictionary</i>]
Effectiveness	A measure of the extent to which an intervention's intended outcomes (its specific objectives) have been achieved.
Efficiency	A measure of the relationship between outputs (the products produced or services provided by an intervention) and inputs (the resources it uses).
Evaluation	A systematic and impartial examination (of humanitarian action) intended to draw lessons to improve policy and practice and enhance accountability. [<i>ALNAP</i>]
Impact	The effect on the affected population (e.g. reduction in measles incidence) [<i>Guidelines for CAP Mid-year Review</i>]
Output	The actions completed to date by a project (e.g. 10,000 children vaccinated) [<i>Guidelines for CAP Mid-year Review</i>]
Monitoring	Two forms of monitoring are distinguished, relevant to the humanitarian context: (i) Monitoring (surveillance) of the situation - regularly gathering and analysing data on health and hygiene conditions, risks, access to services, etc. to detect and measure changes. (ii) Monitoring the implementation of programmes and projects to determine whether we have done, and achieved, what we said we would, and if not, why not, and what needs to change? [<i>Tear Fund</i>]
Partners Partnership	Individuals and organizations that collaborate to achieve mutually agreed upon objectives. The concept of "partnership" implies shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations.

Sector	A distinct part of an economy, society or sphere of activity. [<i>Oxford English Dictionary</i>]
Stakeholder Stakeholder analysis	An agency, organization, group or individual who has direct or indirect interest in a particular activity, or its evaluation. Stakeholder analysis is an analysis of the interests and relative influence of the various stakeholders involved.
Strategy Strategic plan Strategic Operational Framework	The approach that will be used to achieve one or more defined objectives - how the objective(s) will be achieved. A strategic plan is a concise document that outlines the actions to be taken to achieve the defined objective, or set of objectives, specifying time frames and responsibilities for implementation. [<i>WHO, Managing WHO Humanitarian Response in the Field, draft Jan 08</i>] Comprises the same elements as a Strategic Plan, plus agreed guiding principles and standards to inform response planning and actions.
Vulnerable groups	Groups or individuals more vulnerable to increased mortality and morbidity, and the impact of future disasters, than other members of the population.

Adapted from the Health Cluster Guide (working draft), Sep 2008