

Annex A

Guidelines on the Cluster Approach: CRD Desk Officer's Tool Kit

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Key Desk Officer Actions to Support Use of the Cluster Approach Sudden Onset Emergencies

- ✓ There is no agreed definition of “major” new emergency, as this depends on many factors. As a rule of thumb, a new emergency would be considered “major” for international assistance purposes if any or all of the following apply:
 - the RC is designated as HC for the duration of the emergency, or a separate HC is deployed;
 - an inter-agency, multi-sectoral Flash Appeal is issued (which in itself implies a multi-sectoral, international response that exceeds the mandate of one agency to respond);
 - the ERC, following consultation with IASC partners, specifically requests that the cluster approach be used.
- ✓ The actions below are in no particular order and should be used with common sense and adjusted to suit each humanitarian response.
- ✓ For the purpose of this checklist, OCHA Field Presence = any OCHA-deployed staff responding directly to the emergency, e.g. Field Office, Regional Office, UNDAC, other surge capacity
- ✓ Don't forget to consult www.humanitarianreform.org regularly for up-to-date information.

Assess scale of emergency and likely coordination needs

- Consult relevant OCHA field presence and media sources to determine the scope of the disaster and likely scale of the international humanitarian response required.
- In case of no OCHA field presence, especially in early stage of the disaster, ensure consultation with other agencies at their HQ level, through GCMS (e.g. IFRC)
- Assess the likely gaps in humanitarian response, given the capacities of the government and the current international presence in country.
- Ascertain level of knowledge and attitudes of Government, RC, deployed OCHA staff and country team about the cluster approach and other reform issues.
- Based on initial field information, liaise with relevant parts of OCHA HQ (e.g. GCMS, FCSS/UNDAC, FIS, CMCS, CAP Section, LSU, SCS, PI) to develop a corporate position on approaches, tools and services to be advocated for and provided. Consider doing this through a tel-con with all relevant units simultaneously.

Advise RCs and field teams on approaches, tools and services available

- If RC knowledge on cluster approach assessed to be low, arrange for Chief of CRD (or if not available, other SMT member) to call RC and describe support available from OCHA and through Global Clusters.
- Immediately follow up this phone call by sending **standard letter from ERC to RCs** (forthcoming) outlining the above in writing.
- Advise that RC/HC/OCHA meet Government to discuss how the international community can support the Government response, including using the cluster approach (see **Explaining the cluster approach to National Authorities**).
- Advise on the capacity, stockpiles, standards, tools and other services that may be available from Global Cluster Leads to fill identified gaps (see <http://www.humanitarianreform.org> and the document **Key Things to Know about Global Cluster Leads** for cluster-specific support available).
- Provide RCs/OCHA with **Operational Guidance on Designating Cluster/Sector Leads in New Emergencies** (available in French and English)
- Provide RC/HC/OCHA field presence with **sample letter for communicating to the ERC** (a) priority sectors/areas of response and (b) designated international leads for each.
- Provide RCs and OCHA/UNDAC presence with relevant updated contact lists (see **Contact List of Global Cluster Leads**, OCHA HQ Focal Point, etc.)

- Advise on establishing coordination “architecture” that will facilitate decision-making, be inclusive, and ensure coherence between different clusters/sectors and between national and sub-national hubs. While there is no “one” correct coordination model, based on lessons learned from previous cluster experience remember:
 - Designated cluster/sector leads should report, in this capacity, to the RC/HC.
 - The cluster approach should not be “added on” as an extra layer of coordination; rather the principles and standards of the approach should be used to raise the bar of performance of existing structures.
 - Ensure participation by INGOs and national NGOs in all coordination mechanisms, bearing in mind the need to balance representation with the pragmatic need to keep meetings manageable and strategic (see **Principles of Partnership**).
 - There should be a forum for technical cluster/sector leads to discuss and propose strategies for ensuring a cross-sectoral (e.g. holistic) approach to the response, and integration of cross-cutting issues. This forum should have a formal means to feed into a higher level, strategy/policy-making entity, such as an IASC CT/Humanitarian CT (see **sample ToR for IASC CT in Uganda**).
 - Coordination structures should be rationalized at both the capital and regional/district level and seek to minimize meetings and feed into strategic decision-making.
 - To the extent possible, and depending on the context, discussions about relief and early recovery (and where possible development) on a given issue (e.g. health) should be discussed in a single forum, with the aim of fostering more natural linkages between relief and development, minimizing meetings, and ensuring that development takes preparedness for emergencies into consideration.
- Advise that sectoral sections of the Flash Appeal and/or CERF can be facilitated and prepared by the designated cluster/sector leads, who are in a good position to work with partners to agree on sector priorities/projects.
- If a thorough CP process has been undertaken, advise its activation in line with **Revised IASC Contingency Planning Guidelines-2007**).

Apply relevant approaches, tools and services

- Monitor selection of country-based cluster/sector leads (in accordance with **Operational Guidance on Designating Cluster/Sector Leads in New Emergencies** (available in French and English)).
- Ensure that upon receipt, RC/HC letter to the ERC on sectors/areas of humanitarian response and leads is sent by the IASC Secretariat to Global Cluster Leads within 24 hours (see **sample letter to ERC on using the cluster approach**), in accordance with Operational Guidance on Designating Cluster/Sector Leads in New Emergencies.
- If there is no capacity in country to fulfil cluster/sector lead role, advise RC/HC/OCHA that the relevant Global Cluster Lead be contacted and encouraged to deploy support, and offer to facilitate this communication.
- Make sure RC/OCHA field presence is aware of and has copies of the generic ToR for cluster/sector leads at the field level—which outlines the minimum requirements of that role, and explains accountability to RC. The ToRs may be adapted to the context, but the tasks in the generic ToR should not be reduced (provide **Generic ToR for Cluster/Sector Leads at the Field Level, available in French and English**)
- Even if there are existing sector leads in country, encourage that they be provided with ToR—which outlines their responsibilities in the new “emergency phase”
- Encourage RC/OCHA field presence to distribute ToRs widely to organisations participating in cluster/sector meetings so that they know what to expect from the cluster/sector lead.

- In the event an UNDAC or other surge capacity is deployed, ensure that—if necessary—team includes an HAO who is proficient on cluster approach policies and operational modalities.
- Ensure that cluster/sector arrangements and coordination architecture are communicated in publicly posted situation reports in the Flash Appeal or CERF application, and on the Virtual OSOCC.

Specific other actions at the HQ level

- If appropriate, initiate contacts with the government mission of the affected country to discuss the cluster approach and other issues relevant to the humanitarian response.
- Liaise with GCMS to ensure common messages are communicated to Permanent Missions in both NY and GVA
- Initiate contacts with relevant Global Cluster Leads (directly or through GCMS or HRSU) to ensure that they are communicating to field-level cluster leads and providing necessary support (e.g. personnel, standards and tools, stocks, training, etc.)
- Keep ERC abreast of consultations and viewpoints of IASC partners regarding use of the cluster approach.
- Ensure Flash Appeals, CAPs, CERF requests reflect reform principles (partnership, predictability, accountability)
- Communicate actions/recommendations from HQ-level consultations to the RC/HC/OCHA field presence and relevant sections in GVA
- Ensure all relevant OCHA GVA sections are copied on all key correspondence between CRD and RC/HC or other entities on key response issues, including use of the cluster approach.

CHECKLIST: CORE FUNCTIONS OF AN OCHA FIELD OFFICE TO SUPPORT THE CLUSTER APPROACH

RED = FUNCTIONS THAT ARE CURRENTLY NOT PART OF TOR FOR AN OCHA FO

CORE FUNCTIONS IN INITIAL CLUSTER ROLL-OUT	
SELLING CLUSTERS & APPLICATION OF STANDARDS	
1	Share with RC/HC, IASC CT/Humanitarian CT, NGOs and donors the latest Cluster Policy Guidance notes, etc
2	Present the cluster approach to UNCT/ IASC CT/Humanitarian CT, UN, NGOs, donors, including experiences from other applications
3	Support set-up of IASC CT/Humanitarian CT or its equivalent (if not existing)
4	Help HC/ IASC CT/Humanitarian CT identify the clusters required for the response & lead agencies
5	Support Cluster Leaders in the set-up of respective clusters (list of global cluster leads, cluster ToRs, etc)
6	Support RC/HC in convincing the government on the added value of the cluster approach
7	Disseminate and advocate for adherence to general humanitarian principles (IHL, Sphere, Guiding Principles on IDPs, Code of Conduct, etc) and relevant UN policies
IDENTIFICATION OF KEY PARTNERS	
8	Provide cluster leads with list of partners and WWW database, share contact lists and direct actors to relevant clusters
COORDINATION OF PROGRAMME IMPLEMENTATION	
9	Ensure relevant clusters are functioning in field hubs, and field OCHA Inter-Cluster Coordinators identified
10	Provide information and guidance on funding mechanisms (CERF, Flash Appeal, etc).
11	Lead the formulation of a response/funding framework (objectives, analysis, etc)
12	Organize and chair daily/weekly/monthly cluster leads' meetings as required
13	Ensure cross-cutting issues such as human rights, HIV/AIDS and gender mainstreaming are reflected in cluster and inter-cluster plans and response
14	Prepare humanitarian overviews and gap analysis of response (by cluster) for IASC briefings
MONITORING AND REPORTING	
15	Design/re-format reporting template to reflect clusters
16	Monitor performance of all clusters, adherence to the cluster leads ToRs, and conduct periodic reviews of clusters
17	Coordinate in consultation with IASC CT/Humanitarian CT, the transition/exit of clusters as necessary
18	Engage clusters in contingency planning and preparedness activities as relevant
PLANNING AND STRATEGY DEVELOPMENT	
19	Coordinate, and participate in inter-agency needs assessments
20	Periodic Reviews of Response Plan/Framework with cluster leads for refining strategic direction of response
21	Facilitate support to clusters by providing standard tools to assist the members make sound strategic/operational decisions, including information management tools
ADVOCACY AND RESOURCE MOBILIZATION	
22	Support donor and external relations officers to ensure gaps in response and funding are flagged and addressed
23	Identify core advocacy concerns including resource requirements and contribute key

	messages to the HC and others
CAPACITY BUILDING	
24	Ensure OCHA Office staff are trained on the cluster approach and are able to trouble shoot with partners
25	Support efforts to strengthen the capacity of the national authorities and civil society
26	Perform other tasks assigned by the HC/RC that support management of clusters

CORE FUNCTIONS POST ROLL-OUT	
SELLING CLUSTERS & APPLICATION OF STANDARDS	
1	Update RC/HC, IASC CT/Humanitarian CT, NGOs, donors, Gov on the latest Cluster Policy Guidance notes, etc
2	Disseminate and advocate for adherence to general humanitarian principles (IHL, Sphere, Guiding Principles on IDPs, Code of Conduct, etc) and relevant UN policies
IDENTIFICATION OF KEY PARTNERS	
3	Provide cluster leads with list of partners and WWW database, share contact lists and direct actors to relevant clusters
COORDINATION OF PROGRAMME IMPLEMENTATION	
4	Ensure relevant clusters are functioning in field hubs, and field OCHA Inter-Cluster Coordinators identified
5	Provide information and guidance on funding mechanisms (CERF, Flash Appeal, etc).
6	Lead the formulation of a response/funding framework (objectives, analysis, etc)
7	Chair daily/weekly/monthly cluster leads' meetings as required
8	Ensure cross-cutting issues such as human rights, HIV/AIDS and gender mainstreaming are reflected in cluster and inter-cluster plans and response
9	Prepare humanitarian overviews and gap analysis of response (by cluster) for IASC briefings
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Explaining the cluster approach to National Authorities

Why is this issue important?

It is the responsibility of the state to care for the victims of emergencies on its territory. Accordingly, government has the primary role in initiating, organizing and implementing humanitarian assistance and is, therefore, a key partner for international humanitarian aid providers. As in any partnership, it is critical that both parties understand how support will be organized and provided. Many Government representatives in New York and Geneva, in regional hubs and in capitals have been briefed on the humanitarian reform efforts and the cluster approach. Nonetheless, you are likely to encounter national authorities that are unaware or have only a basic understanding of the cluster approach.

The Generic Terms of Reference for Sector / Cluster Leads at the Country Level does not specifically call on cluster leads to advocate for the cluster approach. Instead, the focus is on those tasks that a cluster lead must do to make the humanitarian response more efficient. It will be difficult however, to fulfill many of the responsibilities outlined, if your government partners do not understand and support the cluster approach. Some advocacy on the cluster approach -- particularly its inherent and potential benefits to government partners -- will facilitate your work.

How Do I Do This?

Focus advocacy on the principles of the approach: accountability, predictability and partnership in all areas of the humanitarian response. Advocacy will take two forms, i.) explaining what the cluster approach *is* (in other words how it benefits government); ii.) explaining what the cluster approach *isn't* (in other words how it won't usurp government).

Talking Points --Why its good for government

1.) It's More Coherent.

In a typical emergency dozens of UN agencies, international organizations and NGOs will be present, making coordination of assistance a seemingly insurmountable challenge. The cluster approach is a more structured approach to working together. It provides Governments with a clear counterpart within the international humanitarian community for each of the main sectors or areas of humanitarian response, ensuring that each of these international sector leads has a clear term of reference in support of the relevant coordinating government entities/ministries.

2.) It's More Predictable.

Governments used to encounter differing levels of service from different agencies that had assumed or fallen into the roll of sector lead. Now each lead has a clear ToR outlining the services to be provided. Moreover, in the past some sectors worked and some did not. Under the cluster approach humanitarian organizations have committed to developing agreed common standards in each sector, ensuring a more predicable and high quality level of assistance.

3.) It's Quicker.

In many emergencies in the past it took months, if not years, for the humanitarian community to agree on sector leads that could serve as key interlocutors between government and the myriad of humanitarian organizations that arrive at the outset of an emergency. With the cluster approach there are pre-existing designations at the global level and a mechanism for quickly reaching agreement at the country-level. In the Lebanon emergency in 2006, lead agencies - in support of the Lebanese-led response - were designated within the first 48 hours of the emergency.

4.) It's better resourced and capable.

At the global level, specific organizations have agreed to become global cluster leads, which commits them to building response capacities for their cluster (as opposed to their agencies). These cluster leads have worked with other large-scale organisations with competence in a given sector to (a) harmonise and pool global stocks and expert staff capacity, (b) and agree on operational standards and other tools and guidelines for the sector. This will speed the response of the humanitarian system during the crucial initial stages of an emergency when government are often facing their greatest challenges. Eleven governments have generously invested over US \$55 million to build this extra global response capacity.

Talking Points --What the cluster approach isn't

1.) It isn't an effort to usurp the vital role of the government.

The intent of the cluster approach is not to undermine the role of government. This is exactly the opposite of what is intended, and should not be the case if the cluster approach is correctly led. The whole humanitarian reform effort, and especially the adoption of the cluster approach, has been undertaken to better support governments as they respond to emergencies. It is about supporting government's role as outlined in GA Resolution 46/182 which rightfully highlights the fact that it is the State and its Government that has the primary role in initiating, organizing and implementing humanitarian assistance. The principles and operational modalities of the cluster approach are designed to make international humanitarian support more efficient. We are strengthening the government's sectoral coordination, not replacing it.

2.) It isn't a one size fits all approach.

The cluster approach is flexible, recognizing that in each emergency it is up to humanitarian actors on the ground, in consultation with relevant Government counterparts, to determine the priority sectors for the response.

3.) It doesn't divert resources.

Eleven donor governments have generously invested over US \$55 million to build this extra global response capacity. These funds are additional. In other words donors have not made these resources available by cutting aid to developing countries.

Reference Material

1. IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response, 24 Nov. 2006
2. United Nations, General Assembly Resolution A/RES/46/182, "Strengthening of the coordination of humanitarian emergency assistance of the United Nations," 19 Dec. 1991

EXAMPLE: Working with Governments: Philippines

History

- i. Super Typhoons hit Philippines mid November 2006
- ii. Cluster approach adopted on 27 December 2006
- iii. Government welcomes approach
- iv. NGOs not consulted on approach
- v. Confusion in UNCT over how many clusters to adopt.
- vi. Government formally announced that clusters are to be used as the basis of all coordination and contingency planning.

Analysis

- Government response and coordination mechanisms were already in place.
- No major opposition from government on establishment of clusters, although some line ministries were skeptical of parallel structure to their own
- We were weak in engaging the NGOs in the consultation process, which delayed their engagement.
- Number of clusters needed was small (max 4-6), but agencies assumed they had to adopt 11 clusters.
- Deployment of OCHA in the field as well as capital could have improved deep-field cluster coordination, as some sectors remained different from capital sectors.

Messages that worked with the Government

- **The cluster approach will help coordinate most of the international response**
- **Clusters can also support contingency planning for future disasters**

Best Practice / Lessons Learned

- ✓ Government co-lead cluster meetings
- ✓ Oxfam deputy lead for WASH
- ✓ 6 week deployment of an OCHA staff member to focus on the cluster approach boosted confidence in the clusters
- ✓ There is a need to ensure that guidance is properly disseminated, and that all OCHA staff are fully versed on latest policy developments.

EXAMPLE: Working with Governments: Ethiopia

History

- i. 2005 the government put in writing that they are opposed to the cluster approach
- ii. HRSU two day workshop with all partners and the government
- iii. Government issue Press Release endorsing and supporting the cluster approach

Analysis

- Exclusion from Preliminary Guidance on the Cluster Approach was a mistake on part of IASC (please clarify, IASC Principals, WG, subsidiary bodies?) - leading to the perception on the side of the Government that organizing the international humanitarian community is not an 'internal matter.' Wanted to be consulted from its inception, although we don't need 'permission'
- Talked about sectors having 'leads' which was seen as being insulting to governments.
- Hard to come up with a single blue-print / policy paper for how to organize responses which applies to countries that are there to block us/ oppose us/ commit crimes against humanity and violate the Geneva Conventions and governments as well as those countries who are doing their utmost to meet the needs of their own civilians and muster all the support they can get to do that. We still try to have one paper to do it.

Messages that worked with the Government

- **Our aim in this country is to support you**
- **It is not about undermining you (detailed explanation of how it can support them)**
- **We just want to work better with your own structures - we want to align ourselves better.**

Best Practice / Lessons Learned

- ✓ They just want to know that what's being done is in their interest.
- ✓ External person helped - HRSU was able to say things to the government that those there could not.
- ✓ One of the strongest factors was that an external person came in announcing something that had been agreed by 100s of organizations. No one in any way shape or form contradicted or challenged it as they were mostly new to this.
- ✓ Note: Multi agency mission can send mixed messages - as those who arrive from headquarters come down and say its 'field driven,' which implies that it is optional.

Explaining Clusters to Resident Coordinators

Why is this issue important?

- On 12 September 2005, the IASC Principals “(a)greed on the urgent need to seize the momentum for building a stronger and more predictable standing response capacity in the areas where humanitarian operations too often fall short as described in the Humanitarian Response Review and witnessed in recent humanitarian emergency operations.”
- It further “(w)elcomed the detailed Outcome Document (attached Statement) from the IASC Working Group and generally supported its recommendations, including the proposed roles and responsibilities for cluster leads. The need for approval from respective boards and memberships was recognized. The allocation of cluster lead responsibilities among UN agencies is noted by the Standing Invitees. All IASC partners are committed to actively participate in strengthening overall cluster response capacity.”
- The IASC Principals further “(a)greed that the proposed clusters with the proposed leads should be the framework for humanitarian response in major new emergencies. Further agreed that the existing Cluster Working Groups will propose detailed, phased implementation plans before the December 12th IASC Principals meeting. These will vary in scope and speed and will give priority to countries and situation where the present humanitarian response capacity is insufficient.”
- This decision is significant because the Inter-Agency Standing Committee (IASC) is a unique inter-agency forum for coordination, policy development and decision making the key UN and non-UN humanitarian actors (according to the 1998 Terms of Reference).

What is the Cluster Approach?

- The cluster approach is basically a way of providing better support to national efforts.
- The international humanitarian response to a major emergency typically includes multiple autonomous organizations, each dependent on voluntary contributions. In many emergencies, this collective response has lacked strategic leadership, which has led to gaps in services that were either sensitive politically (e.g. IDP protection) or difficult to finance. Humanitarian needs that fell outside organizational mandates received unpredictable and often lower levels of response. The voluntary and collaborative nature of the humanitarian response also meant that there was no locus of accountability for overall performance.
- To close gaps, increase predictability, and strengthen response capacity, coordination and accountability, the cluster approach does the following:
 - At the global level, the IASC has designated a lead agency for eleven clusters. Each global cluster lead will work with partners to set standards and policies for the cluster, build stand-by response capacity and provide operational support to organizations working in the field.
 - At the field level, lead agencies are also designated by RC/HCs in consultation with humanitarian partners at the field level at the outset of an emergency for priority sectors. Each cluster lead in the field is expected to ensure a well-coordinated and effective humanitarian response in their sector. The specific responsibilities of cluster leads in the field are detailed in a Terms of Reference for cluster leads, in the IASC Guidance Note on Using the Cluster Approach.
- Cluster leads at the country level are accountable to the Humanitarian or Resident Coordinator for ensuring that these responsibilities are carried out effectively.

What is the role of the RC or HC in the Cluster Approach?

- The Resident or Humanitarian Coordinator makes sure the overall response is strategic, well planned, inclusive, coordinated and effective. To do this he or she will typically ensure the common tools and services that are critical for cross-sector planning and collaboration. In particular, he or she will i.) establish and maintain effective, inter-sectoral coordination

mechanisms, ii.) ensure support for inter-sectoral needs-assessments iii.) ensure high-quality information management for the overall humanitarian response and iv.) and support advocacy and resource mobilization efforts. The Resident or Humanitarian Coordinator is accountable to the UN Emergency Relief Coordinator.

What Support Will the RC Receive?

- ⇒ OCHA will usually deploy staff at the outset of a humanitarian emergency to help a Resident or Humanitarian Coordinator fulfill the responsibilities outlined above. OCHA staff are trained to provide coordination, information management, advocacy and policy development services. OCHA will essentially act as a secretariat for inter-sectoral coordination efforts and arrangements led by the Resident or Humanitarian Coordinator. The Resident or Humanitarian Coordinator may also request additional, sector-specific support from the global cluster leads.

Why it's good for an RC?

The cluster approach makes life easier for Resident and Humanitarian Coordinators by having predictable, standardized, consistent systems for humanitarian response in all countries.

1.) It's easier to manage.

In a typical emergency dozens of UN agencies, international organizations and NGOs will be present, making coordination of assistance a seemingly insurmountable challenge. The cluster approach cuts through this thicket with a more structured approach. It provides a Resident or Humanitarian Coordinator with a clear counterpart within the international humanitarian community for each of the main sectors of humanitarian response.

2.) It's more predictable

Resident or Humanitarian Coordinators use to encounter differing levels of service from different agencies that had assumed or fallen into the roll of sector lead. Now each lead has a clear ToR outlining the services to be provided. Moreover, in the past some sectors worked and some did not. Under the cluster approach humanitarian organizations have committed to developing agreed common standards in each sector, ensuring a more predicable and high quality level of assistance to affected populations.

3.) It's quicker

In many emergencies in the past it took months, if not years, for the humanitarian community to agree on sector leads that could serve as key interlocutors between government and the myriad of humanitarian organizations that arrive at the outset of an emergency. With the cluster approach there are pre-existing designations at the global level and an agreed standard operating procedure for quickly reaching agreement at the country-level. Using these procedures, lead agencies were designated in the field for critical clusters in the 2006 Lebanon emergency within the first 48 hours of the crisis.

4.) It's better resourced

At the global level, specific organizations have agreed to become global cluster leads, which commits them to building response capacities for their cluster (as opposed to their agencies). These cluster leads have worked with other large-scale organisations with competence in a given sector to (a) harmonise and pool global stocks and expert staff capacity, (b) and agree on operational standards and other tools and guidelines for the sector. This will speed the response of the humanitarian system during the crucial initial stages of an emergency when Resident Coordinators are often facing their greatest challenges.

5.) It makes gaps less likely

In past emergencies, there have often been certain sectors where the level of international support has been inadequate. Now, under the cluster system, if there is a critical gap in humanitarian response, it is the responsibility of sector leads to call on all relevant humanitarian partners to address these. If this fails, then depending on the urgency, the sector lead will have to act as "provider of last resort." This mean it will commit itself to filling the gap.

What it's not

1.) It's not an effort to usurp the role of government.

The intent of the cluster approach is not to undermine the role of government. The whole humanitarian reform effort, and especially the adoption of the cluster approach, has been undertaken to better support governments as they respond to emergencies. It is about supporting government's role as outlined in GA Resolution 46/182 which rightfully highlights the fact that it is the state and its government that has the primary role in initiating, organizing and implementing humanitarian assistance.

2.) It's not UN - Centric

Under the cluster approach, coordination efforts should always involve all organisations involved in humanitarian response. Meetings and decision-making that only involves members of the UN Country Team does not reflect today's reality: non-UN actors often provide the bulk of the assistance in emergencies.

Principles of Partnership

A Statement of Commitment

Endorsed by the Global Humanitarian Platform, 12 July 2007

The **Global Humanitarian Platform**, created in July 2006, brings together UN and non-UN humanitarian organizations on an equal footing.

- Striving to enhance the effectiveness of humanitarian action, based on an ethical obligation and accountability to the populations we serve,
- Acknowledging diversity as an asset of the humanitarian community and recognizing the interdependence among humanitarian organizations,
- Committed to building and nurturing an effective partnership,

... the organizations participating in the **Global Humanitarian Platform** agree to base their partnership on the following principles:

- **Equality**

Equality requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other's mandates, obligations and independence and recognize each other's constraints and commitments. Mutual respect must not preclude organizations from engaging in constructive dissent.

- **Transparency**

Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications and transparency, including financial transparency, increase the level of trust among organizations.

- **Result-oriented approach**

Effective humanitarian action must be reality-based and action-oriented. This requires result-oriented coordination based on effective capabilities and concrete operational capacities.

- **Responsibility**

Humanitarian organizations have an ethical obligation to each other to accomplish their tasks responsibly, with integrity and in a relevant and appropriate way. They must make sure they commit to activities only when they have the means, competencies, skills, and capacity to deliver on their commitments. Decisive and robust prevention of abuses committed by humanitarians must also be a constant effort.

- **Complementarity**

The diversity of the humanitarian community is an asset if we build on our comparative advantages and complement each other's contributions. Local capacity is one of the main assets to enhance and on which to build. Whenever possible, humanitarian organizations should strive to make it an integral part in emergency response. Language and cultural barriers must be overcome.

www.globalhumanitarianplatform.org

OPERATIONAL GUIDANCE ON DESIGNATING SECTOR/CLUSTER LEADS IN MAJOR NEW EMERGENCIES

Inter-Agency Standing Committee (IASC)

Detailed guidance on the cluster approach is provided in the *IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response (November 2006)*.

Why is there a need to designate sector/cluster leads in major new emergencies?

- The aim of the cluster approach is to strengthen humanitarian response by ensuring high standards of predictability, accountability and partnership in all sectors or areas of activity.
- The IASC has agreed that the cluster approach should be used in all contingency planning for major new emergencies; in all responses to major new emergencies; and eventually in all countries with Humanitarian Coordinators (HCs).
- In a major new emergency, the cluster approach requires that sector/cluster leads be designated at the earliest possible opportunity in order to ensure an adequate response.

What constitutes a “major new emergency”?

- For IASC operational purposes, a “major new emergency” is defined as any situation where humanitarian needs are of a sufficiently large scale and complexity that significant external assistance and resources are required, and where a multi-sectoral response is needed with the engagement of a wide range of international humanitarian actors.

Can the cluster approach be used in countries where there is a UN Resident Coordinator but no Humanitarian Coordinator?

- Yes. In addition to countries where there is an HC, the cluster approach can be used in countries where there is no HC but where the UN Resident Coordinator (RC) is coordinating the international response to a major new emergency.

What is a “sector/cluster lead”?

- A “cluster lead” is an agency/organization that formally commits to take on a leadership role within the international humanitarian community in a particular sector/area of activity, to ensure adequate response and high standards of predictability, accountability & partnership. A “cluster lead” takes on the commitment to act as the “provider of last resort” in that particular sector/area of activity, where this is necessary.
- A “cluster” is essentially a “sectoral group” and there should be no differentiation between the two in terms of their objectives and activities; the aim of filling gaps and ensuring adequate preparedness and response should be the same.

What are the responsibilities of sector/cluster leads and who is accountable to the HC?

- The sector/cluster lead for any given sector is an agency, not a person. For that reason, at the country level it is the Country Director/Representative of the agency/organization designated as sector/cluster lead who is ultimately responsible for ensuring that relevant sector/cluster leadership activities are carried out effectively.
- The specific responsibilities of sector/cluster leads are described in detail in the *IASC Generic Terms of Reference for Sector/Cluster Leads (Annex 1 of the Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response)*. These lay out minimum standards for all sector/cluster leads, including the need to ensure that agreed priority cross-cutting issues such as age, diversity, environment, gender, HIV/AIDS and human rights are effectively addressed in all sectors. The IASC Generic Terms of Reference may be contextualized and added to, but may not be reduced.

- ❑ Sector/cluster leads are responsible for ensuring that within their sectors focal points are nominated for Early Recovery and for agreed priority cross-cutting issues, as appropriate, to ensure that these issues are included in sector work plans and appeals.
- ❑ Sector/cluster leads at the country level are responsible for ensuring adherence to norms, policies and standards agreed at the global level and should treat the global level clusters as a resource that can be called upon for advice on global standards, policies and 'best practice', as well as for operational support, general guidance and training programmes.
- ❑ Sector/cluster lead agencies at the country level are responsible for appointing appropriate individuals, with the necessary seniority, facilitation skills and expertise to be the sector/cluster coordinators. In some cases, there may be a need for sector/cluster lead agencies to appoint dedicated, full-time sector/cluster coordinators with no other programme responsibilities.
- ❑ Country Directors/Representatives of agencies designated as sector/cluster leads are responsible for ensuring that the HC, OCHA and the Humanitarian Country Team are informed of the names and contact details of the individuals designated as sector/cluster coordinators and that they are kept regularly informed of any changes.
- ❑ In cases where stakeholders consider that a sector/cluster lead agency at the country level is not adequately carrying out its responsibilities, it is the responsibility of the HC to consult the Country Director/Representative of the agency/organization concerned and where necessary, following consultations with the Humanitarian Country Team, to propose alternative arrangements.

What is expected of sector/cluster partners?

- ❑ Humanitarian actors who participate in the development of common humanitarian action plans are expected to be proactive partners in assessing needs, developing strategies and plans for the sector, and implementing agreed priority activities. Provisions should also be made in sectoral groups for those humanitarian actors who may wish to participate as observers, mainly for information-sharing purposes.

How are sector/cluster leads expected to relate to local government structures?

- ❑ *"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)
- ❑ A key responsibility of sector/cluster leads at the country level is to ensure that humanitarian actors build on local capacities and maintain appropriate links with Government and local authorities, State institutions, civil society and other stakeholders. The nature of these links will depend on the situation in each country and the willingness and capacity of each of these actors to lead or participate in humanitarian activities.
- ❑ From the very outset of an emergency, it is the responsibility of sector/cluster leads to ensure close consultation with national authorities/counterparts on issues related to their respective sectors.
- ❑ By designating clear focal points within the international humanitarian community for all key sectors or areas of activity, the cluster approach should help governments and local authorities to know who to approach for support. This should help ensure more timely, predictable and adequate responses.

What sectors/clusters should be established and who should lead them?

- ❑ In terms of what sectors/clusters are established at the country level, this may differ from the set of sectors/clusters established at the global level. For example, there may be cases where particular sectors are merged (e.g. Health and Nutrition). There may also be cases where particular sectoral groups are not needed (e.g. Logistics or Emergency Telecommunications). Sector/cluster leads should only be designated for the sectors relevant to the emergency.
- ❑ In the case of Protection, at the global level there are focal point agencies for issues such as Gender Based Violence (UNFPA). Similar arrangements can be made at the country level, as appropriate.

- ❑ In terms of who should lead each of the sectors/clusters at the country level, to enhance predictability, where possible sector lead arrangements at the country level should be in line with the lead agency arrangements at the global level. This principle should, however, be applied flexibly, taking account of capacities and strengths of humanitarian organizations already in the country/region. This may mean that in some cases sector lead arrangements at the country level do not replicate those at the global level. In such cases, it is particularly important that sector/cluster leads at the country level consult and maintain good communications with the respective global cluster leads, to ensure that agreed global standards/procedures are applied and to help mobilize the necessary operational support from the global level.
- ❑ The designation of sector/cluster leads should be based on transparent consultations within the Humanitarian Country Team and should take account of existing operations and capacities.
- ❑ Any IASC member can be a sector/cluster lead; it does not have to be a UN agency.
- ❑ Early Recovery planning should be integrated into the work of all sectoral groups. For this reason, rather than establishing separate Early Recovery clusters/sectoral groups at the country level, it is recommended that each cluster nominate an Early Recovery focal point. The focal points should form a “network” to ensure joint planning and integrated response.
- ❑ To complement and support the clusters, thematic groups should also be established where needed to address priority cross-cutting issues.
- ❑ In some cases (e.g. where regional “hubs” have been established) NGOs or other humanitarian partners may act as sector focal points in parts of the country where they have a comparative advantage or where the cluster lead has no presence.
- ❑ In all instances clusters/sectoral groups at the country level should be inclusive of those organizations with real operational capacities in their respective sectors. They should be results-oriented, with a clear focus on ensuring adequate humanitarian response. This includes addressing any gaps that may exist in the overall response.

How long should sectors/clusters continue to function?

- ❑ The HC (or RC), in consultation with humanitarian partners, is responsible for adapting coordination structures over time, taking into consideration the capacities of the host Government, development partners, local organizations etc.
- ❑ Sector/cluster leads are responsible for ensuring the development of exit or transition strategies for their clusters. These strategies should be developed in close consultation with national authorities and development actors, in order to strengthen national coordination capacities. Some clusters may phase out or transition into other arrangements earlier than others.

STANDARD OPERATING PROCEDURES FOR DESIGNATING SECTOR/CLUSTER LEADS IN MAJOR NEW EMERGENCIES

At the onset of the emergency (if possible, within the first 24 hours):

Step 1. The HC (or RC, in countries where an HC has not been appointed) consults national authorities/counterparts and relevant IASC partners at the country level (NGOs, international organizations, the International Red Cross and Red Crescent Movement and UN agencies) to determine priority sectors or areas of activity for the emergency; which agencies are best placed to assume the role of sector/cluster lead for each one; what thematic groups are needed to address cross-cutting issues; and what support is needed from OCHA and other actors in terms of common tools and services.

Step 2. Based on these consultations, the HC (or RC) draws up a proposed list of sectors with designated sector/cluster leads for each. The HC (or RC) may also propose the establishment of thematic groups for particular priority cross-cutting issues. The HC (or RC) forwards this list to the Emergency Relief Coordinator (ERC), addressed to holmes@un.org, requesting endorsement within 24 hours from the full IASC at the global level.

Step 3. The ERC shares this proposal with the IASC, requesting endorsement or alternative proposals.

Within 24 hours of receiving the proposal from the HC (or RC)

Step 4. The ERC ensures agreement is reached within the IASC at the global level. Where agencies at the global level propose arrangements that differ from those initially proposed by the HC (or RC), the ERC consults the HC (or RC) and IASC further in order to reach agreement.

Step 5. The ERC communicates the decision reached to the HC (or RC) and all relevant partners at global level.

Step 6. The HC (or RC) informs the host government and all relevant country-level partners of agreed arrangements within the international humanitarian response. Common Humanitarian Action Plans and appeal documents should clearly state the agreed priority sectors and the designated leads for each.

*Prepared by the IASC Task Team on the Cluster Approach
Geneva, 23 May 2007*

NOTE D' ORIENTATION OPERATIONELLE POUR LA DESIGNATION DES RESPONSABLES DE GROUPES SECTORIELS POUR LES NOUVELLES URGENCES MAJEURES

La note d'orientation de l' IASC sur l'emploi de l'approche de responsabilité sectorielle (cluster approach) pour renforcer la réponse humanitaire (éditée en novembre 2006) fournit des recommandations détaillées sur l'approche de responsabilité sectorielle.

Pourquoi faut-il désigner des responsables sectoriels (cluster leads) pour les nouvelles urgences majeures?

- L'approche de responsabilité sectorielle vise à renforcer l'action humanitaire en garantissant de hauts standards de prévisibilité, de responsabilité et de partenariat dans tous les secteurs ou domaines d'activité.
- L'IASC a convenu que l'approche de responsabilité sectorielle devrait être employée pour tous les exercices de planification d'interventions dans le cadre de nouvelles urgences majeures, pour toutes les interventions liées aux nouvelles urgences majeures, et enfin, dans tous les pays dotés de Coordinateurs Humanitaires (CH).
- Lors d'une nouvelle urgence majeure, l'approche de responsabilité sectorielle exige la nomination de responsables sectoriels (cluster lead) le plus rapidement possible et ceci afin de garantir une réponse adéquate.

En quoi consiste une "nouvelle urgence majeure" ?

- Pour les besoins opérationnels de l' IASC, la définition d'une "nouvelle urgence majeure" est toute situation présentant des besoins humanitaires suffisamment complexes et à une échelle suffisamment vaste pour justifier une aide et des ressources extérieures importantes, et exigeant une réponse multi-sectorielle qui implique un large éventail d'intervenants humanitaires internationaux.

L'approche de responsabilité sectorielle peut-elle être utilisée dans les pays qui possèdent un Coordonnateur résident de l'ONU au lieu d'un Coordonnateur Humanitaire ?

- Oui. Utilisée déjà dans les pays dotés d'un Coordinateur Humanitaire, l'approche de responsabilité sectorielle peut être aussi employée dans des pays qui en sont démunis mais où le Coordonnateur Résident des Nations Unies (CR) assure la coordination de la réponse internationale à une nouvelle urgence majeure.

Qu'est-ce qu'un "responsable sectoriel" (sector/cluster lead) ?

- Un "responsable sectoriel" est une agence/organisation qui s'engage de façon formelle, au sein de la communauté humanitaire internationale, à prendre la direction d'un secteur/cluster domaine d'activité particulier, pour donner une réponse appropriée, en garantissant de hauts standards de prévisibilité, de responsabilité et de partenariat. Un "responsable sectoriel" s'engage à assumer le rôle "d'agence de dernier recours" dans le cadre de ce secteur/ domaine d'activité particulier, en cas de nécessité.
- Un 'cluster' est essentiellement un "groupe sectoriel" et les deux termes devraient présenter une totale similitude en matière d'objectifs et d'activités ; ils devraient viser tous deux à combler des lacunes et à garantir une préparation et une réponse appropriées.

Quelles sont les fonctions des responsables sectoriels (sector/cluster lead) et qui est responsable vis-a-vis du Coordinateur Humanitaire (CH)?

- Le responsable sectoriel de chaque secteur est une agence et non une personne. C'est pour cette raison qu'au niveau national, c'est le directeur/représentant du pays de l'agence/organisation nommé responsable sectoriel qui est chargé en dernier recours de veiller à la mise en œuvre efficace des activités de responsabilités sectorielles.
- Les fonctions spécifiques des responsables sectoriels au niveau du pays sont décrites de façon détaillée dans les termes de référence *génériques des responsables sectoriels* de l' IASC (Annexe 1 de la Note d'orientation sur la mise en œuvre de l'approche de responsabilité sectorielle pour améliorer la réponse humanitaire). Elles exposent pour tous les responsables sectoriels les normes minimales, y compris la nécessité de résoudre efficacement dans tous

les secteurs les questions interdisciplinaires prioritaires, telles que l'âge, la diversité, l'environnement, le genre, le VIH/SIDA et les droits de l'Homme. Les termes de référence génériques définis par l' IASC peuvent être éventuellement replacés dans son contexte et complétés, mais ne peuvent être réduits.

- ❑ Les responsables sectoriels au niveau national sont chargés de veiller à la nomination dans leur secteur respectif de points focaux pour le Relèvement précoce et pour les questions transversales prioritaires, afin de garantir la présence de ces questions dans les plans de travail et dans les appels de financement des secteurs concernés.
- ❑ Les responsables sectoriels au niveau national sont chargés de veiller au respect des normes, politiques et standards convenus au niveau mondial, et doivent considérer les groupes sectoriels mondiaux ('global cluster leads') comme une capacité d'appui qui peut être sollicitée pour fournir des conseils sur les standards, les politiques et les 'meilleures pratiques' globales, ainsi que pour fournir un appui opérationnel, des orientations et/ou des formations.
- ❑ Au niveau national, les agences responsables de groupes sectoriels sont chargées de désigner aux postes de coordinateurs sectoriels les individus qui ont l'expérience, les compétences et le savoir-faire nécessaire en matière d'animation de ces secteurs / clusters. Dans certains cas, il peut arriver que des agences responsables sectorielles aient besoin de nommer des coordinateurs de groupes sectoriels à plein temps sans responsabilités liées à la mise en œuvre de programmes/projets.
- ❑ Les directeurs/représentants nationaux des agences, nommés responsables sectorielles, sont chargés de veiller à ce que le CH, l'OCHA et l'équipe humanitaire de pays soient informés des noms et coordonnées complètes des personnes désignées comme coordinateurs sectoriels, et tenus informés régulièrement de leurs mises à jour.
- ❑ Lorsque des parties prenantes considèrent qu'une agence de responsabilité sectorielle (cluster lead agency) n'assume pas ses fonctions de façon adéquate, il incombe au CH de consulter le directeur/ représentant national de l'agence/organisation en question, et le cas échéant, à l'issue d'une concertation avec l'équipe humanitaire de pays, de proposer d'autres dispositions.

Qu'attend-on des partenaires sectoriels ?

- ❑ Les intervenants humanitaires qui participent à l'élaboration des plans d'action humanitaire communs (Common Humanitarian Action Plans - CHAP) doivent être des partenaires proactifs pour évaluer les besoins, élaborer les stratégies et les plans relevant du secteur, et mettre en œuvre les activités prioritaires qui ont été convenues. Il est aussi souhaitable de prévoir certaines dispositions au sein des groupes sectoriels pour ces intervenants humanitaires qui souhaitent éventuellement offrir leur participation en tant qu'observateurs, dans le cadre essentiellement du partage des informations.

Quelle est la nature des rapports que les responsables sectoriels (cluster leads) doivent établir avec les structures gouvernementales locales ?

- ❑ *"La première et fondamentale responsabilité de chaque Etat est de prendre soin des victimes des catastrophes naturelles et des autres situations d'urgence survenant sur son territoire. Par conséquent, le premier rôle revient à l'Etat concerné pour ce qui est de l'initiation, de l'organisation, de la coordination, et de la mise en œuvre de l'aide humanitaire dans les limites de son territoire."* (Résolution 46/182 AG)
- ❑ Les responsables sectoriels ('cluster lead') assument une fonction fondamentale au niveau national qui est de veiller à ce que les intervenants humanitaires s'appuient sur les capacités locales, tout en conservant des liens adéquats avec les autorités gouvernementales et locales, les institutions étatiques, la société civile et autres parties prenantes. La nature de ces liens dépendra de la conjoncture de chaque pays ainsi que de la volonté et de la capacité de chacun des intervenants de diriger des activités humanitaires ou d'y prendre part.
- ❑ Dès le déclenchement d'une situation d'urgence, il incombe aux responsables sectoriels de se concerter étroitement avec les autorités/contreparties nationales sur les questions liées à leurs secteurs respectifs.
- ❑ En nommant clairement des points focaux au sein de la communauté humanitaire internationale pour l'ensemble des secteurs ou domaines d'activité clés, l'approche de responsabilité sectorielle devrait aider les gouvernements et les autorités locales à savoir à

qui demander un appui, ce qui devrait améliorer la rapidité, la prévisibilité et l'adéquation des interventions.

Quels secteurs/ groupes sectoriels faut-il créer et qui doit en prendre la direction ?

- En ce qui concerne les secteurs/groupes sectoriels (cluster leads) à instituer au niveau d'un pays, ceux-ci peuvent être différents des secteurs/ groupes sectoriels qui existent à l'échelle mondiale. Par exemple, il peut y avoir dans certains cas des fusions de secteurs (comme par ex. la Santé et la Nutrition). On peut aussi rencontrer des cas où certains groupes sectoriels sont facultatifs (ex. la Logistique ou les Télécommunications d'urgence). La création de responsables sectoriels (cluster leads) ne devrait concerner que les secteurs liés à l'urgence.
- Dans le cas de la Protection, il existe au niveau mondial des agences qui sont des points focaux sur certaines questions comme la violence basée sur le sexe (FNUAP). Des dispositions similaires peuvent être prises au niveau national, si nécessaire.
- Afin de déterminer qui devrait prendre la direction de chacun des secteurs/ groupes sectoriels à l'échelle du pays, il est préférable que l'architecture des groupes sectoriels / clusters existante au niveau mondial soit, dans la mesure du possible, reprise pour établir la structure des secteurs/ groupes sectoriels au niveau national. Ce principe doit, néanmoins, s'appliquer d'une manière souple, notamment afin de tenir compte des capacités des organisations humanitaires déjà en place dans le pays/la région. Ceci peut signifier que dans certains cas, la structure de responsabilité sectorielle au niveau d'un pays ne reproduise pas exactement la structure existante au niveau mondiale. Dans un tel cas, il importe particulièrement que les responsables sectoriels au niveau national se concertent et conservent de bons rapports avec leur responsable sectoriel global, pour garantir l'application des normes/ procédures convenues au niveau global, et de manière à mobiliser l'appui opérationnel nécessaire sur un plan mondial.
- Les responsables sectoriels doivent être désignés sur la base d'une concertation transparente de l'équipe humanitaire de pays et en fonction des et des capacités opérationnelles existantes.
- Tout membre du IASC peut être responsable sectoriel sans pour autant être obligatoirement une agence de l'ONU.
- La planification du Relèvement précoce doit être incorporée dans le plan de travail de tous les groupes sectoriels. Plutôt que de créer séparément des groupes sectoriels de Relèvement précoce au niveau national, il est recommandé que chaque groupe sectoriel module désigne un point focal pour le Relèvement précoce. Les points focaux doivent constituer un « réseau » afin de garantir une planification et une réponse intégrée.
- Pour compléter et appuyer les groupes sectoriels /clusters, il peut être nécessaire, en cas de besoins, de créer des groupes thématiques afin de résoudre les questions transversales prioritaires.
- Dans certains cas, les responsables sectoriels peuvent attribuer à d'autres partenaires le rôle de point focal sectoriel dans les régions du pays où ils bénéficient d'un avantage comparatif ou lorsque le responsable sectoriel n'est pas représenté. Ces points focaux demeurent sous l'égide du responsable sectoriel.
- Dans tous les cas, les groupes sectoriels nationaux doivent intégrer les organisations qui sont dotées de capacités opérationnelles réelles dans leur(s) secteur(s) respectif(s). Le travail de chaque groupe sectoriel / cluster doit être sous tendu par l'obtention de résultats humanitaires adéquats. Ceci implique de combler les éventuelles lacunes existantes dans la réponse sectorielle au niveau national.

Pendant combien de temps les secteurs/ clusters devraient continuer à opérer ?

- Le CH (ou CR), en accord avec les partenaires humanitaires, est chargé de l'adaptation des structures de coordination, en tenant compte des capacités du Gouvernement d'accueil, des partenaires de développement, des organisations locales, etc.
- Les responsables sectoriels / des clusters sont chargés de l'élaboration des stratégies de retrait ou de transition de leurs groupes sectoriels, en étroite collaboration avec les autorités nationales et les intervenants, dans le but de renforcer les capacités de coordination nationale. Certains groupes sectoriels / clusters peuvent éventuellement déboucher plus rapidement sur d'autres dispositions.

**PROCEDURE OPERATIONNELLE STANDARD
REGISSANT L'INTRODUCTION DE L'APPROCHE DE RESPONSABILITE SECTORIELLE (CLUSTER
APPROACH) LORS DES NOUVELLES URGENCES MAJEURES**

Au tout début de la situation d'urgence (si possible, dans les premières vingt quatre heures) :

Phase 1. Le CH (ou CR, dans les pays dépourvus de CH) consulte les autorités/contreparties nationales ainsi que les partenaires nationaux de référence du IASC (ONG, organisations internationales, la Croix-Rouge Internationale et le Mouvement du Croissant-Rouge et les organismes de l'ONU) afin de déterminer les secteurs ou domaines d'activité prioritaires de l'urgence, les organismes les mieux placés pour assumer la fonction de responsable sectoriel, les groupes thématiques requis pour résoudre les questions transversales, ainsi que la nature de l'appui que l'OCHA et d'autres acteurs doivent apporter en termes d'outils et de services communs.

Phase 2. A partir de ces consultations, le CH (ou CR) propose une liste des secteurs et de leurs responsables sectoriels respectifs. Le CH (ou CR) peut également proposer de créer des groupes thématiques pour certaines questions interdisciplinaires prioritaires. Le CH (ou CR) transmet ladite liste au Coordonnateur des Secours d'Urgence (ERC), à l'adresse courriel holmes@un.org, afin d'obtenir sous 24 heures l'aval global du IASC.

Phase 3. Le ERC échange cette proposition avec l'IASC, en sollicitant son aval ou d'autres propositions alternatives.

Dans le délai de 24 heures à compter de la réception de la proposition du CH (ou CR)

Phase 4. Le ERC veille à ce qu'un accord soit trouvé au sein de l'IASC à l'échelle mondiale. Si les membres de l'IASC au niveau global proposent d'autres conditions que celles initialement proposées par le CH (ou CR), le ERC consulte le CH (ou CR) et l'IASC dans le but d'aboutir à un accord.

Phase 5. Le ERC communique la décision obtenue au CH (ou CR) ainsi qu'à tous les partenaires concernés au niveau global.

Phase 6. Le CH communique au gouvernement d'accueil et à tous les partenaires nationaux concernés les dispositions convenues pour animer la réponse humanitaire internationale dans le cadre de l'approche de responsabilité sectorielle (cluster approach) ainsi agréée. Les plans d'action humanitaire communs (Common Humanitarian Action Plans - CHAP) et les documents d'appel consolidés inter-agence (Consolidated Appeal Process) doivent clairement énoncer les secteurs / clusters prioritaires convenus et leurs responsables respectifs.

Rédaction de l'équipe de travail du IASC (IASC Task Team) sur le thème de l'approche de responsabilité sectorielle. Genève, le 23 mai 2007.

OPERATIONAL GUIDANCE ON DESIGNATING SECTOR/CLUSTER LEADS IN ONGOING EMERGENCIES

Inter-Agency Standing Committee (IASC)

Detailed guidance on the cluster approach is provided in the *IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response (November 2006)*.

Why is there a need to designate sector/cluster leads in ongoing emergencies?

- The aim of the cluster approach is to strengthen humanitarian response by ensuring high standards of predictability, accountability and partnership in all sectors or areas of activity.
- The IASC has agreed that the cluster approach should be used in all contingency planning for major new emergencies; in all responses to major new emergencies; and eventually in all countries with Humanitarian Coordinators.
- In ongoing emergencies, the IASC has agreed that introduction of the cluster approach should be a field-driven process, to ensure full ownership by humanitarian actors in the countries concerned.

What is a "sector/cluster lead"?

- A "cluster lead" is an agency/organization that formally commits to take on a leadership role within the international humanitarian community in a particular sector/area of activity, to ensure adequate response and high standards of predictability, accountability & partnership. A "cluster lead" takes on the commitment to act as the "provider of last resort" in that particular sector/area of activity, where this is necessary.
- A "cluster" is essentially a "sectoral group" and there should be no differentiation between the two in terms of their objectives and activities; the aim of filling gaps and ensuring adequate preparedness and response should be the same.

What are the responsibilities of sector/cluster leads and who is accountable to the HC?

- The sector/cluster lead for any given sector is an agency, not a person. For that reason, at the country level it is the Country Director/Representative of the agency/organization designated as sector/cluster lead who is ultimately accountable to the HC for ensuring that relevant sector/cluster leadership activities are carried out effectively.
- The specific responsibilities of sector/cluster leads are described in detail in the *IASC Generic Terms of Reference for Sector/Cluster Leads (Annex 1 of the Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response)*. These lay out minimum standards for all sector/cluster leads, including the need to ensure that agreed priority cross-cutting issues such as age, diversity, environment, gender, HIV/AIDS and human rights are effectively addressed in all sectors. The IASC Generic Terms of Reference may be contextualized and added to, but may not be reduced.
- Sector/cluster leads are responsible for ensuring that within their sectors focal points are nominated for Early Recovery and for agreed priority cross-cutting issues, as appropriate, to ensure that these issues are included in sector work plans and appeals.
- Sector/cluster leads at the country level are responsible for ensuring adherence to norms, policies and standards agreed at the global level and should treat the global level clusters as a resource that can be called upon for advice on global standards, policies and 'best practice', as well as for operational support, general guidance and training programmes.
- Sector/cluster lead agencies at the country level are responsible for appointing appropriate individuals, with the necessary seniority, facilitation skills and expertise to be the sector/cluster coordinators. In some cases, there may be a need for sector/cluster lead agencies to appoint dedicated, full-time sector/cluster coordinators with no other programme responsibilities.
- Country Directors/Representatives of agencies designated as sector/cluster leads are

responsible for ensuring that the HC, OCHA and the Humanitarian Country Team are informed of the names and contact details of the individuals designated as sector/cluster coordinators and that they are kept regularly informed of any changes.

- In cases where stakeholders consider that a sector/cluster lead agency at the country level is not adequately carrying out its responsibilities, it is the responsibility of the HC to consult the Country Director/Representative of the agency/organization concerned and where necessary, following consultations with the Humanitarian Country Team, to propose alternative arrangements.

What is expected of sector/cluster partners?

- Humanitarian actors who participate in the development of common humanitarian action plans are expected to be proactive partners in assessing needs, developing strategies and plans for the sector, and implementing agreed priority activities. Provisions should also be made in sectoral groups for those humanitarian actors who may wish to participate as observers, mainly for information-sharing purposes.

How are sector/cluster leads expected to relate to local government structures?

- "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)
- A key responsibility of sector/cluster leads at the country level is to ensure that humanitarian actors build on local capacities and maintain appropriate links with Government and local authorities, State institutions, civil society and other stakeholders. The nature of these links will depend on the situation in each country and the willingness and capacity of each of these actors to lead or participate in humanitarian activities.
- By designating clear focal points within the international humanitarian community for all key sectors or areas of activity, the cluster approach should help governments and local authorities to know who to approach for support. This should help ensure more timely, predictable and adequate responses.
- In ongoing emergencies, it is the responsibility of sector/cluster leads to ensure that national authorities/counterparts are fully briefed on the ongoing humanitarian reform process and that they are closely consulted on issues related to their respective sectors.

What sectors/clusters should be established and who should lead them?

- In terms of what sectors/clusters are established at the country level, this may differ from the set of sectors/clusters established at the global level. For example, there may be cases where particular sectors are merged (e.g. Health and Nutrition). There may also be cases where particular sectoral groups are not needed (e.g. Logistics or Emergency Telecommunications). Sector/cluster leads should only be designated for the sectors relevant to the emergency.
- In the case of Protection, at the global level there are focal point agencies for issues such as Gender Based Violence (UNFPA). Similar arrangements can be made at the country level, as appropriate.
- In terms of who should lead each of the sectors/clusters at the country level, to enhance predictability, where possible sector lead arrangements at the country level should be in line with the lead agency arrangements at the global level. This principle should, however, be applied flexibly, taking account of capacities and strengths of humanitarian organizations already in the country/region. This may mean that in some cases sector lead arrangements at the country level do not replicate those at the global level. In such cases, it is particularly important that sector/cluster leads at the country level consult and maintain good communications with the respective global cluster leads, to ensure that agreed global standards/procedures are applied and to help mobilize the necessary operational support from the global level.
- The designation of sector/cluster leads should be based on transparent consultations within the Humanitarian Country Team and should take account of existing operations and capacities.
- Any IASC member can be a sector/cluster lead; it does not have to be a UN agency.

- ❑ Early Recovery planning should be integrated into the work of all sectoral groups. For this reason, rather than establishing separate Early Recovery clusters/sectoral groups at the country level, it is recommended that each cluster nominate an Early Recovery focal point. The focal points should form a “network” to ensure joint planning and integrated response.
- ❑ To complement and support the clusters, thematic groups should also be established where needed to address priority cross-cutting issues.
- ❑ In some cases, sector/cluster leads may designate other partners to act as sector/cluster focal points in parts of the country where they have a comparative advantage or where the sector/cluster lead has no presence. These focal points remain under the overall leadership of the sector/cluster lead.
- ❑ In all instances clusters/sectoral groups at the country level should be inclusive of those organizations with real operational capacities in their respective sectors. They should be results-oriented, with a clear focus on ensuring adequate humanitarian response. This includes addressing any gaps that may exist in the overall response.

How long should sectors/clusters continue to function?

- ❑ The HC (or RC), in consultation with humanitarian partners, is responsible for adapting coordination structures over time, taking into consideration the capacities of the host Government, development partners, local organizations etc.
- ❑ Sector/cluster leads are responsible for developing exit, or transition strategies for their clusters. These strategies should be developed in close consultation with national authorities and development actors, in order to strengthen national coordination capacities. Some clusters may phase out or transition into other arrangements earlier than others.

STANDARD OPERATING PROCEDURES FOR INTRODUCING THE CLUSTER APPROACH IN ONGOING EMERGENCIES

Step 1. The HC ensures that the Humanitarian Country Team, government counterparts, national NGOs and other stakeholders are fully briefed on and familiar with the principles of the cluster approach. This includes ensuring that the IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response is widely disseminated. Where necessary, the HC should arrange for special meetings or workshops to discuss the cluster approach and other aspects of the humanitarian reform process.

Step 2. The HC facilitates discussions with national authorities/counterparts and a transparent consultative process amongst humanitarian partners to assess needs, operational gaps and response capacities (including those of the government, local authorities, and local civil society).

Step 3. Based on these consultations and this assessment of needs, operational gaps and response capacities, the Humanitarian Country Team, under the leadership of the HC, determines priority sectors or areas of activity for the emergency; which agencies are best placed to assume the role of sector/cluster lead within the international humanitarian community for each one; what thematic groups are needed to address cross-cutting issues; and what support is needed from OCHA and other actors in terms of common tools and services. In some cases, few or no changes to the existing structure may be needed. In other cases, changes may be needed to address “gap” areas and to enhance predictability and accountability. Before proposing new arrangements to the ERC, the HC should ensure that: (1) lead agencies at the country level consult their respective Headquarters; and (2) agencies with global sector/cluster lead responsibilities are consulted (at both the country level and Headquarters level) concerning their respective sectors. The HC may also propose the establishment or realignment of thematic groups for particular priority cross-cutting issues.

Step 4. The HC informs the ERC of any changes that are made at the country level in the process of introducing the cluster approach. This is to help agencies’ Headquarters to plan their activities and undertake the necessary resource mobilization efforts, particularly where major gaps are identified and significant additional response capacity is needed. If in the process of introducing the cluster approach no new sector/cluster leads are designated, the HC should inform the ERC of this, while confirming that the cluster approach will be applied in order to ensure high standards of predictability, accountability and partnership in all sectors.

Step 5. The ERC shares the proposal with the IASC with a request for endorsement or alternative proposals within one week. The ERC ensures agreement is reached within the IASC at the global level. Where agencies at the global level propose arrangements that differ from those initially proposed, the ERC consults the HC and IASC further in order to reach agreement.

Step 6. The HC informs the host government and all relevant country-level partners of agreed arrangements within the international humanitarian response. Common Humanitarian Action Plans and appeal documents should clearly state the agreed priority sectors and the designated leads for each.

*Prepared by the IASC Task Team on the Cluster Approach
Geneva, 23 May 2007*

NOTE D' ORIENTATION OPERATIONNELLE POUR LA DESIGNATION DES RESPONSABLES DE GROUPES SECTORIELS POUR LES URGENCES EN COURS

La Note d'orientation du IASC sur l'emploi de l'approche de responsabilité sectorielle pour renforcer la réponse humanitaire (éditée en novembre 2006) fournit des recommandations détaillées sur l'approche de responsabilité sectorielle.

Pourquoi faut-il désigner des responsables sectoriels (cluster leads) pour les urgences en cours?

- L'approche de responsabilité sectorielle vise à renforcer l'action humanitaire en garantissant de hauts standards de prévisibilité, de responsabilité et de partenariat dans tous les secteurs ou domaines d'activité.
- L'IASC a convenu que l'approche de responsabilité sectorielle devrait être employée pour toutes les planifications d'intervention d'urgence dans le cadre des nouvelles urgences majeures, pour toutes les interventions liées aux nouvelles urgences majeures, et enfin, dans tous les pays dotés de Coordonnateurs Humanitaires (CH).
- Pour les urgences en cours l'IASC a décidé que l'introduction de l'approche de responsabilité sectorielle devrait être un processus émanant du terrain de façon à ce que les intervenants humanitaires des pays concernés soient assurés d'en avoir la pleine maîtrise.

Qu'est-ce qu'un "responsable sectoriel" (sector/cluster lead) ?

- Un "responsable sectoriel" est une agence/organisation qui s'engage de façon formelle, au sein de la communauté humanitaire internationale, à prendre la direction d'un secteur/cluster domaine d'activité particulier, pour donner une réponse appropriée, en garantissant de hauts standards de prévisibilité, de responsabilité et de partenariat. Un "responsable sectoriel" s'engage à assumer le rôle "d'agence de dernier recours" dans le cadre de ce secteur/ domaine d'activité particulier, en cas de nécessité.
- Un 'cluster' est essentiellement un "groupe sectoriel" et les deux termes devraient présenter une totale similitude en matière d'objectifs et d'activités ; ils devraient viser tous deux à combler des lacunes et à garantir une préparation et une réponse appropriées.

Quelles sont les fonctions des responsables sectoriels (sector/cluster lead) et qui est responsable vis-a-vis du CH ?

- Le responsable sectoriel de chaque secteur est une agence et non une personne. C'est pour cette raison qu'au niveau national, c'est le directeur/représentant du pays de l'agence/organisation nommé responsable sectoriel qui est chargé en dernier recours de veiller à la mise en œuvre efficace des activités de responsabilités sectorielles.
- Les fonctions spécifiques des responsables sectoriels au niveau du pays sont décrites de façon détaillée dans les termes de référence *génériques des responsables sectoriels* du IASC (*Annexe 1 de la Note d'orientation sur la mise en œuvre de l'approche de responsabilité sectorielle pour améliorer la réponse humanitaire*). Elles exposent pour tous les responsables sectoriels les normes minimales, y compris la nécessité de résoudre efficacement dans tous les secteurs les questions interdisciplinaires dont la priorité a été établie, telles que l'âge, la diversité, l'environnement, le genre, le VIH/SIDA et les droits de l'Homme. Les termes de référence génériques définis par le IASC peuvent être éventuellement replacés dans son contexte et complétés, mais ne peuvent être réduits.
- Les responsables sectoriels au niveau national sont chargés de veiller à la nomination dans leur secteur respectif de points focaux pour le Relèvement précoce et pour les questions transversales dont la priorité a été établie, afin de garantir la présence de ces questions dans les plans de travail et dans les appels de financement des secteurs concernés.
- Les responsables sectoriels au niveau national sont chargés de veiller au respect des normes, politiques et standards convenus au niveau mondial, et doivent considérer les groupes sectoriels mondiaux (global cluster leads) comme une capacité d'appui qui peut être sollicitée pour fournir des conseils sur les standards, les politiques et les 'meilleures pratiques' globales, ainsi que pour fournir un appui opérationnel, des orientations et/ou des

formations.

- Au niveau national, les agences responsables de groupes sectoriels sont chargées de désigner aux postes de coordinateurs sectoriels les individus qui ont l'expérience, les compétences et le savoir-faire nécessaire en matière d'animation de ces secteurs / clusters. Dans certains cas, il peut arriver que des agences responsables sectorielles aient besoin de nommer des coordinateurs de groupes sectoriels à plein temps sans responsabilités liées à la mise en œuvre de programmes/projets.
- Les directeurs/représentants nationaux des agences, nommés responsables sectorielles, sont chargés de veiller à ce que le CH, l'OCHA et l'équipe humanitaire de pays soient informés des noms et coordonnées complètes des personnes désignées comme coordinateurs sectoriels, et tenus informés régulièrement de leurs mises à jour.
- Lorsque des parties prenantes considèrent qu'une agence de responsabilité sectoriel (cluster lead agency) n'assume pas ses fonctions de façon adéquate, il incombe au CH de consulter le directeur/ représentant national de l'agence/organisation en question, et le cas échéant, à l'issue d'une concertation avec l'équipe humanitaire de pays, de proposer d'autres dispositions.

Qu'attend-on des partenaires sectoriels ?

- Les intervenants humanitaires qui participent à l'élaboration des plans d'action humanitaire communs (Common Humanitarian Action Plans - CHAP) doivent être des partenaires proactifs pour évaluer les besoins, élaborer les stratégies et les plans relevant du secteur, et mettre en œuvre les activités prioritaires qui ont été convenues. Il est aussi souhaitable de prévoir certaines dispositions au sein des groupes sectoriels pour ces intervenants humanitaires qui souhaitent éventuellement offrir leur participation en tant qu'observateurs, dans le cadre essentiellement du partage des informations.

Quelle est la nature des rapports que les responsables sectoriels doivent établir avec les structures gouvernementales locales ?

- "La première et fondamentale responsabilité de chaque Etat est de prendre soin des victimes des catastrophes naturelles et des autres situations d'urgence survenant sur son territoire. Par conséquent, le premier rôle revient à l'Etat concerné pour ce qui est de l'initiation de l'organisation, de la coordination, et de la mise en œuvre de l'aide humanitaire dans les limites de son territoire." (Résolution 46/182 AG)*
- Les responsables sectoriels (cluster leads) assument une fonction fondamentale au niveau national qui est de veiller à ce que les intervenants humanitaires s'appuient sur les capacités locales, tout en conservant des liens adéquats avec les autorités gouvernementales et locales, les institutions étatiques, la société civile et autres parties prenantes. La nature de ces liens dépendra de la conjoncture de chaque pays ainsi que de la volonté et de la capacité de chacun des intervenants de diriger des activités humanitaires ou d'y prendre part.
- En nommant clairement des points focaux au sein de la communauté humanitaire internationale pour l'ensemble des secteurs ou domaines d'activité clés, l'approche de responsabilité sectorielle devrait aider les gouvernements et les autorités locales à savoir à qui demander un appui, ce qui devrait améliorer la rapidité, la prévisibilité et l'adéquation des interventions.
- Dans le cas d'urgences en cours, il incombe aux responsables sectoriels (cluster leads) de veiller à ce que les autorités/contreparties nationales aient une information complète sur le processus de réforme humanitaire et qu'elles soient étroitement consultés sur les questions en rapport avec leurs secteurs respectifs.

Quels secteurs/ groupes sectoriels faut-il créer et qui doit en prendre la direction ?

- En ce qui concerne les secteurs/groupes sectoriels (cluster leads) à instituer au niveau d'un pays, ceux-ci peuvent être différents des secteurs/ groupes sectoriels qui existent à l'échelle mondiale. Par exemple, il peut y avoir dans certains cas des fusions de secteurs (comme par ex. la Santé et la Nutrition). On peut aussi rencontrer des cas où certains groupes sectoriels sont facultatifs (ex. la Logistique ou les Télécommunications d'urgence). La création de responsables sectoriels (cluster leads) ne devrait concerner que les secteurs liés à l'urgence.
- Dans le cas de la Protection, il existe au niveau mondial des agences qui sont des points focaux sur certaines questions comme la violence basée sur le sexe, FNUAP). Des dispositions

similaires peuvent être prises au niveau national, si nécessaire.

- Afin de déterminer qui devrait prendre la direction de chacun des secteurs/ groupes sectoriels à l'échelle du pays, il est préférable que l'architecture des groupes sectoriels / clusters existante au niveau mondial soit, dans la mesure du possible, reprise pour établir la structure des secteurs/ groupes sectoriels au niveau national. Ce principe doit, néanmoins, s'appliquer d'une manière souple, notamment afin de tenir compte des capacités des organisations humanitaires déjà en place dans le pays/la région. Ceci peut signifier que dans certains cas, la structure de responsabilité sectorielle au niveau d'un pays ne reproduise pas exactement la structure existante au niveau mondiale. Dans un tel cas, il importe particulièrement que les responsables sectoriels au niveau national se concertent et conservent de bons rapports avec leur responsable sectoriel global, pour garantir l'application des normes/ procédures convenues au niveau global, et de manière à mobiliser l'appui opérationnel nécessaire sur un plan mondial.
- Les responsables sectoriels doivent être désignés sur la base d'une concertation transparente de l'équipe humanitaire de pays et en fonction des et des capacités opérationnelles existantes.
- Tout membre du IASC peut être responsable sectoriel sans pour autant être obligatoirement une agence de l'ONU.
- La planification du Relèvement précoce doit être incorporée dans le plan de travail de tous les groupes sectoriels. Plutôt que de créer séparément des groupes sectoriels de Relèvement précoce au niveau national, il est recommandé que chaque groupe sectoriel module désigne un point focal pour le Relèvement précoce. Les points focaux doivent constituer un « réseau » afin de garantir une planification et une réponse intégrée.
- Pour compléter et appuyer les groupes sectoriels /clusters, il peut être nécessaire, en cas de besoins, de créer des groupes thématiques afin de résoudre les questions transversales prioritaires.
- Dans certains cas, les responsables sectoriels peuvent attribuer à d'autres partenaires le rôle de point focal sectoriel dans les régions du pays où ils bénéficient d'un avantage comparatif ou lorsque le responsable sectoriel n'est pas représenté. Ces points focaux demeurent sous l'égide du responsable sectoriel.
- Dans tous les cas, les groupes sectoriels nationaux doivent intégrer les organisations qui sont dotées de capacités opérationnelles réelles dans leur(s) secteur(s) respectif(s). Le travail de chaque groupe sectoriel / cluster doit être sous tendu par l'obtention de résultats humanitaires adéquats. Ceci implique de combler les éventuelles lacunes existantes dans la réponse sectorielle au niveau national.

Pendant combien de temps les secteurs/ clusters devraient continuer à opérer ?

- Le CH (ou CR), en accord avec les partenaires humanitaires, est chargé de l'adaptation des structures de coordination, en tenant compte des capacités du Gouvernement d'accueil, des partenaires de développement, des organisations locales, etc.
- Les responsables sectoriels / des clusters sont chargés de l'élaboration des stratégies de retrait ou de transition de leurs groupes sectoriels, en étroite collaboration avec les autorités nationales et les intervenants, dans le but de renforcer les capacités de coordination nationale. Certains groupes sectoriels / clusters peuvent éventuellement déboucher plus rapidement sur d'autres dispositions.

**PROCEDURE OPERATIONNELLE STANDARD
REGISSANT L'INTRODUCTION DE L'APPROCHE DE RESPONSABILITE SECTORIELLE (CLUSTER
APPROACH) LORS DES URGENCES EN COURS**

Phase 1. Le Coordinateur Humanitaire (CH) veille à ce que l'équipe humanitaire de pays, les contreparties gouvernementales, les ONG nationales et les autres parties prenantes reçoivent une information complète sur les principes de l'approche de responsabilité sectorielle (cluster approach) et qu'elles en aient une bonne connaissance, ce qui implique d'assurer la large diffusion de la Note d'orientation du IASC sur l'emploi de l'approche de responsabilité sectorielle pour renforcer la réponse humanitaire. Si le besoin se fait ressentir, le CH sera tenu d'organiser des réunions ou des ateliers spéciaux pour débattre de l'approche de responsabilité sectorielle et d'autres facettes du processus de la réforme humanitaire.

Phase 2. Le CH facilite le dialogue avec les autorités/contreparties nationales et assure la transparence du processus de concertation des partenaires humanitaires afin d'évaluer les besoins, les lacunes opérationnelles et les capacités d'intervention (dont celles du gouvernement, des autorités et de la société civile locales).

Phase 3. A partir de ces consultations et de cette évaluation des besoins, des lacunes opérationnelles et des capacités d'intervention, l'équipe humanitaire de pays, sous la direction du CH, détermine les secteurs ou domaines d'activité prioritaires de l'urgence, les organismes les mieux placés pour assumer la fonction de responsable sectoriel au sein de la communauté humanitaire internationale, les groupes thématiques requis pour résoudre les questions interdisciplinaires, ainsi que la nature de l'appui que l'OCHA et d'autres acteurs doivent apporter en termes d'outils et de services communs. Dans certains cas, la structure existante exigera peu de changements, voire aucun. Dans d'autres, certains changements pourront s'avérer nécessaires pour combler les lacunes et améliorer la prévisibilité et la responsabilité. Avant de proposer de nouvelles conditions au Coordinateur des Secours d'Urgence (Emergency Relief Coordinator - ERC), le CH doit veiller à : (1) ce que les agences pressenties pour exercer une responsabilité sectorielle (cluster lead agency) au niveau national consultent leur siège respectif ; et (2) à ce que les agences remplissant des fonctions de responsabilité sectorielle à l'échelle globale (global cluster lead) soient consultées (à la fois sur le plan national et au niveau des sièges) à propos de leurs secteurs respectifs. Le CH peut aussi proposer la création ou le réalignement de groupes thématiques pour certaines questions interdisciplinaires prioritaires.

Phase 4. Le CH tient le ERC informé de tout changement intervenant au niveau du pays dans le processus de présentation de l'approche de responsabilité sectorielle, dans le but d'aider les sièges des agences à programmer leurs activités et à fournir les efforts nécessaires pour la mobilisation des ressources, notamment lorsque des lacunes importantes sont identifiées et qu'un accroissement significatif de la capacité de réponse s'impose. Si aucun nouveau responsable sectoriel n'est désigné lors du processus de présentation de l'approche de responsabilité sectorielle, il faudrait que le CH en informe le ERC, tout en confirmant que l'approche de responsabilité sectorielle sera mise en application afin de garantir de hauts standards de prévisibilité, de responsabilité et de partenariat dans tous les secteurs.

Phase 5. Le ERC échange la proposition avec le IASC, et attend son aval ou ses autres propositions dans le délai d'une semaine. Le ERC veille à ce qu'un accord soit trouvé au sein de l'IASC à l'échelle mondiale. Si des agences au niveau mondial proposent d'autres dispositions que celles initialement proposées, le ERC se tournera vers le CH et l'IASC afin d'aboutir à un accord acceptable aux deux.

Phase 6. Le CH communique au gouvernement d'accueil et à tous les partenaires nationaux concernés les dispositions convenues pour animer la réponse humanitaire internationale dans le cadre de l'approche de responsabilité sectorielle (cluster approach) ainsi agréée. Les plans d'action humanitaire communs (Common Humanitarian Action Plans - CHAP) et les documents d'appel consolidés inter-agence (Consolidated Appeal Process) doivent clairement énoncer les secteurs / clusters prioritaires convenus et leurs responsables respectifs.

Rédaction de l'équipe de travail du IASC (IASC Task Team) sur le thème de l'approche de responsabilité sectorielle. Genève, le 23 mai 2007

OPERATIONAL GUIDANCE ON RESPONSIBILITIES OF CLUSTER/SECTOR LEADS & OCHA IN INFORMATION MANAGEMENT

Detailed guidance on the cluster approach is provided in the IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response, 24 November 2006. The *IASC Generic Terms of Reference for Cluster/Sector Leads at the Country Level* includes a requirement that Cluster/Sector leads at country level ensure “effective information sharing (with OCHA support)”. The following Operational Guidance is intended for use at the country level to help Cluster/Sector leads, OCHA and humanitarian partners ensure that relevant information related to a humanitarian emergency is provided to the right person at the right time in a usable form to facilitate situational understanding and decision-making.

Cluster/Sector leads and OCHA at the country level should aim to ensure that information management (IM) activities support national information systems, standards, build local capacities and maintain appropriate links with relevant Government, State and local authorities. Cluster/Sector leads and OCHA should thus seek to strengthen, not replace or diminish national efforts including those of institutions not part of the Cluster or Government.

Who is responsible for information management in emergencies?

- The responsibility for ensuring appropriate IM needed for an effective and coordinated *intra*-cluster response rests with the Cluster Lead Agency.*
- The responsibility for ensuring appropriate IM needed for an effective and coordinated *inter*-cluster response rests with OCHA.

How does information management support effective humanitarian response in emergencies?

- IM improves the capacity of stakeholders for analysis and decision making through strengthened collection, processing, interpretation and dissemination of information at the *intra* and *inter*-cluster level. *Information is in this sense the foundation on which decision-making for a coordinated and effective response is based.*
- Strong IM, carried out in support of coordination processes in a given emergency, will ensure that the relevant actors are working with the same or complementary information and baseline data, and that this information is as relevant, accurate and timely as possible. Properly collected and managed data during emergencies, are furthermore, to the benefit of early recovery, recovery and later development and disaster preparedness activities.

What are the information management responsibilities of Cluster/Sector leads at the country level?

- Cluster/Sector lead agencies shall allocate the necessary human and financial resources for IM. Each cluster shall appoint an IM focal point, who should have sufficient expertise and an ability to work with different partners and clusters.
- While it is important that there is one IM focal point per Cluster/Sector, humanitarian partners are encouraged to share IM resources and capacities within and across clusters at the country level where appropriate to promote harmonization and economies of scale.
- Cluster/Sector IM focal points should contribute to inter-cluster IM coordination led by OCHA, and support efforts to ensure coherence and coordination between *intra* and *inter* cluster information management initiatives.
- Cluster/Sector IM focal points are responsible for ensuring adherence to global—and taking into account national—IM norms, policies and standards. Global level clusters and OCHA can be called upon for IM expertise, operational support, general guidance, training materials and funds as appropriate.
- Cluster/Sector IM focal points will work with OCHA to establish the systems and processes needed for effective information sharing with cluster partners related to inter-cluster

* The term 'information management' covers 'the various stages of information processing from production to storage and retrieval to dissemination towards the better working of an organization; information can be from internal and external sources and in any format.' Association for Information Management 2005, <http://www.aslib.co.uk> [accessed 16 July 2007]

- coordination and cross-cluster programming.
- Cluster/Sector leads are responsible for generating up-to-date cluster specific information (e.g. contact lists, meeting minutes, standard forms, policy or technical guidance, datasets, needs/gap analysis, etc.) and sharing it with OCHA in order to support inter-cluster data sharing.
- If needed, Cluster/Sector leads are responsible for establishing a data confidentiality and privacy policy within their cluster, which ensures that sensitive, personally identifiable datasets are suitably anonymized.
- Cluster/Sector leads should ensure all information is age and sex disaggregated where appropriate.

What are the information management responsibilities of OCHA at the country level?

- Providing information products and services to the humanitarian community is an important part of OCHA's coordination role in both new and ongoing emergencies. OCHA will allocate appropriate IM resources, according to the nature and scope of the emergency.
- OCHA will suggest standards that allow for datasets and databases to be compatible in order to support inter-operability of data.
- The minimum set of predictable standardized information products to be produced in collaboration with clusters/sectors and made available to all are:
 - Contact directories of humanitarian partners and IM focal points;
 - Meeting schedules, agendas and minutes of coordination meetings chaired by the Humanitarian Coordinator or OCHA;
 - Who does What Where (3W) database and derivative products, such as maps;
 - Inventory of relevant documents on the humanitarian situation, i.e. mission reports, assessments, evaluations, etc;
 - Inventory of relevant common Cluster/Sector data sets, including population data disaggregated by age and sex;[†]
 - Data on the humanitarian requirements and contributions (through FTS);[‡]
 - A country-specific or disaster specific humanitarian web-portal;
 - Situation Reports; and
 - Mapping products.
- The minimum services to be provided or made available to clusters/sectors are:
 - A space where the humanitarian community can access information resources;
 - Maintenance of common datasets that are used by the majority of sectors/clusters;
 - Geospatial data and analysis relevant to inter-cluster/sector decision making;
 - Management of the collection and dissemination of all *inter*-cluster information;
 - Advocacy for data and information sharing within the humanitarian community as well as the adoption of global data standards;
 - Provision of technical IM advice to clusters/sectors on survey design for needs assessments and/or other significant external data collection exercises; and
 - Access to schedules, agendas and minutes of cluster/sector coordination meetings.
- OCHA will also aim to provide standardized cross-cluster needs/gap analysis based on information provided by the clusters.
- OCHA is responsible for establishing an Information Management Working Group at the country level in order to coordinate IM activities and support sectors/clusters in their IM activities, including the promotion of best practices.
- In determining OCHA's IM response, OCHA will be cognisant of those organizations with in-country IM operational capacities willing to support *inter*-cluster humanitarian response throughout the emergency.

What is the role of the Information Management Working Group at the country level?

[†] **Minimum Common Operational Datasets.** Political/Administrative boundaries (Country boundaries, Admin level 1, Admin level 2, Admin level 3, Admin level 4, 1:250K): Populated places (with attributes including: latitude/longitude, alternative names, population figures, classification) Settlements 1:100K – 1:250K: Transportation network Roads; Railways 1:250K: Transportation infrastructure; Airports/Helipads Seaports, 1:250K: Hydrology; Rivers, Lakes, 1:250K: City maps, Scanned city maps, 1:10K..

[‡] United Nations Financial Tracking Services. For more information visit: <http://ocha.unog.ch/fts2/>

- The role of the Information Management Working Group (WG) at the country level is to build on existing relevant information systems in place in-country and support the Government's efforts to coordinate and harmonize IM activities of all humanitarian partners.
- Through the Humanitarian Country Team the WG will support efforts to achieve consensus on authoritative common data sets disaggregated by sex and age. All partners will be informed accordingly concerning numbers and definitions of beneficiaries, administrative boundaries and operational areas.
- The WG should aim to be representative of all clusters/sectors, including national authorities.

What is expected of Cluster/Sector partners at the country level?

- Government representatives will play an important role in ensuring that IM carried out in support of the humanitarian response is based on existing, national datasets and IM systems in a sustainable manner.
- Humanitarian actors who participate in the Cluster/Sector are expected to be proactive partners in exchanging information relevant to situational understanding and the response
- Cluster/Sector partners are to adhere to commonly agreed definitions and indicators for "sector" needs and activities, as well as the use of common baseline or reference data, which are disaggregated by age and sex and consider diversity issues where appropriate.
- Humanitarian actors who participate in the Cluster/Sector as observers should be encouraged to share information with the wider humanitarian community.

What is the role of the Humanitarian Information Centre (HIC)?

- The mission of the Humanitarian Information Centre (HIC) is to support the humanitarian community in the systematic and standardized collection, processing and dissemination of information with the aim of improving coordination, situational understanding and decision making. In undertaking this mission, the HIC will complement the information management capabilities of the national authorities, as well as in-country development and humanitarian actors, in order to optimize the response and meet the needs of the affected population. The HIC will only be deployed in new complex emergencies or a disaster that exceeds the capacity of the Member State(s) and the IASC to respond. In fulfilling its mission, the HIC will be guided by the principles of humanitarian information management and exchange in emergencies: accessibility, inclusiveness, inter-operability, accountability, verifiability, relevance, objectivity, neutrality, humanity, timeliness, sustainability, and confidentiality.

How can information management support needs assessment activities?

- Information on humanitarian needs is collected through assessments and their subsequent analysis. Undertaking assessments is primarily the responsibility of clusters/sectors and individual operational organizations. However, clusters/sectors are encouraged to seek the support of an IM specialist (from within the Cluster/Sector or OCHA) who may support the process in a number of ways:
 - Provide guidance on survey design and implementation including sampling, instrument development/adaptation, data collection, cleaning, storing, transformation, analysis and reporting (to ensure the quality, type and format of data collected meets the user's output needs and advise on relevant existing data);
 - Provide technical advice on data ownership, processing, management and outputs for distribution;
 - Where they do not already exist, Clusters/Sectors should develop appropriate strategies and tools for data collection, interpretation and verification, with support from the Cluster lead.
 - Where possible, common, complementary or distributed assessment arrangements should be put in place by OCHA and the Cluster/Sector leads to avoid over-assessment by multiple agencies.
 - Cluster/Sector leads are to coordinate and share data collection efforts with the Information Management Working Group at the country level to ensure harmonization on data standards and avoid duplication of data collection.

How can information management support monitoring of the humanitarian response?

- Each Cluster/Sector lead should identify common standards and indicators for monitoring the

- progress and the effectiveness of humanitarian response within their Cluster/Sector.
- Standards and indicators should take into account existing globally-agreed standards such as SPHERE, ISO, IASC or other Cluster/Sector-specific norms as well as national standards or guidelines.
- Once indicators have been agreed to by each Cluster/Sector, mechanisms for ongoing data collection and reporting should be harmonized with the Humanitarian Country Team and OCHA. Mechanisms should clearly indicate a.) *What* data are needed?; b.) *Who* will collect the data?; c) *Where* will data be aggregated and processed? d.) *How often* will data be updated? e.) *To whom* is information disseminated?

What are the principles of humanitarian information management and exchange in emergencies?

The following operational principles should be used to guide IM and information exchange activities in emergencies:³

- Accessibility.** Humanitarian information should be made accessible by applying easy-to-use formats and tools and by translating information into common or local languages when necessary.
- Inclusiveness.** Information exchange should be based on a system of partnership with a high degree of ownership by multiple stakeholders, especially representatives of the affected population and Government.
- Inter-operability.** All sharable data and information should be made available in formats that can be easily retrieved, shared and used by humanitarian organizations.
- Accountability.** Users must be able to evaluate the reliability and credibility of information by knowing its source and having access to methods of collection, transformation and analysis.
- Verifiability.** Information should be relevant, accurate, consistent and based on sound methodologies, validated by external sources, and analyzed within the proper contextual framework.
- Relevance.** Information should be practical, flexible, responsive, and driven by operational needs in support of decision-making throughout all phases of a crisis.
- Objectivity.** A variety of sources should be used when collecting and analyzing information so as to provide varied and balanced perspectives for addressing problems and recommending solutions.
- Neutral.** Information should be free of political interference that distorts a situation or the response.
- Humanity.** Information should never be used to distort, to mislead or to cause harm to affected or at-risk populations and should respect the dignity of those affected.
- Timeliness.** Humanitarian information must be kept current and made available in a timely manner.
- Sustainability.** Humanitarian information should be open sourced, preserved, cataloged and archived, so that it can be retrieved for future use, such as for preparedness, analysis, lessons learned and evaluation.
- Confidentiality.** Sensitive data and information that are not to be shared publicly should be managed accordingly and clearly marked as such.

ROME STATEMENT ON CLUSTER ROLL-OUT

Endorsed by the IASC Task Team on the Cluster Approach, Geneva, XX October 2007.

IASC Working Group 5-7 November 2007

³ OCHA, *Best Practices in Humanitarian IM and Exchange*, Symposium on Best Practices in Humanitarian Information Exchange, Palais des Nations Geneva, Switzerland, 5 – 8 February 2002. Note: principles were abridged and adapted from the original 2002 version available at www.reliefweb.int/symposium/2002_symposium/final_statement.doc

1. At the IASC Working Group meeting in Rome on 5-7 November 2007, responding to recent concerns about the slow pace of roll-out of the cluster approach, the IASC Working Group^{**} reaffirmed its commitment to improving humanitarian response by ensuring greater predictability, accountability and partnership. In this regard, the Working Group takes note of improvements in response capacity at both global and country levels as a result of the cluster approach and of lessons learnt from experience to date. The Working Group also reaffirms earlier IASC agreements that the cluster approach should be the framework for response in major new emergencies and should eventually be applied in all countries with Humanitarian Coordinators.
2. The Working Group agrees that in rolling out the cluster approach, due regard needs to be given to the principle that States have primary responsibility for meeting the assistance and protection needs of people affected by natural disasters and other emergencies (including conflict-related ones) occurring on their territories. The role of international actors is to support national efforts to meet the humanitarian needs of affected populations and to complement national efforts including in cases where national authorities are unable or unwilling to lead the response. By helping to ensure close partnership and a clear division of responsibilities among humanitarian partners at the country level, the cluster approach aims to ensure that international actors can be a strong, reliable and predictable partner for governments and other relevant local and national actors.
3. The Working Group agrees that further clarity is needed on the meaning and implications of 'Provider of Last Resort'. This should be addressed by the IASC as a matter of priority and any revision of current guidelines on this issue should be clearly communicated to all stakeholders.
4. In essence, the cluster approach involves strengthening humanitarian response in three main ways: (1) ensuring that roles and responsibilities among humanitarian partners are worked out through transparent, inclusive, consultative processes, in line with the *Principles of Partnership* developed by the Global Humanitarian Platform; (2) ensuring leadership and responsibilities are established at the sectoral level, thereby clarifying lines of accountability and providing counterparts (or a first port of call) for national authorities, local actors, humanitarian partners and other stakeholders; and (3) ensuring that all relevant sectors and cross-cutting issues for the humanitarian operation in question are covered.
5. It should be emphasized that flexibility in determining response structures at the country level is essential. Local government structures and existing capacities should be taken into account. There is no need to replicate all global level sectors/clusters if less are needed for the particular humanitarian operation in question. Leadership of these clusters at the country level should also be determined on a case by case basis and does not need to mirror arrangements at the global level (though global cluster leads should in all cases be consulted).
6. In the process of rolling out the cluster approach, due attention should be given to other aspects of the ongoing humanitarian reform process. This includes initiatives aimed at strengthening humanitarian financing and efforts to strengthen the Humanitarian Coordinator system. It also involves efforts to increase awareness and build capacities of Resident Coordinators to exercise effective leadership in promoting preparedness for humanitarian emergencies in disaster prone countries and in overseeing humanitarian responses when emergencies occur in their countries.
7. The cluster approach has different origins from the *Principles of Partnership*, which were developed within the Global Humanitarian Platform. They are, however, complementary and mutually reinforcing initiatives. Efforts should be made to ensure the establishment of broad, inclusive humanitarian country teams, using the *Principles of Partnership* as a basis for working together.

^{**} The ICRC, which is not taking part in the cluster approach, takes note of this statement.

8. Revised IASC Contingency Planning Guidelines, incorporating the cluster approach, were endorsed by the IASC Working Group on 5 November 2007. They provide the basis for planning and implementing humanitarian responses in new emergencies. They represent a major step forward and their implementation should facilitate further progress in rolling out the cluster approach. They should be widely disseminated and the necessary training and support for their implementation should be provided. They also underline the primary responsibility of national authorities and the importance of building on national capacities wherever possible. They emphasize the importance of preparedness and provide a useful opportunity to familiarize national authorities, Resident (and/or Humanitarian) Coordinators and humanitarian partners (including national and international NGOs) with the cluster approach and to ensure that it is used in all contingency planning for potential emergencies.
9. All Country Teams in countries with Humanitarian Coordinators should consider what needs to be done in their countries, as a minimum, to adapt current working methods to conform to cluster approach guidance. They should present this information to the ERC and relevant global cluster lead agencies, with clear information on minimal additional capacity and resources needed, so that this can be reflected in a global cluster implementation plan and incorporated into agencies' cluster mainstreaming exercises. This information should be provided by the end of March 2008. In cases where the Humanitarian Coordinator and humanitarian partners believe that for any reason current working methods should not be adapted to conform with the cluster approach guidance by the end of 2008, the Humanitarian Coordinator should inform the ERC of this in the submission. The ERC will then consult global cluster leads and IASC members and standing invitees before deciding on the way ahead and providing further guidance. Meanwhile, inter-agency workshops on humanitarian reform (including the cluster approach) will continue to be organized at the country level and other support will be provided to improve knowledge and understanding of it amongst field-based colleagues.

Global sector/ cluster	Global sector/ cluster lead	Chair/Co-Chair of global cluster/sector working group	Chair/co-chair's email	Other focal points for the sector/cluster To be cc'd on communications
Agriculture	FAO	Richard China	richard.china@fao.org	Patrick.Jacqueson@fao.org, Mona.Chaya@fao.org, Neil.Marsland@fao.org, Laura.Sciannimonaco@fao.org, Jordan.Ramacciato@fao.org
CCCM	UNHCR (Conflict)	Karl Steinacker	STEINACK@unhcr.org	MUIGAIJ@unhcr.org, BADAWY@unhcr.org,
	IOM (Natural Disaster)	Lea Matheson	lmatheson@iom.int	pliljert@iom.int
Early Recovery	UNDP	Jennifer Worrel	jennifer.worrell@undp.org	jahal.de.meritens@undp.org, barbara.goedde@undp.org
Education	UNICEF	Ellen Van Kalmthout	ekalmthout@unicef.org	ssukdeo@unicef.org
	Save The Children	Katy Webley	k.webley@savethechildren.org.uk	misty@savethechildren.ch, A.Bookstein@savethechildren.org.uk
Emergency Shelter	UNHCR (Conflict)	Yoichiro Tsuchida	TSUCHIDA@unhcr.org	LOLACHI@unhcr.org, RISI@unhcr.org
	IFRC = convenor in Nat Dis	Graham Saunders	graham.saunders@ifrc.org	
Emergency Telecommunications	OCHA (process)	Cherif Ghaly	ghaly@un.org	gilman@un.org
	WFP (security)	Gianluca Bruni	Gianluca.Bruni@wfp.org	
	UNICEF (data)	Steve Fazio	sfazio@unicef.org	
Health	WHO	Ala Alwan	AlwanA@who.int,	benyahmeds@who.int, kenneye@who.int, chehaba@who.int
Logistics	WFP	Amer Daoudi	Amer.Daoudi@wfp.org	Matthew.Hollingworth@wfp.org, tim.smith@wfp.org
Nutrition	UNICEF	Bruce Cogill	bcogill@unicef.org	fsibandamulder@unicef.org
Protection	UNHCR	George Okoth-Obbo	SOLBERG@unhcr.org	SOLBERG@unhcr.org
WASH	UNICEF	Paul Sherlock	psherlock@unicef.org	jmccluskey@unicef.org

Cross-cutting issue	Cross-cutting issue 'lead'	Chair/Co-Chair	Contact details	Other focal points
Environment	UNEP	David Jensen	david.jensen@unep.ch	brooker@un.org, Frank.Turyatunga@unep.ch, pasi.rinne@unep.c
Gender (Co-Chairs of IASC SWG on Gender)	UNFPA	Henia Dakkak	dakkak@unfpa.org	echung@unfpa.org, groenen@unfpa.org, burns@un.org,
	WHO	Claudia Moreno Garcia	garciamorenog@who.int	reisc@who.int
HIV/AIDS (IASC TF on HIV/AIDS)	UNAIDS	Karl L. Dehne	dehnek@unaids.org	rajbandarin@unaids.org, hieber-girardet@un.org,

GLOBAL CAPACITY-BUILDING 2006-2008 - PURPOSE, SUCCESSES AND IMPACT

Aim of Global Capacity-Building: To ensure predictable and sufficient response capacity exists at the global level to complement national-led responses to major emergencies, including in the following areas: trained surge capacity, stockpiles, agreed inter-agency standards and tools.

Following recent humanitarian reforms, in the event of a large-scale emergency, there are now **globally managed emergency stockpiles, trained experts and other resources** in eleven response sectors that Governments can call on - through the Resident/Humanitarian Coordinator system - to complement their own response. Each cluster lead collaborates in its capacity-building effort with a wide range of UN and non-UN humanitarian partners.

These resources are managed at the global level by designated 'global cluster leads' and are in the process of being built up with generous donor support from eleven donors: **Australia, Canada, Denmark, ECHO, Finland, Ireland, Moldova, Netherlands, Norway, Sweden, the United Kingdom and the United States.**

The **2006/07** global capacity-building appeal sought US\$ 38,573,194 and was 65% funded by ten donors. The **2007/08** global capacity-building appeal seeks US\$ 62,510,700 and is 49% funded to date (only 31% of requirements received).

Among many concrete achievements in the two-year global capacity-building are:

Camp Coordination and Camp Management (Global Cluster Leads IOM and UNHCR):

- ✓ Trainings conducted for 250 field personnel, including in francophone countries.
- ✓ IDP profiling exercise has been supported jointly by CCCM and Protection Cluster in Chad, Ivory Coast, Sri Lanka and Somalia.
- ✓ Clear definition of roles and responsibilities of actors within a camp response; Guidance Note on collective centers produced.

Early Recovery (Global Cluster Lead UNDP):

- ✓ Over twenty Early Recovery Coordinators and Gender Focal Points from 11 countries trained on early recovery and gender and a Community of Practice for Early Recovery Coordinators has been initiated. Surge capacity roster under development.
- ✓ Training on Disaster Risk Reduction in the Framework of Local Development and Local Economic Recovery in post-disaster contexts held in twelve Latin American countries.
- ✓ First phase of designing a common methodology for a post disaster needs assessment completed, and the pilot PDNA methodology now being field-tested in Dominica.
- ✓ Development of a joint Guidance Note on Early Recovery and Transition, together with undg-echa, for UN colleagues and partners working at the country level, both in natural disaster and conflict settings

Education (Global Cluster Leads Save the Children and UNICEF):

- ✓ INEE Minimum Standards capacity-building workshop held in July 2007 in Cote D'Ivoire, co-hosted by UNICEF, WFP, UNDP and the Save the Children Alliance, and supported by the Organisation Internationale de la Francophonie, strengthening capacity of 40 participants from 12 francophone countries, from national and international NGOs, UN agencies, and Ministries of Education.
- ✓ Five Education in Emergencies experts trained as cluster coordinators (CSLT): 1 UNICEF, 1 UNESCO, 3 Save the Children).
- ✓ Co-lead arrangements between UNICEF and Save the Children due to be signed into an MOU and Overview Document in October. UNICEF and Save the Children are setting up a joint education cluster unit in Geneva.

Emergency Shelter (Global Cluster Leads IFRC and UNHCR):

- ✓ 150 staff from UNHCR, IFRC, UN sister agencies, International/ local NGOs, Government authorities and free-lance consultants have been trained by the Emergency Shelter Cluster workshops for coordinators, technical experts and field-based staff;
- ✓ Two training workshops have been held in Geneva and Panama for the Emergency Shelter Coordinators, as well as one in Geneva for Technical Specialists and one field training in Somalia;

- ✓ Emergency shelter strategies, standard operating procedures and guidelines for initial shelter needs and damage assessment developed. Standards agreed for shelter-related Non-Food Items (NFIs), e.g. tents, plastic sheeting, tarpaulins, jerry cans, etc.

Emergency Telecommunications (Global Cluster Lead OCHA, with UNICEF and WFP):

- ✓ Data Communication Response training curriculum developed and 25 Data Communication Responders trained
- ✓ 108 UNICEF Country Office ICT staff identified as potential Data Communication Coordinators and Responders
- ✓ Five out of seven Data Communication Connectivity kits have been assembled and strategically placed in five regional UNICEF offices. Ten Phase I kits for immediate provision of data communication services procured for rapid deployment
- ✓ 4 dedicated first responders for Security Telecommunication services in emergencies recruited.
- ✓ Emergency Security Telecommunications equipment stockpile for 2 large emergencies pre-positioned and maintained in WFP logistics hub in Dubai. Quick-fly away kits for first responders available at 4 humanitarian response depots.
- ✓ Standard operating procedures & training material on Security Telecommunications developed.
- ✓ 22 staff from WFP, other UN agencies, NGOs and standby partners trained as ICT Emergency Managers. The capacity developed has been utilized in responses to emergencies and cluster roll-out countries.

Health (Global Cluster Lead WHO):

- ✓ Multi-sectoral initial rapid assessment tool and accompanying guidance developed with full collaboration between Health, Nutrition and WASH clusters. Field-testing begins early October 2007, for finalization in December 2007.
- ✓ Initial Health Cluster Field Coordinator Roster established with 25 candidates from eight partner agencies and organizations. Comprehensive training package for all roster candidates under development.
- ✓ Emergency health stockpiles and related logistics platform established in 3 regional hubs in Italy, Ghana and Dubai, with plans for two additional stockpiles in Malaysia and Panama.

Logistics (Global Cluster Lead WFP):

- ✓ Global logistics cluster support cell established at WFP Rome headquarters comprising logistics officers from WFP, UNICEF, ACF, World Vision International and Care International acting as surge capacity for new logistics cluster activations and working on the longer term strategy/policy issues for the logistics cluster.
- ✓ First round of training for Logistics Response Teams (LRTs) conducted in May 2007 (20 participants, 14 different organisations), second round in November 2007. LRTs are deployed in emergencies to determine support required from the logistics cluster.

Nutrition (Global Cluster Lead UNICEF):

- ✓ Capacity Development for Enhancing Nutrition Programming in Emergencies has been achieved by harmonizing technical nutrition messages with different practitioners. A package with modules adapted to different contexts, with buy-in based on needs analysis, has been developed, as has a field training strategy for technical content.
- ✓ As part of capacity building initiative, the Nutrition Cluster has identified between 40 and 50 UNICEF and non-UNICEF nutrition specialists ready for immediate deployment in emergencies.

Protection (Global Cluster Lead UNHCR):

- ✓ Inter-agency Protection Assessment Framework adopted and endorsed by the Protection Cluster Working Group in September 2007. Practical and field friendly tool for protection assessment to be used as early as possible in new emergencies and in ongoing emergencies prior to the preparations of inter-agency planning and resources mobilization processes like the NAF and the CAP.
- ✓ First draft of the inter-agency IDP Protection Handbook completed in August 2007, to be sent in French and English to field operations for review and comments in October 2007. Child Protection sub-cluster activated to review child-related elements.
- ✓ Five workshops on IDP protection held in 3 cluster countries (Uganda, Somalia, Côte d'Ivoire), in partnership with UNHCR, OCHA and NRC, targeting humanitarian field workers and national and local authorities.
- ✓ ProCap training provided to 91 members of Standby Rosters from partner agencies (RedR Australia, DRC, NRC, Austcare, Save the Children Norway, Sweden and Denmark)

Water, Sanitation and Hygiene (WASH), (Global Cluster Lead UNICEF):

- ✓ WASH Cluster Strategic Review completed in June 2007.
- ✓ WASH Cluster Coordinator Learning Workshop organized by UNICEF with Action Contre la Faim held in July 2007 in Nairobi. The workshop synthesized and analyzed practices and experience to date of cluster coordinators, UNICEF Regional Offices and partner agencies within the WASH sector. The workshop also served as a platform to analyze ongoing WASH projects.

Concrete field impact of the global capacity-building effort since 2006 includes the following:

- ✓ The **Camp Coordination and Camp Management (CCCM)** cluster deployments to 12 recent crises and ongoing emergencies have led to enhanced interface with national authorities on camp coordination issues, more effective distribution of tasks, and thus a reduction of protection and assistance gaps in the camps;
- ✓ **Early Recovery** deployments to 8 recent emergencies have led to the inclusion of common strategies on early recovery in the appropriate country-strategy and appeal documents. In the Democratic Republic of Congo (DRC), a mapping of UN and non-UN reintegration/post-conflict/poverty reduction programmes identified gaps;
- ✓ Two country-level **Education** clusters adopted a UN-NGO co-chair arrangement (UNICEF-Save the Children): Mozambique and Pakistan flood response 2007.
- ✓ **Emergency Shelter** experts were deployed by the cluster to several emergencies in 2006 and 2007, leading to a more timely and effective shelter response in these emergencies, as well as a unified interface with national governments on the shelter response, so as to ensure better coordination with and support to national efforts;
- ✓ The **Emergency Telecommunications** cluster deployed first responders to conduct assessments and establish the needed services at the onset of the response in six recent crises, which has been vital for the success of the humanitarian response.
- ✓ The **Logistics** cluster was activated in the over ten recent crises, on a varying scale ranging from an information-sharing platform only, to this platform plus common ocean, air and overland transport services and warehousing; the logistics cluster was key in providing access to beneficiaries in the 2006 Lebanon crisis by means of common transport services and the global cluster is presently responding to the Uganda floods with air assets for common use and warehousing.
- ✓ Field-level **Health** clusters have been established to ensure joint planning and joint action, stakeholder, and gap mapping, and common resource mobilisation and management in several crises, leading to better planning and enhanced complementarity;
- ✓ The **Nutrition** cluster's deployment of skilled international NGO nutritionists to Lebanon resulted in the development of joint policy statements on infant and young child feeding, and the production of training and education materials.
- ✓ Ten experienced Senior **Protection** Officers have been deployed on 23 assignments to over twenty countries since 2006. 17 Surge deployments in 2007 of mid-level trained and experienced Protection Officers to complex emergencies, including to Somalia, DRC, Central African Republic, Chad, Cote d'Ivoire, Liberia and Colombia. UNICEF deployed a Protection Cluster lead in Pakistan with collaboration from global cluster members; a trainer from OHCHR deployed to UNICEF in Philippines for emergency preparedness.
- ✓ **Water, Sanitation & Hygiene (WASH)** cluster partners' joint response strategies in recent emergencies led to significantly improved support to national authorities through enhanced coordination of response, more effective programming and greater clarity on roles and responsibilities.

Global Cluster/Sector Leads

Global Cluster/ Sector	Cluster/Sector Lead
Agriculture	FAO
Camp Coordination and Camp Management (CCCM)	UNHCR (conflict) IOM (natural disaster)
Early Recovery	UNDP
Education	UNICEF Save The Children - United Kingdom
Emergency Shelter	UNHCR (conflict) IFRC (convenor natural disasters)
Emergency Telecommunications	OCHA (process owner) WFP (security telecomms) UNICEF (data telecomms)
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR
Water, Sanitation and Hygiene (WASH)	UNICEF

Field-level implementation of the cluster approach (as of December 2007)

In the period October 2005 to December 2007, the cluster approach was implemented in eight 'major new emergencies':

- Bangladesh
- Dominican Republic
- Indonesia [Yogyakarta]
- Lebanon
- Madagascar
- Mozambique
- Pakistan (2x)
- Philippines

and eight 'ongoing emergencies' (out of 25 where Humanitarian Coordinators are designated):

- Central African Republic
- Chad
- Colombia
- Democratic Republic of the Congo [DRC]
- Ethiopia
- Guinea (about to be completed)
- Liberia
- Somalia
- Uganda

(In addition, the cluster approach was adopted in Cote d'Ivoire, initially only in the area of protection.)

Support for implementation of the cluster approach

Country-level Cluster Approach Workshops completed, and cluster approach adopted in: **DRC, Ethiopia, Liberia, Madagascar, Somalia, Uganda**

Country-level Cluster Approach Workshops completed, and decision on implementation pending: **Afghanistan, Haiti, Timor-Leste, Zimbabwe**

Country-level Cluster Approach Workshops currently being planned through IASC mechanisms: **CAR, Cote D'Ivoire (*N.B. see above*), Eritrea, Niger, Sri Lanka, Sudan**

Regional Reform Workshops completed: **Panama (Latin America/Caribbean), Dakar (West Africa), Nairobi (Central/East Africa), Bangkok (Asia-Pacific), Johannesburg (Southern Africa)**

Regional Reform Workshops being planned: **Dakar (Revision), Amman (Middle East/North Africa)**