

**EVALUATION  
REPORT**

# **EVALUATION OF UNICEF'S CLUSTER LEAD AGENCY ROLE IN HUMANITARIAN ACTION**

## **Annexes**

**EVALUATION OFFICE  
DECEMBER 2013**

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## Annex 1 – Terms of reference

### UNICEF Evaluation Office

#### Evaluation of UNICEF's Cluster Lead Agency Role in Humanitarian Action (CLARE)

#### FINAL Terms of Reference – 13 November 2012

##### 1.1 Background and Rationale

1. The Cluster approach was introduced in 2005 within the wider context of humanitarian reform. In a process led by the Inter-Agency Standing Committee (IASC), the Cluster approach was designed in recognition that a lack of adequate coordination had previously hampered the relevance, timeliness, effectiveness and efficiency of humanitarian response. Defined as the designated responsibility for multi-actor sectoral coordination (typically to a single humanitarian agency but in some cases to two co-lead agencies), the approach was intended to improve emergency response through greater *predictability* and *accountability*, as well as stronger *partnership* between and among humanitarian actors.<sup>1</sup> Today the Cluster approach includes nine areas of sectoral coordination<sup>2</sup> and two common service Clusters that enable the other sectors.<sup>3</sup> It also includes four Areas of Responsibility (or AORs) within the Global Protection Cluster (GPC), in recognition of the unique coordination needs in this specialized area.<sup>4</sup>
2. The Cluster approach is organised along a two-tiered structure involving roles and responsibilities both at global and country levels. Each Cluster has a designated Cluster Lead Agency (CLA) or pair of co-CLAs, drawn from the humanitarian community, at global level and in countries where the Cluster approach has been activated. At global level, CLAs are led by Global Cluster Coordinators (GCCs) or Cluster Co-Coordinators, and are responsible for strengthening system-wide preparedness, technical capacity and operational support to respond to humanitarian situations, and for ensuring predictable leadership, accountability and partnership. In addition, IASC working groups have been established at regional level to provide direct support to the country-level Clusters. At country level, Clusters are activated by the

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<sup>1</sup> *Inter-Agency Standing Committee (IASC) Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, IASC, 2006

<sup>2</sup> The sectoral Clusters, and their respective CLAs, are: Nutrition (UNICEF), Health (WHO), Water and Sanitation (UNICEF), Food Security (WFP/FAO), Education (UNICEF/Save the Children), Emergency Shelter (UNHCR/IFRC). The Cross-cutting Clusters are: Camp Coordination/Management (UNHCR/IOM), Protection (UNHCR/OHCHR/UNICEF), and Early Recovery (UNDP).

<sup>3</sup> The common service Clusters, and their respective CLAs, are: Logistics (WFP) and Emergency Telecommunications (WFP).

<sup>4</sup> The AORs within the Global Protection Cluster, and their respective Focal Point Agencies are: Child Protection (UNICEF), Gender-Based Violence (UNFPA/UNICEF), and Land, Housing and Property (UN-Habitat), Mine Action (UNMAS).

IASC on the recommendation of the Humanitarian Coordinator (HC) following consultation with the Humanitarian Country Team (HCT). Once established, Clusters in the field are led by Cluster Coordinators. Country-level Clusters vary considerably, but in general they provide emergency operational coordination, under the leadership of the HC and the HCT and support. Some also support emergency planning and preparedness initiatives. Furthermore, CLAs are responsible for acting as the “provider of last resort”<sup>5</sup> when gaps arise in the sectoral area corresponding to their Cluster.<sup>6</sup> In some countries the host government participates in country Clusters, and sometimes in the leadership and management of the Clusters at the national and sub-national level. Wherever possible, Clusters support the coordination efforts of national and sub-national authorities.

### **UNICEF’s Cluster Leadership**

3. UNICEF serves as Global CLA for three Clusters: Nutrition, WASH and, as co-CLA with Save the Children, Education. In addition, within the GPC led by UNHCR, UNICEF is Focal Point Agency for the Child Protection AOR<sup>7</sup> and co-Focal Point Agency with UNFPA for Gender-Based Violence (GBV) AOR.<sup>8</sup> Together, these responsibilities render UNICEF the agency with the most Clusters and AORs under its remit. Its Cluster coordination accountabilities are enshrined in the Organisation’s Core Commitments for Children in Emergencies (CCCs), one of the main normative sources guiding its work in emergencies.<sup>9</sup>
4. Prior to the move to EMOPS Geneva, the UNICEF-led and co-led Global Clusters and AORs were embedded within their related Section in Programme Division (PD), under the direct supervision of their respective Section Chiefs. At Divisional level, an additional split in the management of the Sections contributed to a further stratification of the Global Clusters and AORs. In order to promote heightened synergies across them, and greater coherence of their internal and external management, in January 2012 Cluster coordination was brought together under a newly created Global Cluster Coordination Unit (GCCU) within the Office of Emergency Programmes (EMOPS) in Geneva. Through this shift to EMOPS Geneva, UNICEF aims to streamline and strengthen management of its CLA role, as well as its relationship with IASC partners,

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<sup>5</sup> The “provider of last resort” concept denotes that CLAs are responsible for “ensuring that Cluster members agree on operational strategy and clearly defined joint results, identify gaps, and prioritize and mobilize capacities to meet these gaps. Where effective response is prevented by lack of funding, access or acceptable security conditions, CLAs must be ready to ensure the provision of services required to fulfil critical gaps”. See: *Operational Guidance on the concept of “Provider of Last Resort”*, IASC, 2008.

<sup>6</sup> For further guidance, see: *Generic Terms of Reference for Sector/Cluster Leads at the Country Level*, IASC, 2006; *Operational Guidance on designating Clusters Leads in on-going emergencies*, IASC, 2007; *Operational Guidance on designating Cluster Leads in new emergencies*, IASC, 2007; *Rome Statement on Cluster Rollout*, IASC, 2007; *Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management*, IASC, 2008; *Terms of Reference for Cluster Coordinators at Country Level*, IASC, 2009; *Operational Guidance for Cluster Leads on Working with National Authorities*, IASC, 2009.

<sup>7</sup> The AOR Focal Point Agency role entails the same accountabilities as a CLA.

<sup>8</sup> UNICEF also contributes funding toward the co-chair position within the IASC Mental Health and Psychological Support Reference Group.

<sup>9</sup> See: *Core Commitments for Children in Humanitarian Action*, UNICEF, 2010.

and thereby promote greater accountability for Cluster results. The GCCU is supervised by EMOPS's Deputy Director in Geneva and promotes synergies between the UNICEF-led and co-led Clusters and AORs. Globally, Cluster coordination costs amount to approximately 3 per cent (USD 33 million) of UNICEF's global budget for humanitarian action. Starting in 2012, GCC costs for Nutrition, WASH, Education and Child Protection will be funded from the UNICEF's regular budget to mainstream the costs of the function at global level.<sup>10</sup>

5. At country level, there are an estimated 92 UNICEF-led and co-led Clusters and 37 AORs set up in 47 countries, according to a survey of UNICEF-led and co-led Clusters and AORs that was conducted between April-June 2012 to determine the scope and scale of UNICEF and partners' involvement in the Clusters globally.<sup>11</sup> These include 29 Nutrition Clusters, 32 WASH Clusters, 31 Education Clusters, 24 Child Protection AORs and 13 GBV AORs. Nevertheless, there is no precise definition of what a Cluster at the country level is within UNICEF and these figures relate to what UNICEF country offices (COs) understand to be their contribution to the Cluster approach.

### **Rationale for the Evaluation**

6. Evaluations, reviews and other exercises assessing UNICEF's response to recent emergencies have pointed out that while the Organisation appears to be taking its CLA roles and responsibilities seriously, challenges still remain.<sup>12</sup> In addition, individual Clusters have undertaken inward-looking lesson-learning exercises and reviews that have pointed to gaps and bottlenecks endemic to their specific Clusters.<sup>13</sup> Finally, within the broader framework of humanitarian reform, most recently by way of the IASC Transformative Agenda, calls have mounted for organisations to redouble their efforts to improve Cluster coordination.<sup>14</sup> These calls have been echoed in recent donor reviews identifying UNICEF's Cluster coordination as an area in need of strengthening – a call that has been backed up by significant financial support to help UNICEF boost its capacity to do so. UNICEF's obligation to critically examine its CLA (and co-CLA) role thus rests both on programmatic and fiduciary grounds, and on its duty to deliver

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<sup>10</sup> See: *UNICEF Humanitarian Action for Children*, UNICEF, 2012.

<sup>11</sup> The survey was sent to 54 countries, and 47 replies were received and it included only national and not sub-national Clusters. Final numbers need to be confirmed during the inception phase of the evaluation.

<sup>12</sup> Recent evaluative exercises include: *UNICEF'S Response to the Emergency in the Horn of Africa 2011-2012: Lesson-Learning Exercise, Final Report*, UNICEF Evaluation Office, 2012; *Independent Review of UNICEF's Operational Response to the January 2010 Earthquake in Haiti*, UNICEF Evaluation Office, 2011. For donor-led exercises, see: *Multilateral Aid Review (MAR)*, DFID (2011); *Humanitarian Emergency Response Review (HERR)*, DFID (2011).

<sup>13</sup> See: *Review of the Global Education Cluster Co-leadership Arrangement*, The Partnering Initiative, UNICEF and Save the Children, 2010. For the Nutrition Cluster, see: Nutrition Cluster, *Nutrition Cluster Evaluation of Pakistan Flood Response*, 2011; Nutrition Cluster, *Synthesis of Cluster Lessons from UNICEF's response to the Pakistan Floods*, 2011.

<sup>14</sup> In 2011, the Transformative Agenda led by the IASC has identified a number of challenges in the application of the Cluster approach, which has become "overly process-driven" and has tasked the IASC Sub-Working Group on the Cluster approach "to review and, where necessary simplify existing Cluster guidance to make it less prescriptive and more empowering" for Humanitarian Coordinators and Humanitarian Country Teams to set up the "most appropriate coordination solutions for their country taking into account the local operational situation, including at the sub-national level." (See: IASC, *Inter-Agency Standing Committee Transformative Agenda*, 2012) The outcome of the on-going discussions about the Transformative Agenda in the IASC is will need to be considered very closely in the course of this evaluation.

optimal coordination leadership that enables better sectoral response to affected populations.

7. To date, however, no evaluation has sought to undertake a systematic, in-depth and independent assessment of UNICEF's performance in managing its CLA (and co-CLA) role on the Clusters under its remit.<sup>15</sup> Recent structural shifts described in para 4 above present an opportune moment for in-depth reflection on UNICEF's achievements and gaps to date and a way forward to become ever-better at fulfilling its CLA and co-CLA commitments.
8. In October 2011, UNICEF's Evaluation Office (EO) proposed the present *Evaluation of UNICEF's Cluster Lead Agency Role (CLARE) in Humanitarian Action* in conjunction with a Programme of Cooperation to strengthen the Organisation's overall emergency capacity, including its Cluster leadership and coordination function.<sup>16</sup> The EO then formalized this proposal by including this evaluation in its Integrated Monitoring and Evaluation Framework (IMEF) for 2012-13, following wide consultation with divisions and offices across UNICEF. The IMEF was endorsed by UNICEF's Evaluation Committee in February 2012 and presented to the Organisation's Executive Board in June 2012.

## 1.2 Evaluation Objectives and Purpose

9. The evaluation aims to generate credible evidence for results achieved or not achieved by UNICEF in exercising its CLA (and co-CLA) role, in order to assist management in making concrete improvements in the exercise of its (co-)leadership role moving forward – particularly in light of the opportunity afforded by the Transformative Agenda for agencies to critically rethink and improve their coordination mechanisms. Toward this end, the evaluation's objective will be to assess, as systematically and objectively as possible, the relevance, effectiveness, efficiency, connectedness, coverage and sustainability of UNICEF's CLA (and co-CLA) role to date, at both the global and country level.
10. By taking a primarily forward-looking view while drawing on lessons from the past, this evaluation will serve the dual purpose of promoting learning and accountability. It will thus *summatively* assess in hindsight the results achieved, or not achieved, by UNICEF in its CLA (and co-CLA) capacity. Looking to the future, this analysis will allow the Organisation to *formatively* draw lessons and become better equipped to exercise systematic, high-quality Cluster (co-) leadership in both its technical and coordination

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<sup>15</sup> By focusing on UNICEF's CLA role, the evaluation intends to build on previous inter-agency evaluations led by OCHA of the Cluster system as a whole. See: IASC, *Cluster Approach Evaluation Phase II*, 2010. In addition, in 2011 UNICEF assisted the WFP Office of Evaluation in co-managing its Global Logistics Cluster. See: *Joint Global Logistics Cluster Evaluation*, WFP, 2012.

<sup>16</sup> *Strategic Note: An Evaluation Plan for UNICEF's DFID-Funded Humanitarian Programme, 2012-2015*, UNICEF Evaluation Office, 2011.

aspects. The evaluation therefore will assist management in UNICEF – particularly EMOPS, where its Cluster accountabilities currently reside – in reflecting on potential actions to improve its Cluster leadership and coordination function. The evaluation will generate recommendations identifying concrete actions for UNICEF to undertake toward this end at the global and country levels, and will contribute to UNICEF’s engagement in the wider humanitarian reform process and its Transformative Agenda.

11. The main client for this evaluation will be the Deputy Executive Director for Emergencies. Other key intended users of this evaluation include the following:

- ❖ The Director of EMOPS and his Deputy Directors in Geneva and New York;
- ❖ The GCCU, other EMOPS Sections in Geneva and New York (e.g., Humanitarian Policy Section, Humanitarian Field Support Section);
- ❖ Programme Division (PD);
- ❖ Other relevant divisions, such as Division of Human Resources (DHR) and Supply Division (SD); the Public Alliances and Resource Mobilization Office (PARMO) and Private Fundraising and Partnerships (PFP) Division; and others as appropriate;
- ❖ Regional Directors and Regional Emergency Advisors;
- ❖ Representatives in Country Offices (COs), Cluster Coordinators, and other relevant colleagues in COs where UNICEF’s Clusters have been activated; and
- ❖ Co-lead agencies, Cluster partners, and other partners (e.g., national disaster management authorities, or NDMAs) participating in the Nutrition, WASH and Education Clusters and the Child Protection and GBV Areas of Responsibilities.

As part of the inception phase of this evaluation, a more detailed stakeholder analysis will be conducted to help identify priorities or possible concerns of various stakeholders. Stakeholders will be involved in the evaluation from the early stages of the evaluation process.

### 1.3 Scope

12. The primary purpose of the evaluation is a formative, forward-looking one, in keeping with the opportunity the Transformative Agenda poses for rethinking and retooling how agencies define and strive for more effective coordination moving forward. It will, however, entail a backward-looking element as well, in order to broadly assess the results UNICEF has or has not achieved since it assumed its CLA role, in order to enable it to execute its role better moving forward. The period covered by the evaluation will span from 2006-2012. That said, in adapting this broad six-year timeframe, it is acknowledged that the Cluster approach more widely, and UNICEF’s implementation of its CLA role specifically, have evolved considerably over time. In addition, individual Clusters have progressed on different timelines. Accordingly, the evaluation will not retroactively apply present-day results frameworks to earlier periods. Nor will it undertake an exhaustive accounting for results during the early period from

overall CLA scale-up from 2006-2009. Rather, its primary emphasis will be on the period since the results of the 2009 Inter-Agency Cluster Evaluation, when a clearer results framework for the implementation of UNICEF's CLA role was articulated. In looking to the earliest period of the CLA implementation, the primary aim will be to briefly synthesize the available evidence for Cluster results achieved and not achieved and why, to the extent that results were clearly articulated in the past and associated results data gathered. At the broadest level, the broad arc of the evaluation will assess the overall trajectory of UNICEF's Cluster (co-)leadership over time: whether or not it has adapted to changing circumstances and improved how it executes its role.<sup>17</sup>

13. The evaluation will focus on UNICEF's fulfilment of its CLA role, not the wider results achieved by the Clusters (and therefore its Cluster partners). Nor will it directly examine policy-level questions associated with the wider Cluster approach. Both of these areas of inquiry are the remit of inter-agency evaluations.<sup>18</sup> Rather, it will focus narrowly on UNICEF's management of its own CLA responsibilities with a view to the Transformative Agenda, with UNICEF itself as the unit of analysis and unit of account. (This includes not only the GCCU, the GCCs and country Cluster Coordinators, but also the extent to which UNICEF's wider management arrangements provide the enabling environment for these main bodies to effectively exercise their leadership role.) To the extent that the dynamics of other Cluster actors – UNICEF's Cluster co-CLAs, Cluster partners, NDMAs, and so on – are assessed, this assessment will be confined to an analysis of external factors affecting UNICEF's own CLA performance, and that it must therefore manage in its CLA (and co-CLA) role. The evaluation will, however, examine not only officially IASC established Clusters, but it will also look at countries where certain sectors operate under Cluster-*like* mechanisms.
  
14. In keeping with the evaluation's focus on UNICEF's CLA role rather than the Clusters more broadly, it will not seek to assess UNICEF Clusters' *impact*, understood as changes in the conditions of the affected population as a direct consequence of UNICEF's CLA (and co-CLA) role. It will instead examine UNICEF's *effectiveness in facilitating sectoral coordination*, and ways it might improve this coordination moving forward. At global level, this will include the Global Clusters' performance in consolidating policies, setting standards and guidelines, building response capacity by training national counterparts and establishing and maintaining surge capacity and standby rosters, and when necessary, stockpiling, and providing operational support, including needs assessment, emergency preparedness, advocacy and resource mobilization. At country level, this will include the country-level Clusters' performance in enhancing the relevance and appropriateness, timeliness, effectiveness and efficiency of their corresponding sectors. At both levels, this will also entail an in-depth

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<sup>17</sup> A timeline documenting key milestones in the Cluster approach, and UNICEF's implementation of it, will be constructed during the inception phase to assist the evaluation team in understanding the time arc of UNICEF's Clusters. This timeline will also account for Cluster-specific milestones that affect the analysis.

<sup>18</sup>See: IASC, *Cluster Approach Evaluation Phase II*, April 2010.

examination of UNICEF's performance as a partner in fulfilling its CLA (and co-CLA) role. Sectoral outcomes in the programmatic areas corresponding to UNICEF-(co-)led Clusters will not be the primary focus. However, to the extent it is available, indicative evidence of results achieved or not achieved because of (or despite) UNICEF's Cluster coordination will be sought, in order to assess whether UNICEF-led Clusters, as a results of effective UNICEF coordination, have made a difference in their corresponding sectors. The evaluation will not explore UNICEF's performance as a Cluster partner in other, non-UNICEF-led Clusters.

15. Accordingly, the exercise will examine both the global and country levels of analysis. In so doing it will primarily seek to explore generic, "UNICEF-level" issues common to all of the Clusters, as well as "individual Cluster-level" issues unique to each of the Clusters and AORs under its purview. Importantly, however, at neither level is it presently presumed that UNICEF-led Clusters have a clear, specific logic model, "theory of change" or logical framework against which to retrospectively gauge the Organization's Cluster performance to date, except for the logic model developed in the inter-agency *Cluster Approach Evaluation – Phase II* (see Annex A) and more recently through the Transformative Agenda. A key component of the evaluation will therefore be an early, rapid *evaluability*-like exercise, aimed at convening key stakeholders to develop and agree on such a schematic – including outcomes, outputs and activities at the global and country levels – that the evaluation will then use to assess performance to date.<sup>19</sup> In articulating a logic model, this phase will explore, through internal and external sources, the various causal factors that undergird successful CLA (and co-CLA) management, and that should therefore be viewed as causal entry points to promote.
16. Before the foregoing backdrop, the evaluation will broadly answer the following evaluation questions, rooted in the OECD/DAC criteria, in pursuit of the evaluation objectives and purpose. Annex B provides a more detailed list of the sub-questions subsumed under each of these.

- ❖ **Relevance/Appropriateness.** How closely aligned is UNICEF's management of its CLA (and co-CLA) responsibilities with the principles and standards prescribed by the Cluster approach? How closely is UNICEF's coordination support aligned with coordination needs? To what extent do UNICEF's CLA (and co-CLA) responsibilities comport with its comparative advantage?

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<sup>19</sup> See: Wholey, J.S., "Evaluability assessment"; In J.S. Wholey, H.P. Hatry, & K.E. Newcomer (Eds.), *Handbook of Practical Program Evaluation*, 2nd ed., pp. 33-61, San Francisco: Jossey-Bass, 2004. An *evaluability* assessment examines whether there is a clear underlying logic to the program, a clear set of targeted outcomes and whether these outcomes are understood and agreed upon by key stakeholders; the plausibility of achieving the outcomes given the programme design and implementation; whether a monitoring system exists to generate the data needed to measure the outcomes in a specific and meaningful manner; and whether the management and governance arrangements in place are conducive to achieving and demonstrating programme results.

- ❖ **Effectiveness.** To what degree have UNICEF-(co-)led Clusters contributed to improved emergency response through greater predictability, accountability, and strengthened partnership?
- ❖ **Efficiency.** How effectively has UNICEF harnessed the resources at its disposal to fulfil its CLA (and co-CLA) responsibilities as successfully as possible? To what extent can it show value-for-money for its CLA investments to date, and to what extent has it actively identified the most cost-effective means of achieving CLA management success?
- ❖ **Coherence/Connectedness.** How clearly linked has UNICEF’s CLA approach been with other relevant initiatives and partners both within and outside the Organisation?
- ❖ **Coverage.** To what extent have UNICEF-led (and co-led) Clusters enhanced coverage of humanitarian needs, both in terms of geographic and programmatic coverage, through enhanced coordination by UNICEF?
- ❖ **Sustainability.** How well equipped is UNICEF to ensure that its CLA (and co-CLA) responsibilities will result in long-term, enduring sectoral coordination for enhanced response capacity?

17. All questions will be answered with a view to informing both the global and country levels of analysis – and to identifying shared “UNICEF-level” issues, as well as issues specific to individual Clusters (i.e., Nutrition, WASH, Education, and so on). In addition, in its backward-looking analysis the evaluation will seek to identify what explanatory factors (both internal and external) have contributed to, or hindered, UNICEF’s commitment to Cluster coordination, so as to seize on strengths and address barriers.<sup>20</sup> With this forward-looking view in mind, it will also seek, to the extent that it is necessary, to uncover what potential alternative coordination modalities UNICEF might entertain, whether these are drawn from non-UNICEF Clusters, internal non-Cluster coordination mechanisms within UNICEF, or outside the IASC altogether in the humanitarian or non-humanitarian realm.<sup>21</sup> Finally, this evaluation will pinpoint to what extent UNICEF has learned from the various exercises that have been undertaken to date – such as the *Global Education Cluster Review*, *Cluster Evaluation Phase II*, and the WFP-led *Evaluation of the Global Logistics Cluster* – so as to improve the Organisation’s CLA (and co-CLA) role.

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<sup>20</sup> These factors might include, for instance, financial resources available to Cluster coordination, partnership issues between CLA and other Cluster members, country-specific factors, etc.

<sup>21</sup> It is not assumed *a priori* that such alternatives are necessary. However, as the Transformative Agenda offers an opportunity to rethink existing coordination modalities, it is beneficial for UNICEF to think broadly about alternative ways of working to the extent that the evaluation finds this to be warranted in light of its analysis. The evaluation will therefore seek out a broad range of alternative mechanisms from which UNICEF can learn, bearing in mind the fact that eventual policy decisions have yet to be taken on whether the Cluster approach will be continued in its current form and modified at the margins, or whether it will be rethought more fundamentally within the IASC.

## 1.4 Methodology

18. The evaluation will be staged in three phases: the Inception Phase, the Data Collection and Analysis Phase, and the Reporting Phase. During the Inception Phase, in addition to exploring traditional scoping issues (e.g., further specification of evaluation questions, articulation of specific methods and data points to answer the evaluation questions, and so on) and an action plan for conducting the exercise, the evaluation team will undertake a rapid *evaluability*-like assessment. This *evaluability* component will be aimed at convening key stakeholders to develop and agree on the logic model to be used to measure UNICEF's Cluster performance in each phase of the CLA role's implementation at UNICEF, and what the state of the data is for assessing such performance at each phase.<sup>22</sup> This rapid *evaluability*-like exercise will be part of an Inception Report that the evaluation team will prepare for review by the EO and the Reference Group. The Inception Phase will culminate in an Inception Report, to be approved by the EO in consultation with the Reference Group. (See Para 33 for further details on expectations surrounding the Inception Report.)
19. In the data collection and analysis phase, the evaluation will employ a mixed-method approach entailing triangulation of the most appropriate qualitative and quantitative methods, so as to derive the best perceptual and documentary evidence available for measuring UNICEF's CLA (and co-CLA) performance. Although the Inception Report will be a platform for identifying the precise data sources the evaluation team will use to answer each of the evaluation questions, at minimum these sources will include the following:
- ❖ **Key Informant Interviews (KIs)** and **Focus Group Discussions (FGDs)** with key stakeholders, in person or by telephone or Skype. Key stakeholders will include, but not limited to, UNICEF staff at HQ (NY and Geneva), Regional Office (RO) and Country Office (CO) levels, Cluster (co-) leads and Cluster members at HQ and CO level, HC/RC at CO level, national and sub-nationals authorities, donors, and directly affected populations' voices (including children's).
  - ❖ **Formal Document Review**, not to be conflated with more informal desk review (i.e., background reading). Formal desk review entails the systematic review of key documents (or a sample thereof) — such as strategic policy documents related to the CLA, plans, project proposals, reports, meeting materials, lessons learned, and previous UNICEF-led and inter- agency evaluative exercises, at both global and country level – in pursuit of specific data points or facts. Data collection tools are used to document or code the qualitative and quantitative data obtained in the review.

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<sup>22</sup> In keeping with Paras 9-10 and 12, the main emphasis of the evaluation will be a forward-looking and formative, with documentation of earlier results achieved aimed at helping UNICEF chart a new course – and at achieving the accountability aims of this evaluation along with its learning aims.

- ❖ **Direct Observation** of Cluster coordination activities (i.e., training of Cluster members, sectoral meetings, Cluster meetings, simulations, etc.) to inform the analysis on how UNICEF provides leadership and works on behalf of the Clusters. Wherever applicable, the evaluation team will develop and use a checklist-type tool to record and compare observations.
- ❖ **Comparative/Benchmarking analysis**, which explores what Clusters (co-)led by other organisations have done differently to achieve CLA success, how other types of coordination mechanisms within UNICEF might be harnessed to improve its Cluster coordination – and indeed, what other types of organisations have done in undertaking coordination effectively in complex settings that might inform how UNICEF exercises its CLA role. This comparative/benchmarking analysis will be framed in such a way as to account for a variety of future scenarios as they related to UNICEF’s latitude for change – that is, whether, moving forward, the Cluster approach will continue in its current state, or whether IASC discussions around the Transformative Agenda will allow for more full-scale change if warranted.

20. Data collection will entail a further mission to Geneva, New York and Copenhagen in addition to the scoping mission. It will also include a series of 6-8 country case studies, to be recommended by the EO based on a systematic analysis of CO-level data and consultation with the evaluation Reference Group on the selection criteria to be used. Countries will be selected first and foremost as representative cases of their specific CLA profile on a range of criteria, which are likely to include, among others: emergency profile (type and level), stages of CLA implementation (i.e., early activation, implementation, phasing out), number of Clusters in place, number of Cluster members at both the national and sub-national level, presence of a UN peacekeeping mission, NDMA capacity and engagement, and availability of emergency funds. Selection will also seek to capture maximum regional diversity, while avoiding duplication (and “evaluation fatigue”) in COs that have participated in other recent EO evaluations. Among those countries not selected for country case study, a sample of these will nonetheless be subject to a systematic desk-based review, as part of the Formal Document Review described above.

Exploring the many factors that explain why UNICEF’s CLA (and co-CLA) has been successful in some cases and less successful in others forms a key element of this evaluation; this is vital if UNICEF is to learn and improve. In this regard, two main methodological challenges are foreseen, both related to attribution. Though problematic, each will be addressed using the most rigorous methods available. First, it is understood that the establishment of pure counterfactuals will not be possible: no pre-CLA form of sectoral coordination exists as a comparator, nor does a parallel coordination system in the present. In addition, there are few if any “between-groups” comparisons: either a Cluster is or is not activated in a given country, and there are few if any “competitor” CLAs for the Clusters under UNICEF’s charge. That said, the evaluation team will be expected to undertake a systematic contribution analysis using

all potential comparators to establish counterfactuals or their proxies – e.g., unofficial (non-IASC) Cluster-like arrangements, other UNICEF coordination modalities, non-UNICEF-led Clusters, government-led Clusters, anecdotal evidence of coordination outcomes pre-post-Clusters, and so on. Other comparators might be established through within-group analysis (i.e., differential outcomes in areas of a country where Cluster efforts were more as opposed to less concentrated), path analysis (e.g., tracing repeated successes or non-successes of individual Cluster coordinators, albeit anonymously, from one emergency to another), outcome mapping, and any other relevant means. A second challenge has to do with the inherent accountability structure of the Clusters – or lack thereof – which renders true attribution sometimes difficult – the CLA accountabilities are clear in terms of coordination. CLAs bear responsibility without authority: responsibility to deliver effective coordination without the authority to enforce action by its Cluster partners. As noted previously, this is consistent with the evaluation’s focus on UNICEF as the unit of analysis and account, while bearing in mind that the behaviours of Cluster partners lie outside the realm of UNICEF’s control. (See Para 13.)

## 1.5 Management and Governance Arrangements

21. The evaluation will be managed by the EO’s Senior Evaluation Specialist, who will oversee the day-to-day progress of the evaluation from start to finish, including quality assurance of the evaluation team’s work, management of stakeholder relations, and efforts to ensure the credibility and utilization of the evaluation. The Senior Evaluation Specialist will be supported by an EO Evaluation Specialist.
22. Two Reference Groups will be established, one internal and one external, to help strengthen the relevance, accuracy and hence credibility of the evaluation, and thereby increase its uptake in the Organisation. The Reference Groups will serve in an advisory capacity, their main responsibility being to review and comment on the main evaluation outputs (i.e., this ToR, the Inception Report, and the draft and final reports). Additionally, members of the Reference Group might be asked to assist with the recruitment of the evaluation team and cull relevant raw data sources within their Divisions/Offices. The Reference Group will be chaired by the EO, and will include 9-10 members as follows:
  - ❖ EMOPS (3 GCCU representatives, 2 of which are reserved for GCCs on a rotating basis and 1 for overall GCCU management; and 1 New York-based colleague from HPS or HFSS);
  - ❖ Programme Division (1);
  - ❖ Supply Division (1);
  - ❖ Division of Human Resources (1); and

- ❖ Regional Offices (2 Regional Emergency Advisers, who will consolidate inputs on the evaluation outputs from non-participating REAs, Regional M&E Chiefs, and the COs under their remit).

The External Reference Group will, at minimum, include OCHA (1), UNHCR (1), UNFPA (1), Save the Children (1), Action Contre la Faim (1, representing the WASH Cluster partnership), and an organization representing the Nutrition Cluster partnership (1). A ToR outlining the Reference Groups' roles and responsibilities has been developed separately.

23. Regional M&E Chiefs, non-Reference Group REAs and other Cluster partners will be kept abreast of the evaluation's progress on a regular basis, and will be consulted on the evaluation outputs by the Reference Group members. The EO will also set up a web page and post regular updates on this evaluation, including major outputs.

## 1.7 Risks, Challenges and Opportunities

24. The EO anticipates several risks in the management of this evaluation that will need to be monitored and addressed in the course of the evaluation process. First and foremost, the evolution of the Cluster approach and the lack of clarity on what logic model or results framework has been used at what stages of the CLA role's implementation with UNICEF can represent a challenge in determining what to hold UNICEF to account for at different times. To address this risk the evaluation team will need to begin this evaluation with a rapid *evaluability*-like exercise to clarify this point. Furthermore, in looking backward the evaluation will focus primarily on the period since 2010, rather than exhaustively reconstructing evidence of results in earlier periods when monitoring data might not have existed.
25. Another risk is that performance monitoring data of UNICEF-(co-)led Clusters will be mostly likely unavailable. Monitoring data are a very powerful information source to measure the performance of UNICEF-(co-)led Clusters. Yet, this other risk can be mitigated through the use of proxy coordination indicators, as well as the generic Cluster indicators used in the *Cluster Approach Evaluation – Phase II* and the subsequent work on the Cluster Coordination Reference Modules undertaken under the umbrella of the IASC Transformative Agenda, which can be used as baselines to assess performance. These indicators will need to draw not only from qualitative, but also from quantitative methods in order to aggregate data from the country case studies and allow for systematic compilation and comparison of data for the final report.
26. Further, timing constitutes another potential risk for this evaluation, as it must be completed by June 2013. Toward this end, the EO will provide the necessary support to the evaluation team to prevent any delays in the completion of the evaluation process. In particular, the EO will be proactive in gathering secondary data for the evaluation

team and ensuring smooth and efficient country visits. The EO will also ensure effective and efficient communications with the Reference Group members, so as to prevent any delays in the review of the evaluation outputs. The EO might also provide some back office analysis support and some support in data collection in the field, if needed, in order to finalize the evaluation on time.

27. It is acknowledged that this evaluation provides a timely opportunity for UNICEF to review its CLA role, in particular now that global Cluster coordination has moved from PD to EMOPS in Geneva and that UNICEF is contributing to the discussion around the Transformative Agenda at the inter-agency level. In addition, some of the preliminary findings and recommendations of this evaluation will be presented at the UNICEF's Annual Executive Board in June 2013, together with a paper on UNICEF's evaluations related to humanitarian action compiled by the EO.

## 1.8 Deliverables and Timeframe

28. The evaluation team will generate the following major outputs that will be reviewed by the Senior Evaluation Specialist in the EO and the Reference Group before being disseminated more widely. These outputs are:
- ❖ An **Inception Report** of maximum 20 pages, excluding annexes. The inception report will outline the evaluation team's understanding of UNICEF's CLA role at the global and country levels. It will include a desk review of previous evaluative exercises related to UNICEF-led Clusters, a stakeholder analysis to identify priorities and possible constraints, a logic model of analysis to assess UNICEF's performance in Cluster coordination, a proposed work-plan and timeframe for the evaluation, and a country case studies selection strategy. In the Inception Report the evaluation team will also include a data analysis plan articulating the specific methods and data sources it will use answering each of the questions in Section IV, including any proposed modifications to these. In addition, the evaluation team will prepare a data collection toolkit that will be reviewed by the EO and the Reference Group.
  - ❖ A **Data Collection Toolkit** that includes a set of data collection instruments (i.e., interview guides, focus group discussion guide, direct observation forms, questionnaires for consultations with affected populations, and so on) to be employed in the course of the evaluation.
  - ❖ A **Power-Point Presentation** that will be used by the evaluation team to present preliminary findings to key stakeholders in a participatory validation workshop in Geneva at the end of country visits.
  - ❖ A **Draft Report** of maximum 50 pages that outlines clear evidence-based conclusions and findings, SMART recommendations, and a crisp, clear and compelling Executive Summary. The draft report will be reviewed by the EO, the

Reference Group and selected CO/ROs for comments on case studies. The report will include a set of summaries for each UNICEF-(co-)led Cluster (i.e., Nutrition, WASH, Education, Child Protection and GBV).

- ❖ A second **Draft Report** incorporating the comments made to the previous draft, along with a response matrix to these comments.
- ❖ A **Final Report** incorporating the final comments of the EO, Reference Group and CO/ROs.
- ❖ A **Power-Point Presentation** presenting the evaluation to key stakeholders.
- ❖ A short **synopsis of the Final Report**, to be translated in French and Spanish and published by the EO for external circulation to UNICEF’s Cluster partners and other stakeholders.
- ❖ A short **Video** to complement the main findings and recommendations of the evaluation in a few minutes.

29. The timeframe below sets out the critical components of the evaluation. It assumes that the Terms of Reference will be finalized by early November and that the evaluation team will be recruited by end November 2012. Final dates will be revised once the evaluation team will be contracted for the evaluation.

**Figure 1 – Evaluation Timeframe**

Constitute Reference Group	31 October 2012
Finalize Terms of Reference	9 November 2012
Recruit and contract consulting team	20 December 2012
Kick off evaluation in Geneva	7 January 2013
Desk Review of existing documents and material	7 January - 1 February 2013
Scoping/Inception mission to Geneva and New York	7-18 January
Deliver draft Inception Report	1 February 2013
Deliver data collection toolkit to EO	8 February 2013
Undertake data collection, including 6-8 field missions	13 February 2013– 29 March 2013
Undertake data analysis and draft report	1 April– 3 May 2013
Participatory validation workshop in Geneva	8 May
Deliver first Draft Report	17 May 2013
Deliver second Draft Report	31 May 2013
Deliver Final Report	30 June 2013

## 1.9 Dissemination and Use

30. The final report for this evaluation will be published online and be publically available on UNICEF’s website, with the executive summary of the report translated in French and Spanish. The final report will make maximum use of relevant images, graphics and other visuals to communicate the analysis clearly and concisely. The synopsis of the final report will also be translated in French and Spanish, printed and shared with UNICEF’s Cluster partners and the Executive Board to enhance use and utilization of

the evaluation. That said, it is paramount that all these products are, not only based on solid evidence, but also well written and that findings and recommendations are SMART. The evaluation team will also deliver a presentation of the preliminary findings to UNICEF's Global Cluster Coordinators and UNICEF's Cluster partners in Geneva. UNICEF colleagues in New York and in CO/ROs will be able to join the presentation by webinar. In addition, the EO and the evaluation team will prepare a short video to summarize in a few minutes the main findings and recommendations of the evaluation. The video will be edited and circulated to a wider audience.

31. That said, the EO will explore with the Reference Group other possible vehicles for communicating the evaluation findings and recommendations and agree on a dissemination plan for the evaluation. A web-page will be set up on the EO's intranet to provide regular updates and share the final evaluation outputs, so as to maintain UNICEF's colleagues informed on the status of the evaluation in real-time.
32. Lastly, it is expected that a standard management response will be developed and implemented as per UNICEF's Evaluation Policy, presumably led by the Deputy Executive Director for Emergencies. The EO can help support OED and EMOPS in this process.

## **1.10 Evaluation Team**

33. The EO will hire an evaluation team comprising of three or four members to conduct this evaluation, including: 1 senior-level team leader; 1 or more senior-level team members; and 1 or more data analysts. In addition, the team may choose to enlist additional expertise on the specific sectoral areas covered by the UNICEF-(co-)led Clusters, and on organisational development in light of the evaluation's focus on identifying the causal factors underlying CLA success. Finally, the team may wish to subcontract the country case studies, in whole or in part, to locally based evaluation partners with superior knowledge of their respective country contexts.
34. The team leader will work on the evaluation full time from start to finish, and in a timely and high-quality manner. S/He will be responsible for managing and leading the evaluation team, undertaking the bulk of the data collection and analysis, as well as report drafting and editing. The senior team leader will also be responsible for data collection and analysis and s/he will contribute to drafting the report. The other team members will be responsible for carrying out most of the back-office support, conducting desk reviews, and assisting the team with data collection and data analysis. In addition, national consultants may be employed for in-country support during the country visits.

35. The evaluation team will comprise the following expertise and skills:

- ❖ Extensive evaluation experience in humanitarian approaches and programmes, especially in the area of Cluster coordination and emergency response;
- ❖ In-depth knowledge of the humanitarian reform process and its Transformative Agenda;
- ❖ Extensive technical and practical organisational development expertise and leadership, in order to help UNICEF think creatively about potential alternatives to its current coordination modalities;
- ❖ Proven experience and institutional knowledge of UN and NGOs, at both headquarters and field locations;
- ❖ Previous experience with UNICEF;
- ❖ Proven expertise in facilitating participative workshops for similar organisations, involving a range of participants from field and headquarters;
- ❖ Extensive experience in leading similar exercises, including experience in country case studies and real-time approaches;
- ❖ Technical expertise in the area of WASH, Nutrition, Education, Child Protection and GBV is preferable;
- ❖ Excellent writing and communication skills in English, and knowledge of French and Spanish;
- ❖ Extensive experience conveying complex evaluation analyses clearly and compellingly, including through the use of clear graphics and visual media.

## Annex 2 – Evaluation methodology description

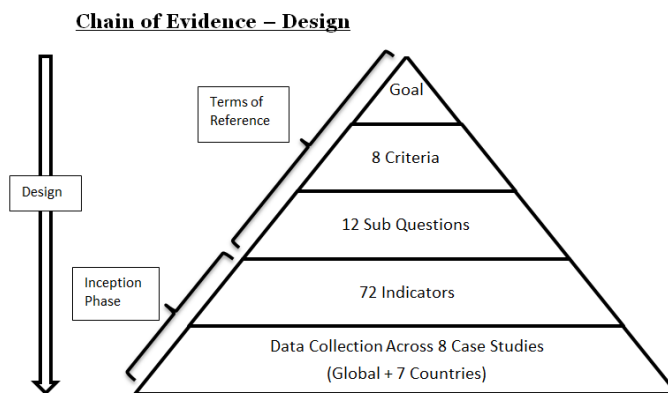
### 2.1 Design

The broad goal of the evaluation was to determine how well UNICEF carries out its Cluster Lead Agency role and provide recommendations for how it could improve in the future. The UNICEF Evaluation Office developed the terms of reference (ToR), which specified the goal and the associated criteria and sub-questions.

The UNICEF Evaluation Office also selected country cases based on a rigorous cluster analysis approach to identify eight homogenous groups of country offices that could demonstrate the diversity of situations where humanitarian clusters have been activated based on key operational and institutional capacity variables. One representative country was selected from each of the eight groups and then validated by an internal reference group.

During the inception phase, the evaluation team assessed and mapped stakeholder interests and conducted an evaluability assessment. It was determined that no clear programme theory or logical results framework was in place against which results and performance could be measured. The evaluators developed, therefore, a high-level theory of change for use in designing the evaluation. Based on the initial guidance and additional information gathered, the evaluators developed a data collection plan and instruments designed for gathering indicative (not causal) data.

The first step in this process involved developing a list of 72 indicators: specific questions or measures to operationalize the more general sub-questions. These indicators were compiled into an integrated series of tools, including internal and external interview and focus group protocols, a series of web-based surveys, and field observation protocols.



Additionally, associated scales and rubrics were also developed to provide evaluative consistency between both case studies and individual team members. Finally, a case study workbook was developed in Excel to provide a unified and consistent format for recording summary notes and evaluative scores for each interview, focus group, observation and the case desk review. While the primary reference for the evaluation design was not a pre-existing theoretical framework, but rather the ToR and input from the UNICEF Evaluation Office, the evaluation followed the general principles of “utilization-focused evaluation”.<sup>23</sup>

## 2.2 Key informants and response rates

Overall, the evaluation collected data from approximately 1,000 people and through the observation of 16 meetings and operation site visits. In total, 393 unique individuals participated in interviews and focus groups, and 650 people responded to a series of global and country case surveys. The key respondents and survey respondents are shown by case study below.

### Key Informants for Interviews and Focus Groups

Case	Interviews		Focus Groups		TOTAL	
	People	Organizations	People	Organizations	People*	Organizations*
Global (NY, GVA, CPH)	83	13	0	0	80	13
South Sudan	27	7	28	15	52	22
Haiti	21	9	4	3	24	12
State of Palestine	16	6	19	11	34	16
El Salvador	23	13	19	11	41	18
Burkina Faso	24	12	67	37	84	45
Nepal	31	9	57	30	86	39
Philippines	6	0	0	0	6	0
Tajikistan	4	0	0	0	4	0
<b>TOTAL</b>	<b>235</b>	<b>69</b>	<b>194</b>	<b>107</b>	<b>411</b>	<b>165</b>

\*Totals adjusted to duplicate for people that were both interviewed and included in focus groups.

UNICEF staff represented 54 per cent of key respondents interviewed and 34 per cent of people in focus groups. Conversely, individuals from partner organizations represented 46 per cent of key respondents interviewed and 66 per cent of people in focus groups.

<sup>23</sup> Patton, M. Q. (1996). Utilization-focused evaluation: The new century text. SAGE Publications, Incorporated

### Country Survey Blended Total Response Rate

Country case:	UNICEF			Partner Organizations			TOTAL		
	Sample Size	Response	%	Sample Size	Response*	%	Sample Size	Response	%
South Sudan	49	27	55	147	47	32	196	74	38
Haiti - French	76	16	45	297	60	20	373	76	25
Haiti - English		18						18	
State of Palestine	33	15	45	229	61	27	262	76	29
El Salvador - English	7	3	57	61	22	36	68	25	38
El Salvador - Spanish		1						1	
Burkina Faso - French	15	3	40	36	14	39	51	17	39
Burkina Faso - English		3						3	
Nepal	11	7	64	34	19	56	45	26	58
Philippines				68	23	34	68	23	34
<b>TOTAL</b>	<b>191</b>	<b>93</b>	<b>49</b>	<b>872</b>	<b>246</b>	<b>28</b>	<b>1,063</b>	<b>339</b>	<b>32</b>

\* 425 Individuals from partner organizations responded to country surveys representing 246 country level organizations.

Three types of surveys were distributed to split samples: 1) country surveys for partners (sample split by country and language), 2) country surveys for UNICEF staff (sample split by country and language), and 3) global surveys for partners (sample split by cluster).

### Global Survey Response Rate By Organizations

Global Cluster/AoR:	Partner Organizations		
	Sample Size	Response*	%
Child Protection	26	11	42
Education	25	8	32
GBV	69	25	36
Nutrition	36	19	53
WASH	22	9	41
<b>TOTAL</b>	<b>178</b>	<b>72</b>	<b>40</b>

\* 132 Individuals from partner organizations responded to global surveys representing 72 cluster level organizations.

The response rate for country surveys of UNICEF staff averaged 49 per cent, and the response rate for the country surveys of external partners averaged 28 per cent of the organizations surveyed. The global survey response rate averaged 40 per cent of the organizations surveyed.

## 2.3 Limitations

As with any evaluation, this project was conducted within specific parameters that unavoidably involve limitations. The overall timeframe for the evaluation was significantly shorter than similarly scoped global humanitarian evaluations. While the evaluation team did not consider any of the following factors to diminish the rigor of the process or validity of the findings, the conclusions of this evaluation must be understood within the following limitations:

- The need to direct data collection and analysis to questions related to the broad Cluster Lead Agency role precluded in-depth examination of specific cluster performance.
- Interviews and focus groups were largely scheduled by UNICEF country offices within the protocols developed during the inception phase.

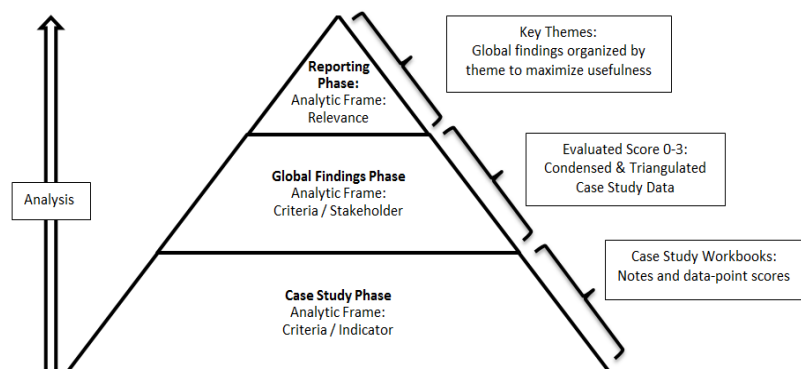
The one-week schedule for country visits precluded most direct observation of cluster activities, and also precluded any independent confirmation of findings reported in interviews.

- Contact lists for the online surveys were provided by UNICEF offices and distribution of the surveys sought to maximize the response of organizations, not individuals.
- Elapsed time between some cluster activities and the evaluation limited detailed feedback by some key respondents.
- Some interviews were conducted by phone rather than in person, which may have limited candour or detail in the information provided. This was a particular limitation in the case studies from the Philippines and Tajikistan, which were carried out by remote contact because of operational limitations.

## 2.4 Analysis rationale

In order to maximize the usefulness of the findings, two elements of the evaluation structure were refined during the analysis phase. First, the broad but conceptually critical “effectiveness” criterion was divided into three more specific criteria following the associated sub-questions: predictability, accountability and partnership. Secondly, a

**Chain of Evidence – Phases of Analysis**



capability matrix was developed to consolidate the data stored at the detailed indicator level into a higher-level structure.

The capability matrix and associated assessment criteria rubric provided the needed guidance to triangulate findings from the diverse data set. Additionally, this tool focused the analysis within the four primary categories of stakeholders identified in the inception phase. The final findings are, therefore, organized within a matrix of eight evaluation criteria with four stakeholder outcome or capability statements for each.

The first step of the analysis process was at the case study level, whereby each member of the case study teams recorded their notes and entered evaluative scores on specific data points using the scales developed in the inception phase.

These individual scores were reviewed, discussed and revised as necessary by other members of the case study team. These then formed the foundation of data and findings for higher-level analysis.

Within the global findings phase, the case study teams met together to triangulate the qualitative and quantitative data within a global findings analytic matrix of 8 criteria by 4 stakeholders each. This phase included assigning evaluative scores using an assessment criteria rubric and 0-3 scale (none, partial, significant, complete) described within the capability matrix. Each case study team presented a summary of their case study findings and overall evaluative scores to the full team during a week-long analysis meeting. The extensive discussions that resulted from this process ensured intra-team scoring consistency, added additional rigor to the methodology by providing extensive peer review of the data, and helped identify overall global findings.

The reporting phase of the analysis was directed toward effective communication and maximizing the usefulness of the evaluation findings for the global stakeholders identified during the inception phase of the evaluation. This was accomplished by reviewing the global findings using the interpretive lens of the trends and ongoing evolution of the global humanitarian system, so that the findings are both understood and presented within the context of a broad history and organizational infrastructure. This process facilitated the identification of the five key themes of the evaluation findings, and these themes form the main structure for the presentation of the findings and recommendations.

Further description of the full evaluation process by steps, description and the documents and data that comprise the chain of evidence is shown in Table 1 below. A high-level summary of the evaluation matrix showing key evaluation criteria, sub-questions and summary of the indicators is shown in Table 2 below.

**Table 1: Evaluation process overview**

Seq	Step	Description	Documents/Data
1	Purpose setting	Confirm overarching evaluation question, criteria, sub-questions.	Terms of reference, confirmed through inception interviews
2	Measures	Develop indicators, identify data sources, design instruments and scales.	Documented and approved in Inception Report
3	Data collection	Global and country case studies: conduct interviews, focus groups, surveys, desk research, observation, compile basic tables summarizing data (e.g. no. of meetings).	Archived PDF copy of all notes (interviews and focus groups) and audio recordings of meetings (as able). Summary of interviews, focus groups and observations notes entered by indicator in case study data workbook. Survey responses downloaded and entered by criteria.
4	Case study analysis phase	Notes on interviews, focus groups and document reviews were entered in workbooks by indicator to capture key comments and insights. Initial evaluative scores based on instrument scales were entered into case study workbooks and reviewed by case study team.	Case study worksheets with notes and preliminary scores. Survey responses downloaded and sorted by indicator.
5	Matrix development of global findings	Development of an analytic framework consisting of a matrix of the 8 criteria by 4 key stakeholder groups (IASC/HCT, UNICEF, partners, governments). This structure focused the analysis to maximize the usefulness of findings, triangulate diverse data sources into global-level findings, and synthesize the broad data set to address high-level questions. A rubric for assigning evaluative scores on 0–3 scale was also developed to ensure inter-coder reliability between the case study teams.	Excel template for synthesizing and analysing all data.
6	Synthesis of global findings	Raw data and evaluative scores from case studies were triangulated and consolidated to synthesize composite scores within the global findings analysis framework by criteria/stakeholder as described above.	Completed for each case study in the Summary Analysis Framework Workbook.
7	Scoring and justification of global findings	Two-person case study teams triangulated data across all sources to determine a 0–3 evaluative score with qualitative justification statement based on the assessment criteria/rubric.	Completed for each case study in the Summary Analysis Framework Workbook.
8	Cross-case analysis of global findings	The full evaluation team reviewed combined case study tables and charts to compare scores by criteria/stakeholder across cases to identify patterns, discuss outliers, ensure intra-rater reliability, and document contextual factors influencing scores.	Combined data tables and graphs.
9	Final consolidation of global findings	The full evaluation team reviewed average evaluative scores across eight case studies, discussed each score, and developed	Consolidated dashboard of scores by criteria and

		synthesized statements of global findings based on cross-case analysis, per case justification statements and re-examination of survey data.	stakeholder and qualitative statements of overall findings
10	Reporting analysis phase	Global findings were analysed to identify relevant thematic groups to focus the evaluation report and maximize the operational usefulness of the findings for a diverse group of stakeholders.	Five key findings for thematic areas.
11	Stakeholder engagement	Present findings and conclusions and engage key leaders in facilitated discussions on options for change in series of five briefings, workshops and debriefing sessions (field and headquarters).	Notes from each session.
12	Options analysis	Review of options per key finding statement and score to identify potential options for change and risks or consequences of each.	Options analysis matrix.
13	Development of preliminary recommendations	Review options analysis matrix and identify preferred option for recommendations.	Options analysis matrix with preliminary team recommendations.
14	Finalization of recommendations	Review feedback from stakeholder engagement and confirm or adjust conclusions and recommendations in first draft of the final report.	First draft final report
15	Stakeholder feedback	Internal and external reference group review of full first and second draft report, with feedback for iterative adjustment and finalization.	Final report [planned].

**Table 2: UNICEF evaluation matrix**

Criterion	#	Sub-Questions	Indicator Descriptive Summary
<b>Relevance / Appropriateness</b>	1.a	How closely aligned is UNICEF's management of its CLA (and co-CLA) responsibilities with the principles and standards prescribed by the Cluster approach?	The 12 indicators for this criterion and sub-questions are especially focused on issues of predictability, but also include coordination performance at the country level and accountability.
	1.b	How closely is UNICEF's coordination support aligned with coordination needs?	
	1.c	To what extent do UNICEF's CLA (and co-CLA) responsibilities comport with its comparative advantages?	
<b>Effectiveness</b>	2.a	To what degree have UNICEF-(co-) led Clusters contributed to improved emergency response through greater predictability?	This criterion and sub questions involve considerable conceptual breadth and relate to many goals raised by stakeholders, such that 28 indicators have been identified to support evaluative conclusions. These indicators address both country and global levels and especially include issues of coordination and performance, but also address partnership, accountability, preparation and response capacity, and predictability.
	2.b	To what degree have UNICEF-(co-)led Clusters contributed to improved emergency response through greater accountability?	
	2.c	To what degree have UNICEF-(co-)led Clusters contributed to improved emergency response through strengthened partnership?	
<b>Efficiency</b>	3.a	How effectively has UNICEF harnessed the resources at its disposal to fulfill its CLA (and co-CLA) responsibilities as successfully as possible?	11 indicators especially related to coordination and performance at the country and global levels as well as predictability, and efficiency.
	3.b	To what extent can it show value-for-money for its CLA investments to date?	
	3.c	To what extent has UNICEF actively identified the most cost-effective means of achieving CLA management success?	
<b>Coherence / Connectedness</b>	4.a	How clearly linked has UNICEF's CLA approach been with other relevant internal initiatives and partners?	12 indicators especially related to coordination and performance at the country and global levels as well as reduced duplication, global preparation and response capacity, predictability, and sectorial performance.
	4.b	How clearly linked has UNICEF's CLA approach been with other relevant external initiatives and partners?	
<b>Coverage</b>	5	To what extent have UNICEF's led (and co-led) Clusters enhanced coverage of humanitarian needs, both in terms of geographic and programmatic coverage, through enhanced coordination by UNICEF?	Qualitative data and ratings from 4 indicators especially related to issues of coverage but also partnership.
<b>Sustainability</b>	6	How well equipped is UNICEF to ensure that its CLA (and co-CLA) responsibilities will result in long-term, enduring sectorial coordination and enhanced response capacity?	5 indicators related to predictability, national preparation and response capacity, and timeliness.

## Annex 3 – Selecting country case studies: Technical note

### 3.1 Background and introduction

The aim of this Technical Note is to summarize the methodology applied in the selection of country cases studies for the Evaluation of UNICEF's Cluster Lead Agency Role (CLARE) in Humanitarian Action.

At the outset of the country case study selection process, the Evaluation Office has presented to the External and Internal Reference Groups a list of variables to identify the most appropriate country cases for this exercise. The Reference Groups have provided comments and endorsed the list of variables in Annex A, which include among others: emergency profile (type and level), stages of CLA implementation (i.e. early activation, implementation, phasing out), number of Clusters in place, number of Cluster members at both the national and sub-national level, presence of OCHA, presence of a UN peacekeeping mission, NDMA capacity and engagement, as well as availability of emergency funds.

A cluster analysis approach has been used for identifying 8 homogenous groups of COs, from which one representative CO has been proposed to the Reference Groups for validation.

### 3.2 Clustering variables

While the endorsed variables were comprehensive, for parsimony's sake, a number of variables have been merged into a composite indicator where possible. A database was compiled based on the below variables that include general CO variables, as well as emergency-specific variables, cluster-specific variables and others. These variables include:

- **Geographical region.** 1=CEE-CIS, 2=EAPR, 3=ESAR, 4=TACR, 5=MENA, 6=ROSA, 7=WCAR.
- **CO budget (including ORE) in the past 5 years.** Amount of CO budget in the past 5 years. Amount of country office budget that is specifically identified as coming from emergency funds in the past 5 years. Funds under \$100,000 were entered as \$0, so as to avoid counting the substantial number of country offices with emergency funds that are clearly remnants of past emergencies from being counted as current emergencies.
- **CO staff size.** Staffing level of the current country programme management plan according to the following coding: 1=0-30, 2=30-50, 3=50-100, 4=100-150, 5=150+.
- **IMF country income classification.** 1=low, 2=lower-middle, 3=upper-middle, and 4=high. The country income classification is included to capture potential for the deployment of national human, financial and institutional resources for preparedness

and/or response. Considered alongside the Gini score, national income levels will enable analysis of the extent to which greater or lesser national income, and the way it is distributed within a population, is positively or negatively associated with more or less risk and preparedness. According to the IMF classification scheme, the groupings are broken into the following categories:

- Low income countries have GNI per capita of US\$1,005 or less.
  - Lower middle income countries have GNI per capita between US\$1,006 and US\$3,975.
  - Upper middle income countries have GNI per capita between US\$3,976 and US\$12,275.
  - High income countries have GNI above US\$12,276.
- **Number of evaluations in the past 5 years.** The number of evaluations, including humanitarian and regular programme, that a country office has undertaken, as evidenced in the Evaluations database. The figure provided is the total number of evaluations, not the number of evaluations which have received a “satisfactory” rating.
  - **Emergency affected in the past 5 years.** Whether or not the country has been affected by an emergency in the past 5 years.
  - **Global Focus Model (GFM) score.** 0=no risk, 100=highest risk. The GFM is a comprehensive risk model developed by OCHA, in cooperation with UNICEF, using Maplecroft databases. The model generates scores for:
    - Hazards, including:
      - natural hazards (50%), composed of: most destructive natural disasters 60%, more limited geographic scope disasters 20%, and slow-onset such as drought and pandemic 20%.
      - human-induced (50%) composed of: conflict 33.3%, extra-judicial/unlawful killings 33.3%, and regime instability 33.3%.
    - Vulnerability, including: poverty (35%), livelihoods (35%), dependency (25%), and environment (5%).
    - Institutional, including: economic (33.3%), institutional (33.3%), and infrastructure (33.3%).

The model equally weights these three categories to produce a composite score of national risk. The model is based on a range of 0-10; to make it comparable to other scores in this dataset, such as EWEA, GFM scores have been recalibrated to a range of 0-100.

- **Number of emergencies in the past 5 years.** Total number of emergencies in the past 5 years.
- **Crisis Level.** L1=country office is able to respond using its own resources. L2=country office response requires additional resources from RO, emergency funds, and standby

partners. L3=emergency requires global response on the part of UNICEF, as elaborated in the SSOPs for L3.

- **Crisis type.** Natural – natural disasters, including floods, typhoons, earthquakes, landslides, etc. Conflict – wars, civil unrest, low-intensity armed conflict, disruptive or violent political protests. Health/Other – pandemic or other health-related crises, as well as emergency response to support refugees.
- **Presence of OCHA.** Presence of an OCHA office in the country.
- **Presence of HC/HCT.** Presence of an HC/HCT in the country.
- **Presence of UN mission.** Presence of a UN peacekeeping or political mission in the country.
- **UN security level.** Current level of security or insecurity in the country based on UNDSS rating scale from 1 (=Minimum) to 5 (=Maximum).
- **Number of Clusters led or co-led by UNICEF.** Total number of Clusters led or co-led by UNICEF in the country, including WASH, Nutrition, Education Clusters and Child Protection and GBV AoRs.
- **CO Cluster staff size.** Staffing level of the Clusters according to the following coding: 1=0-30, 2=30-50, 3=50-100, 4=100-150, 5=150+.
- **Presence of sub-national Clusters.** Presence of sub-national Clusters in the country led or co-led by UNICEF.
- **Cluster type.** Officially adopted Clusters by IASC. Informally activated Clusters or presence of cluster-like sectoral coordination mechanisms at the national or sub-national level.
- **Length of cluster activation.** Median time from activation to deactivation (or to nowadays) in months.
- **Number of Clusters/AORs co-led.** Number of Clusters/AORs co-led with INGOs or with Government (with or without UNICEF in support).

### **3.3 Selection methodology**

With the exception of Haiti, which is a required case due to funding stream supporting the evaluation, identification of the most relevant or interesting remaining case studies has occurred using a two-steps clusters analysis. This procedure offers the possibility to handle categorical and continuous variables simultaneously and the flexibility to specify the cluster numbers on the basis of statistical evaluation criteria.

By running a two-steps cluster analysis, the Evaluation Office has identified 8 homogenous groups (or clusters) of COs. By examining the clustering variables' mean values and by identifying explanatory variables to profile each cluster, the Evaluation Office has selected one representative CO in each group. In doing so, the Evaluation Office has tried to ensure maximum UNICEF regional representation and avoid evaluation fatigue in COs frequently evaluated.

Therefore, in a number of cases the Evaluation Office has selected the second-best CO closer to the clustering variables' mean value. In interpreting the solution of the cluster analysis, the Evaluation Office had summarized the results a summary matrix by defining and labeling the so obtained clusters.

The cluster analysis solution has been also assessed for its statistical reliability and has been shared with the Reference Groups for validation.

### 3.4 Country case studies selection criteria

The following variables have been used to select 8 country case studies that represent a mix of CO profiles and levels and types of experience with emergencies and cluster coordination. Cluster analysis has been used to group COs having similar overall profiles together, from which one representative CO has been proposed.

Variable		Time Frame for Which Variable Is Desired			Source
Description	Response Set	Present	Past 2 Years <sup>24</sup>	Past 5 Years <sup>25</sup>	
General CO Variables					
Geographical region	CEE-CIS, EAPRO, ESARO, MENARO, TACRO, WCARO, ROSA	✓			UNICEF Website
CO staff size	Number of staff (will be recoded as Small, Medium, Large)	✓			DFAM
Average CO budget	<u>Median</u> annual budget during period under review			✓	DFAM
Average CO emergency budget	<u>Median</u> annual emergency budget during period under review			✓	DFAM
Country income level	LIC, MIC	✓			IMF
Emergency-Specific CO Variables					
Emergency-affected	Yes/No	✓	✓	✓	HAC
Not emergency-affected at present, but emergency prone, as measured by level of emergency risk	Current level of emergency risk	✓			EW/EA
Number of emergencies	Total number	✓	✓	✓	EMOPS
Emergency types	Number of natural disasters, conflicts, complex emergencies, health crises ( <i>will need separate var for each type</i> )	✓	✓	✓	EMOPS
Emergency levels	Number of Level 1s, Level 2s, Level 3s ( <i>will need a separate var for each level</i> )	✓	✓	✓	EMOPS
Presence of an HC/HCT	Yes/No	✓			IASC Website
CO known to have begun implementing the TA	Yes/No	✓			IASC Website
Current UN Security Level	Level 1, Level 2, Level 3, Level 4, Level 5	✓			UNDSS Website
Presence of PK Mission or SPM	Yes/No	✓			UN Website

<sup>24</sup> Past 2 years" is defined as 1 January 2010 – 31 December 2012.

<sup>25</sup> Past 5 years" is defined as 1 January 2008 – 31 December 2012.

Number of concurrent emergencies at any given time	Max nr of emergencies CO has responded to at any moment during past 2 years		✓		EMOPS
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Cluster-Specific CO Variables					
Number of UNICEF-led clusters/AORs activated	Number	✓	✓	✓	EMOPS Survey
Clusters/AoRs activated, by Cluster	Yes/No ( <i>one var for each Cluster/AoR</i> )	✓	✓	✓	EMOPS Survey
Presence of sub-national clusters/AORs	Yes/No	✓			EMOPS Survey
CO entails any remotely managed Clusters	Yes/No	✓			EMOPS Survey
Average length of cluster activation (all active clusters)	<u>Median</u> time from activation to deactivation (in weeks)	✓			EMOPS Survey
Size of coordination teams	Nr of CO staff working directly on Clusters (coded later as Small, Medium, Large)	✓			EMOPS Survey
Presence of cluster-like sectoral coordination arrangements at the national or subnational level	Yes/No	✓	✓	✓	EMOPS Survey

Cluster Partnerships Variables					
Number of Cluster/AOR partner organizations – Local NGOs/CBOs/CSOs	Total number of cluster/AOR partners	✓			EMOPS Survey
Number of Cluster/AOR partner organizations - INGOs	Total number of cluster/AOR partners	✓			EMOPS Survey
Number of co-led Clusters/AoRs	Number	✓			EMOPS Survey
Number of Clusters/AoRs co-led with Government	Number	✓			EMOPS Survey
Number of Clusters/AoRs led by Government with UNICEF in support	Number	✓			EMOPS Survey
Education Cluster co-led with Save	Yes/No	✓	✓	✓	EMOPS Survey

Other Cluster Roles Variables					
UNICEF has served as provider of last resort	Yes/No	✓	✓	✓	EMOPS Survey
Clusters engaged in emergency preparedness as well as emergency response	Yes/No	✓			EMOPS Survey

Evaluation-Related Variables					
Emergency evaluation frequency	Number of emergency-related evaluations		✓	✓	Evaluation Database
Emergency evaluation quality (for Paper to Executive Board)	GEROS rating, with additional variable indicating whether old or new scale		✓	✓	Evaluation Database
Emergency evaluations looking at Clusters frequency (UNICEF-specific or Inter-Agency)	Number of Cluster-related evaluations			✓	Evaluation Database
Evidence that ICC issues/challenges have figured prominently in UNICEF and inter-agency evaluations	Yes/No/Not Applicable			✓	Evaluation Database

# Annex 4 – CLARE project bibliography and other resources

## 4.0 Summary of documents reviewed

Country Case	# Docs reviewed
Inception Phase	121
Burkina Faso	51
El Salvador	66
Haiti	103
Nepal	80
State of Palestine	101
Philippines	61
South Sudan	31
Tajikistan	33
Global	151
<b>Total Documents</b>	<b>798</b>

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## Annex 5 – Overview of key respondents

### 5.0 Summary of key respondents

	Location	Respondents
1	Burkina Faso	84 <sup>26</sup>
2	Copenhagen	4
3	El Salvador	41
4	Global & regional	76
5	Haiti	24
6	Nepal	86
7	State of Palestine	34
8	Philippines	6
9	South Sudan	52
10	Tajikistan	4
	<b>Total Documents</b>	<b>411</b>

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<sup>26</sup> The number for Burkina Faso includes an estimated 18 persons who participated in the Child Protection Focus Group Discussion. No names are available.

## 5.1 Burkina Faso

	First Name	Last Name	Organization
1	Allessane	ABDOULAYE	UNHCR
2	Raoul	ADJALLA	Plan International
3	Innocent	BAMOUNI	DAMSE/MENA
4	Boursin	BALKOUNA	Save the Children
5	Ibrahima	BARRY	OCHA
6	Rubin	BAYIHA	UNICEF
7	Andrea	BERTHER	UNICEF
8	Anne	BICHARD	ACF
9	Mauro	BRERO	UNICEF
10	Artlette	COMBARY	ES/CEBNF
11	Saidou	CONGO	DGEB/MENA
12	Boly	COUMBO	Government Health Department
13	Bernard	DARGA	DGRIEF/MENA
14	Guy	DEJONGH	UNICEF
15	Erinna	DIA	UNICEF
16	Germain	KOUAMA	UNICEF
17	Kadessou	DJARMATA	OXFAM
18	Angel	DJOHOSSOC	UNHCR
19	Pablo	DOMINGUEZ	Medicus Mondii
20	Elise	DOMINGUEZ	ACF
21	Alassane	DOUSSA	DAF/MENA
22	Clare	GAILLARDOU	ACF
23	Gnissa	GANOU	DREBA/Centre
24	Marie Claire	GUIGMA	DPEF/MENA
25	Armand	GUIGUEMDE	Government, Health Department
26	Olivier	HANNI	SP/CONASEUR
27	Emmanuel	ILBOUDO	Direction Nutrition, Ministry of Health
28	Barbara	JAMAR	UNICEF
29	Estelle	JURE	GRET
30	Damieu	KABORE	CRS
31	Jean Baptiste	KABORE	DASEJ/MJFPE
32	Bouraima	KABORE	DEP/MESS
33	Goerges	KAFANCO	UNICEF
34	Mamadou	KANTE	UNFPA/UN Resident coordinator
35	George	KARUSO	UNICEF
36	Adama	KODA	Croix Rouge BF
37	Marie Hortense	KOUDIKA	MSF
38	Etienne	KOULA	SOS/JD
39	Prosper	LAMADO	Direction Nutrition, Ministry of Health

40	Fatoumata	LAKAODE	UNICEF
41	Clementine	LEPRETTE	Red Cross Belgium
42	Manogo	NATENIENDE	Government Health Department
43	Biram	NDIAYE	UNICEF
44	Sylvana	NZIRORERA	UNICEF
45	Isabelle	OUEDRAOGO	AMMIE
46	Dr. Catherine	OUEDRAOGO	Micronutrient Initiative
47	Henri	OUEDRAOGO	DAMSE/MENA
48	Youssoufou	OUEDRAOGO	DEP/MASSN
49	Seni	OUEDRAOGO	SP/PDDEB
50	Hadissa	OUEDRAOGO	Plan Burkina
51	Rosine	OUEDRAOGO	CRS/BF
52	Eric	PITTOIS	ECHO
53	Tinga	RAMDE	Secretariat Executif du Conseil National de Securite Alimentaire of Agriculture
54	Christian	RASMUSSEN	EU
55	Monica	RINALDI	HELP
56	Frédéric	SANKARA S.	DEP/MENA
57	Aboubacry	TALL	UNICEF
58	Franck	TAMINI	UNICEF
59	Sylvestre	TAPSOBA	UNICEF
60	Jean Martin	TOEJ	DPEPE/MASSN
61	Regina	TRAORE-CHASSANOVA	Helen Keller International (HKI)
62	Janet Marie	TRUCKER-MIAWOTOE	USAID
63	Ruben	UM BAYIHA	UNICEF
64	Koudbi-Denis	ZONGO	Red Cross Burkina Faso
65	Yacouba	ZOUGRANA T.	DGAENF/MENA
66	Catherine	ZXOUNGARANA	IRC

## 5.2 Copenhagen

	First name	Last name	Organisation
1	Joselito	Nuguid	UNICEF
2	Jean-Cedric	Meeus	UNICEF
3	Chris	Cormency	UNICEF
4	Jens	Grimm	UNICEF

### 5.3 El Salvador

	First Name	Last Name	Organization
1	Sergio	Aguñada	UNDP
2	Aminta	Alfaro	ISNA
3	Maria Luisa	Benítez	MINED
4	Raquel	Brito	ISNA
5	Silvia	Chávez	MINED
6	Salomón	Cruz	Plan Internacional
7	Arnoldo Rafael	Cruz López	MINSAL
8	Víctor	García	IOM
9	Marla	Gonzales	Visión Mundial
10	Mauricio	Guevara	MINGOB
11	Silvia Erendida	Hernandez	MINED
12	M.	Hernandez	Fuerza Armada de El Salvador
13	Fatima	Herrera	Save the Children
14	Gordon Jonathan	Lewis	UNICEF
15	Alberto	Lizama	MINGOB
16	Alba Azucena	López	MINED
17	Carlos Tito	López	ISNA
18	Marlene	López Puentes	Cruz Roja Salvadoreña
19	Angel	Marcos Ramos	AECID
20	Bella Aurora	Marfir	Seraphim
21	Maria Teresa	Mejía	UNICEF
22	Ana Marina	Morales Carbonell	UNICEF
23	Robert	Oliver	PMA
24	Eduardo	Ortiz	OPS
25	Fedor	Paredes	MINSAL
26	Victor	Perez	PDDH
27	Stefano	Pettinato	UNDP
28	Karen de los Angeles	Ramírez	Pro Vida
29	Elbyn	Ramírez	PMA
30	Rafael	Ramírez	UNICEF
31	Tnte.	Reyes Giron	Fuerza Armada de El Salvador
32	Claudia	Rivera	UNDP
33	Dagoberto	Rivera Rivera	UNICEF
34	José Alberto	Romero Lizama	MINGOB
35	Jose	Ruales	OPS
36	Jorge	Sagastume	IOM
37	Laura	Salamanca	UNICEF
38	Baudilio	Ventura	MINGOB
39	Efraín	Vigil Navarrete	SERAPHIM
40	Mirna	Zelaya	Cruz Roja Salvadoreña
41	Tatiana		ISNA

## 5.4 Global and regional

	Last Name	First Name	Organization
1	Andrews	Sinead	UNICEF
2	Aubin	Louise	UNHCR
3	Barnett	Catherine	UNICEF
4	Beers	Mia	OFDA
5	Bissell	Susan	UNICEF
6	Boutin	Genevieve	UNICEF
7	Bouvet	Franck	UNICEF
8	Boyd	Erin	UNICEF
9	Brandt	Yoka	UNICEF
10	Bridle	Richard	UNICEF
11	Brun	Delphine	GenCap
12	Buono	Gianluca	UNICEF
13	Burns	Katharine	OCHA
14	Carty	Dermot	UNICEF
15	Chaiban	Ted	UNICEF
16	Chauvin	Luc	UNICEF
17	Compingt	Emanuelle	UNICEF
18	Desmoulins	Bertrand	UNICEF
19	Doughten	Lisa	UNICEF
20	Doyle	Brendan	UNICEF
21	Forsythe	Vivienne	UNICEF
22	Girdwood	Alison	DFID
23	Guerrero	Saul	Action Against Hunger
24	Haiplik	Brenda	UNICEF
25	Hedges	James	UNICEF
26	Hjelmervik Gudnitz	Sune	UNICEF
27	Hodgkin	Marian	UNICEF
28	Iyer	Akhil	UNICEF
29	James	Andrea	UNICEF
30	Jones	Jamie	Relief International
31	Kenney	Erin	UNICEF
32	Khalikov	Rashid	OCHA
33	Kunugi	June	UNICEF
34	Lander	Brian	WFP
35	le Pechoux	Michel	UNICEF
36	Leaity	Grant	UNICEF
37	Lehman	Heidi	IRC
38	Lewis	Gwyn	UNICEF
39	Loupforest	Christelle	IASC
40	Malley	Anita	OFDA
41	Maly	Ted	UNICEF
42	Marsh	Mendy	UNICEF

43	McCarthy	Reuben	UNICEF
44	McCarthy	Robert	UNICEF
45	Mogwanja	Martin	UNICEF
46	Monsourian	Hani	UNICEF
47	Mulholland	Shannon	UNICEF
48	Nippita	Nalinee	UNICEF
49	Orchison	Marion	UNICEF
50	Ouellette	Christine	UNFPA
51	Page	Kent	UNICEF
52	Pakkala	Leila	UNICEF
53	Papathanassiou	Dimitri	UNICEF
54	Parker	Andrew	UNICEF
55	Pedersen	Soren	Save the Children Norway
56	Perry	Abigail	DFID
57	Phelan	Mark	OFDA
58	Piyaka	Asa	OFDA
59	Porter	Martin	UNICEF
60	Ratna	Jalpa	UNICEF
61	Salazar	Christian	UNICEF
62	Saunders	Graham	IFRC
63	Schultink	Werner	UNICEF
64	Scott	Niels	OCHA
65	Shanahan	Paul	UNICEF
66	Siegrist	Saudamini	UNICEF
67	Simonian	Guillaume	UNICEF
68	Son	Gwi-Yeop	OCHA
69	Sparkes	James	Save the Children
70	Tassew	Betel	UNICEF
71	Temple	Julien	UNICEF
72	van Heese	Carmen	UNICEF
73	van Kalmthout	Ellen	UNICEF
74	Verhaar	Julie	UNICEF
75	Wood	Gavin	UNICEF
76	Wreikat	Lana	UNICEF

## 5.5 Haiti

	First Name	Last Name	Organization
1	Philippe	Allard	ACF
2	Jacques Elie	Bernard	UNICEF
3	Giovanni	Cassani	CCCM Cluster Coordinator
4	Nora	Chefchaoui	Save the Children
5	Rodrigue	Crevecoeur	DPC
6	Viviana	De Annuntiis	OCHA
7	Giulia	Gagliardini	Oxfam GB

8	Naoko	Imoto	JICA
9	Fedia	Laguerre	Haitian Red Cross
10	Elke	Leidel	ECHO
11	Margerett	Lubin	Save the Children
12	Trish	Morrow	ACF
13	Rebecca	Pankhurst	UNICEF
14	Roosevelt	Pauris	DRU/DINEPA
15	Johan	Peleman	OCHA
16	Lorenza	Rossi	IOM
17	Asako	Saegusa	UNICEF
18	Stefano	Savi	UNICEF
19	Herbert	Schembri	UNICEF
20	Nicholas	Stockton	OCHA
21	Olivier	Thonet	UNICEF
22	Raoul	Toussaint	DRU/DINEPA
23	Julio	Urruela	UNICEF
24	Alvaro	Vadillo	WHO

## 5.6 Nepal

	First Name	Last Name	Organization
1	N/A	N/A	Department of Education
2	Dr. Ojaswi	Acharya	ACF
3	Surya	Acharya	NSET
4	Bamshi	Acharya	Ministry of Home Affairs
5	P.S	Adhikari	IFCD
6	Pitambar	Adhikari	Ministry of Home Affairs
7	Pitambar	Aryal	Nepal Red Cross Society
8	Laxman	Basyal	Department of Education
9	Pushpa	Bidari	NGO/Plan
10	Laura	Bill	UNICF
11	Mamta	Bista	Department of Women and Children
12	Dev Narayan	Chaudhary	NGO/WVI
13	Gopal	Dahal	LWF
14	Sarita	Dahal	WOREC
15	Subhadra	Devkota	NRCS
16	Dhruba	Devkota	SC
17	Bhesh Raj	Ghimire	District Development Committee
18	Amrit Bd.	Gurung	WFP
19	Hari	Karki	UNFPA
20	Sumit	Karn	CHD
21	Piyush	Kayastha	ECHO
22	Ghanashyam	Khatiwada	Consultant
23	Suraj	Koirala	TPO
24	Om Prasad	Koirala	District Education Office

25	Ram	Luetel	OCHA/HSU
26	Jyoti Rana	Magar	World Education
27	Manoj	Manandhar	OXFAM
28	Andrew	Martin	OCHA/HSU
29	Rajendra	Pandey	District Development committee
30	Laxmi	Paudyal	SC
31	Dr. Tara Nath	Pokhrel	Child Health Division
32	Chiranjibi	Poudel	Department of Education
33	Amar	Poudyal	NRCS
34	Rishi	Pramod	WVID
35	Sushma	Rajbanshi	UMN
36	Janaki	Rathi	Women Development Office
37	Femila	Sapkota	NHRC
38	Sumit	Shah	SC
39	Dr. Shree Ram	Shah	District Health Officer
40	Sunita	Sharma	OXFAM
41	Prajwal	Shrestha	ENPHO
42	Madhukar Bd.	Shrestha	HKI
43	Sudha	Shrestha	UN Habitat
44	Yagya	Shrestha	NGO/WEL
45	Prabhat	Shrestha	Water, Sanitation and Sewerage Division Office
46	Saman	Shrestha	Water, Sanitation and Sewerage Division Office
47	Bal Mukuda	Shrestha	Ministry of Urban Development
48	Toya	Subedi	RCHCO
49	Lila Bikram	Thapa	Child Health Division
50	Laxman	Thapa	District Admin Office
51	Shanti	Upadhyaya	WV
52	Caroline	Vendilini	UNRCO
53	Jhapper singh	Vishworkarma	Department of Education
54	Adriana	Zarrelli	UNICEF
55	Andreas	Knapp	UNICEF
56	Eva	Ahlen	UNICEF
57	Anirudra	Sharma	UNICEF
58	Danee	Luhar	UNICEF - Child Protection
59	Saba	Mebrahtu	UNICEF
60	Radha	Gurung	UNICEF
61	Arinita	Maskey Shrestha	UNICEF
62	Sabina	Joshi	UNICEF
63	Siksha	Basnet	UNICEF/Nutrition
64	Naveen	Paudyal	UNICEF/Nutrition
65	Pradumna	dahal	UNICEF/Nutrition
66	Sujay	Nepali	UNICEF/Nutrition
67	Sanjay	Rizal	UNICEF/Nutrition

68	Anu	Paudyal	UNICEF/WASH
69	Radhika	Tumbahangphey	UNICEF
70	Kam Dev	Khanal	UNICEF/BRT
71	Rudra B.	Khadka	UNICEF/NPJ
72	Ram Prasad	Gautam	UNICEF/NPJ
73	Surendra Singh	Rana	
74	Gyan B.	Bhujel	
75	Sunita	Kayastha	
76	Misaki	Ueda	UNICEF
77	Asim	Shrestha	UNICEF
78	Sabina	Joshi	UNICEF
79	Radha	Gurung	UNICEF
80	Anirudra	Sharma	UNICEF
81	Sunita	Kayastha	UNICEF
82	Sundar	Lama	UNICEF
83	Kamdev	Khanal	UNICEF
84	Amir Das	Rajbhandari	UNICEF
85	Rajendra	Shakya	UNICEF
86	Hanaa	Singer	UNICEF

## 5.7 State of Palestine

	First Name	Last Name	Organization
1	Constantijn	Wouters	UNICEF
2	Safa	Nasr	UNICEF
3	Diane	Araki	UNICEF
4	Maryanna	Schmuki	Save the Children
5	Bruce	Grant	UNICEF
6	Katherine	Cocco	UNICEF
7	Bilas	Dongol	UNICEF
8	Terry	Durnnian	UNICEF
9	Subha	Ghannam	UNICEF
10	Bruce	Grant	UNICEF
11	Li	Fung	OHCHR
12	Majeda	Alawneh	PWA
13	Katariina	Stewart	EAPPI
14	Sameer	Emran	MoE, DG Projects
15	Dario	Franchetti	Vento di Terra
16	Marta	Kazsubska	Polish Humanitarian Action
17	Ayman	Rabi	Palestinian Hydrology Group
18	Michelle	Pierpaoli	GVC
19	Tim	Holmes	Oxfam
20	Rabah	Salameh	MoE, DG Projects
21	Elise	Reslinger	Secours Islamique
22	Elena	Romahi	OCHA

23	Stephen	Williams	ECHO
24	Elisa	Paz Cayon	AECID (Spanish Cooperation)
25	Ibtisam	Abu Shammalah	UNICEF
26	Yasser	Nassar	UNICEF
27	Douglas	Higgins	UNICEF
28	Maryanna	Schmuki	Save the Children
29	Hamada	Al Bayari	OCHA Gaza
30	Katherine	Cocco	UNICEF
31	Jennifer	Moorehead	Save the Children
32	Theirry	Foubert	Belgian Cooperation
33	Jeremy	Bron	Terre des Homme
34	Maria Jose	Torres	OCHA

## 5.8 Philippines

	First Name	Last Name	Organization
1	Maria Lourdes	de Vera	UNICEF
2	Michael Emerson	Gnilo	UNICEF
3	Patrick	Halton	UNICEF
4	Rhohannie	Baraguir	UNICEF
5	Leon Dominador F.M.	Fajardo	UNICEF
6	Abdul	Alim	UNICEF

## 5.9 South Sudan

	First Name	Last Name	Organization
1	Yasmin	Haque	UNICEF
2	Alessia	Turco	UNICEF
3	Emma	Drew	UNICEF
4	David		UNICEF
5	Syeeda	Begum	UNICEF
6	Prascilla	Baylo	UNICEF
7	Patrick	Okuni	UNICEF
8	Anthony Milla	Taban	UNICEF
9	Bekele		UNICEF
10	Tom	White	UNICEF
11	Mariya	Selvarm	UNICEF
12	Amson	Simbolon	UNICEF
13	Syeeda	Begum	UNICEF
14	David	Igulu	UNICEF
15	Grace	Kyeyune	UNICEF
16	John	Ngori Bono	UNICEF
17	William	Kollie	UNICEF
18	Sunil	Verma	UNICEF
19	Nyauma	Nyasani	UNICEF

20	Pelucy	Ntambirweki	UNICEF
21	Dr. Abdi Adeu	Mohamed	WHO
22	Javana	Luka Joseph	RRC
23	Vincent	Lelei	OCHA
24	Cathy	Howard	OCHA
25	Emma	Tuck	Solidarites International
26	Damian	Seal	Goal
27	Gabriela	Philips	Samaritans Purse
28	Andrew	Simbrog	Mercy Corps
29	Ludovico	Gammarelli	DG ECHO
30	Andrew	Yunda	MWRI
31	Sophia	Wambaire	NHDF
32	Oliver	Wright	MedAir
33	A	Florington	Nonviolent Peaceforce
34	Nadia	Noor	Save the Children International
35	Charles	Wanib	Street Children Aid
36	Agelina	Alal	Plan International
37	Esther	Akumu Achire	Ministry of General Education and Instruction
38	Becky	De Graaff	ADRA
39	Gloria	Kusemererwa	WFP
40	Peter	Trotter	UNHCR
41	Sarah	Lindvall	UNHCR
42	Fabien	Sambussy	IOM
43	Kondwani	Mwangulube	UNFPA
44	Simon Q	Mphisa	UNICEF
45	Jesse	Pleger	UNICEF
46	Farzana		UNICEF
47	Fatuma	Ibrahim	UNICEF
48	Siddartha (Sid)	Shrestha	UNICEF
49	Ian	Purves	DFID

### Phone interviews:

	First Name	Last Name	Organization
1	Toby	Landsar	HC
2	Caroline	Nyamamayombe	UNFPA

### 5.10 Tajikistan

	First Name	Last Name	Organization
1	Arthur	van Diesen	UNICEF
2	Laylee	Moshiri	UNICEF
3	Sara	McGinty	UNICEF
4	Boimurod	Bobodjanov	UNICEF

## Annex 6 – Concept note on cluster lead agency performance measurement

### 6.1 Performance measurement

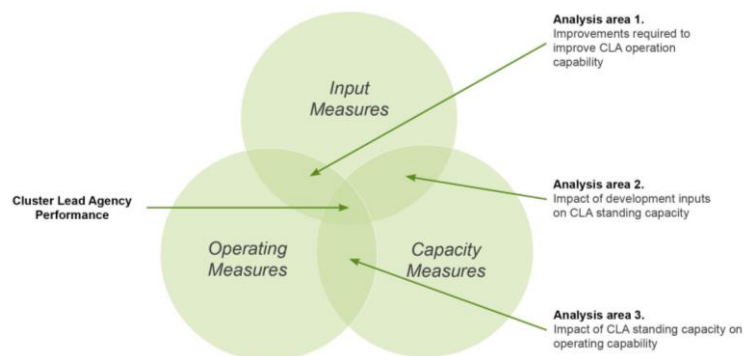
There are 3 reasons for UNICEF to measure its performance as CLA;

- To prove UNICEF is meeting the responsibilities it has agreed to take on as part of the IASC cluster system
- To understand how much of the organisational capacity that UNICEF requires to carry out its CLA role is in place
- To identify and track any required inputs to develop UNICEF CLA capacity and check they have had the desired effect.

This measurement can be effected using the performance framework shown in figure below.

The framework is made up of three sets of measures, directly linked to the three reasons for measuring performance. In combination these describe UNICEFs CLA performance. In outline, they can be built and operated as follows;

**Figure 1: UNICEF CLA performance framework**



**Operating Measures;** these measures are set up by designing a framework made up from the key competencies of UNICEFs CLA role. These competencies are made up from the collective IASC guidance on implementing the cluster approach and grouped under commonly accepted OECD/DAC evaluation performance criteria. The main agreed responsibilities are described for each competency in relation to the key stakeholders. An example is shown below.

The same grid format is used to build the measurement framework for each of the other competencies; predictability, accountability partnership, efficiency, coherence, coverage and sustainability. In order to ensure comparability and compatibility, the evaluated score is made against a set of standard descriptions from the reference sheet shown below.

Again, the same reference grid format is used to build the reference framework for each of the other competencies; predictability, accountability partnership, efficiency, coherence, coverage and Cluster Operating Measures **EXAMPLE**

Competency	Stakeholders	Responsibility	Requirement on CLA	Evaluated Score	Justification	Action required
Explanation						
Competencies based on UNICEFs agreed IASC cluster role	Main agencies involved in/ affected by UNICEFs role. These are fixed for all competencies.	The main outcome(s) the stakeholder requires from UNICEF in its cluster lead role for this competency	Description of the outcome in terms of the outputs, as well as tools / standards / resources that should be in place to support delivery.	Quantifies how well does UNICEF meet its requirement (see score sheet guide)	Explanation on why the score was given with reference to evidence	List of actions to be taken, including who takes them, the deadline and the expected impact

Example						
Competency 1 Relevance / Appropriateness	IASC/HCT	UNICEF's management of its CLA responsibilities is aligned with the principles and standards prescribed by the Cluster approach.	UNICEF disseminates IASC policies and provides specific guidance to operationalize them in its CLA role.	to be filled during review	to be filled during review	to be filled during review
	UNICEF	UNICEF's CLA (and co-CLA) responsibilities are aligned with and make full use of its comparative advantages.	UNICEF makes full use of the organisation's capabilities (institutional, technical programme, coordination and guidance) and fulfils its CLA responsibilities in each cluster/AoR.	to be filled during review	to be filled during review	to be filled during review
	Partners	UNICEF's coordination support is completely aligned with coordination needs of partners.	UNICEF staff understand coordination needs of partners and have access to all attributes (systems, tools, guidance and skills) to enable cluster coordination to adequately meet these needs.	to be filled during review	to be filled during review	to be filled during review
	Government	UNICEF cluster coordination support complements and augments national government coordination capacities based on situation and effectively handles activation, transition and deactivation.	UNICEF cluster coordination teams are sensitive to evolving situations and government capacities and inform adjustments to scale and shape of coordination support.	to be filled during review	to be filled during review	to be filled during review

sustainability.

All UNICEF clusters are compared against the set measured every 6 months, and on deactivation, by a member of the Global CLA team (RO or Geneva). Simple analysis of the findings can be carried out to generate a standard report for distribution to the identified stakeholders, immediate action if required, and to feed into the annual CLA Performance Report.

**Capacity Measures;** these measures are set up by designing a framework that describes the organisational capacity UNICEF requires to fulfil its CLA responsibilities. This is broken down into four categories; HR, processes, Infrastructure and assets and information systems.

An example for the HR is shown in a grid over the page. It should be noted that this is just an example and the final measures are to be designed by the Global CLA team. They may include more or less measures than shown. The same exercise is carried out for the processes including guidelines and policies, infrastructure and assets and information systems elements.

Each year the Global CLA team evaluate if the future capacity requirement is to be adjusted. It then measures the current organisational capacity against the requirement and identifies any gaps and prioritises these in a report.

Cluster Capacity Measurement **EXAMPLE**

Capacity Element	Responsible	Capacity Requirement	Measurement Description	Current Percentage	Justification	Action Required
Explanation						
Area of capacity	Person responsible for capacity development and maintenance	Description of the capacity required for UNICEF to play its CLA role	Description of how the total capacity requirement	How much of the capacity requirement is in place. Use 0%, 25%, 50%, 75% or 100%	Explanation on why the score was given with reference to evidence	List of actions to be taken, including who takes them, the deadline and the expected impact

Example

Human Resources	Head of Cluster Cell	Roster of trained cluster coordinators	The number of available trained coordinators by cluster type that need to be available for each region of the world. Training includes cluster deployment, operation and phase out, as well as the capability to carry out the performance measurement staff.	to be filled during review	to be filled during review	to be filled during review
	Head of EM OPS	All country reps trained on UNICEF CLA role, how it operates and their responsibility.	Target percentage of country reps to attend face to face training within the current year, and target percentage of country reps that should receive organisation updates. Training includes cluster deployment, operation and phase out, as well as the performance measurement system.	to be filled during review	to be filled during review	to be filled during review
	Cluster Coordinators	Cluster ready staff identified, in place and trained to support phase-in, deployment and phase out of cluster system	Name and number of countries that require trained cluster ready staff, by cluster type, in sectorial departments as preparedness for cluster deployment and phase out.	to be filled during review	to be filled during review	to be filled during review

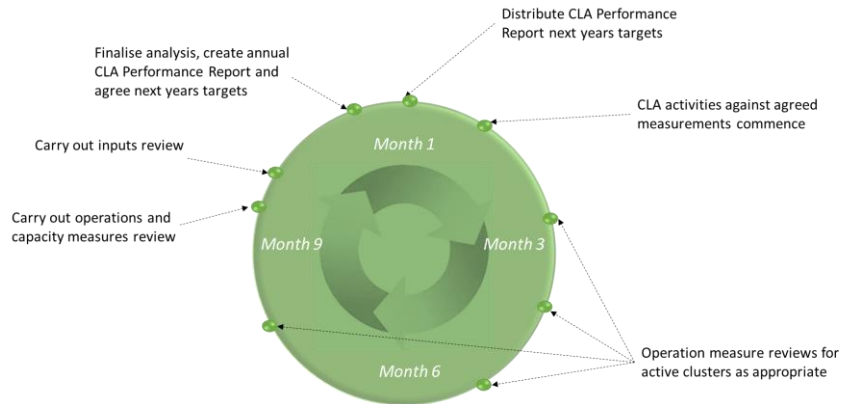
**Input Measures;** essentially this tracks the implementation of a set of identified development actions and budget. In the initial phase these will be made up from recommendations around the 5 thematic areas identified in the CLARE 2013 report.

Each year (straight after the capacity measurement exercise) the CLA global team analyse the implementation and impact of planned development actions on the operating and capacity measures. Any corrective actions to change UNICEFs CLA capacity are identified. These are prioritised, planned and a budget for implementation is produced.

The timing cycle for the performance measurement system is shown in the figure below.

**Figure 2: CLA performance measurement cycle**

Each year, following the completion of the annual operations, capacity and input measurement reviews, a final report is produced by the CLA global team.



This is made up of analysis of the three sets of measures, and results in an overall rating of UNICEF's performance in its CLA role.

It will also contain the input development actions and budget for senior management approval. Once agreed this forms the basis for the report and briefing to cluster partners, participants and donors. It also forms the basis for the measurements set for the following year. These can be disseminated to the relevant managers for action.

## 6.2 Important notes

- This performance measurement mechanism is designed to help UNICEF manage its CLA role. It is not designed to measure the technical performance or impact of individual thematic clusters, although the same approach could be applied.
- It is noted that the IASC country-level Coordination Performance Monitoring tool is currently being piloted. Whilst this tool may be useful to evaluate the collective performance of individual clusters, it does not include all the measures UNICEF require for a comprehensive and robust performance measurement system. The IASC monitoring tool could however easily be populated from the proposed UNICEF measurement system.
- All the information shown in the examples is provisional. The final measures need to be generated by the people who will be required to implement these.

## Annex 7 – Concept note on cluster coordination capacity development

### 7.1 Capacity development

Capacity building is a process through which individuals, organizations, communities and nations strengthen and maintain the capabilities to set and achieve their own development objectives, defined within norms of human rights and gender equality. According to the UNDG capacity development is one of five key principles for country programming.<sup>27</sup>

An organization’s capacity can be defined as its potential to perform; its ability to successfully apply its skills and resources to accomplish its goals and satisfy its stakeholders’ expectations. The aim of capacity development is to improve the potential performance of the organization as reflected in its resources and its management<sup>28</sup>. Capacity refers not only to skills and knowledge but also to relationships, values and attitudes, complex learning and adaptation and change at the individual, organizational and environmental levels.<sup>29</sup>.

**Table 1: Systemic Capacity Development – individual level, organizational level and enabling environment**

Source	Individual level <i>Skills, knowledge and experience</i>	Organizational Level <i>Internal organizational structures, organizational policies and procedures</i>	Enabling Environment <i>Laws, national policies and frameworks</i>
UNICEF: Capacity Development for The Core Commitments for Children in Humanitarian Action, Technical Note (25 July 2011)	Individual capacity can include <b>technical expertise</b> in a particular sector, e.g. skills, knowledge and experience. It can include <b>management skills</b> of system managers, and decision-makers at sub-national and national levels. Individual capacity can also include the ability and willingness to contribute to plans and their implementation.	<b>Internal organizational structures (including equipment and supplies), organizational policies and procedures</b> within and among organizations, institutions, communities and sectors.	Enabling environment is the <b>broad national structures</b> within which individuals and organizations function, such as national laws, policies and frameworks. E.g. IASC policies and guidance, donor support, engagement with partner organisations.

Organization and environmental capacity development as described in table 1 above are beyond the individual control of a cluster coordinator.

<sup>27</sup> Capacity Development for the Core Commitments for Children in Humanitarian Action, Technical note. 25 July 2011

<sup>28</sup> Source: International Development Research Centre (IDRC)

<sup>29</sup> Source: Capacity building framework, UNESCO-IICBA

## 7.2 UNICEF's current coordination capacity development activities

To optimize organisational capacity, an overall Theory of Change should be available to guide and align capacity development efforts on all three levels. The CLARE team concluded in the inception phase that such a UNICEF wide Theory of Change does currently not exist. The recently conducted review of UNICEF MENARO's cluster-coordinators capacity enhancement actions 2008 – 2012 underlines this finding stating that: *'no overall strategy for capacity enhancement for cluster coordinators exists. Strategic direction as such may be found in donor funding material and AWP's'*.<sup>30</sup>

As a result there is no overall strategy for cluster capacity enhancement, causing (i) limited alignment and linkage between global, regional and local capacity development efforts, (ii) limited linkage between capacity development and improved consistency, predictability and efficiency of emergency response, and (iii) lack of criteria to identify the appropriate staff profiles to participate in specific capacity development efforts.

UNICEF has recognized the need for development of a capacity development strategy and recently engaged an external consultancy team to (i) develop ToRs for UNICEF Cluster/AOR coordinators and IM managers, (ii) develop a training strategy and craft three training packages (revised basic Cluster Coordinator Training, (iii) Training package used by different clusters (in-country) and advanced Cluster Coordinator Training). The CLARE evaluation team recommends to base capacity development initiatives for all three levels described in table 1 on an overall Theory of Change.

Based on the CLARE evaluation findings and the recent review of UNICEF MENARO's cluster-coordinators capacity enhancement actions, it can be concluded that UNICEF applied a fragmented approach to cluster coordination capacity development focused on individual learning rather than on group or organization learning. This is most clearly reflected in the emphasis on traditional capacity development efforts through individual class room training with little attention for creation of other capacity development tools. Examples of other tools are competency development programmes targeting different coordinator profiles and levels of responsibility (phased capacity development approach), interactive field simulation exercises, knowledge sharing systems, on-the-job training, mentoring mechanisms, performance management processes and systems, career development paths and creation of specific e-learning modules. All UNICEF (sub-) clusters organise cluster-specific or combined (multi-cluster) highly appreciated individual class-room training at global, regional and local level.

The majority of these initiatives is focused on Cluster Awareness (e.g. the Cluster Approach, Transformative Agenda and purpose of coordination), generally combined with basic coordination abilities such as presentation and negotiation skills, and meeting management. It is recognized that in-person training allows for cluster staff to meet peers working at UNICEF or at other

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<sup>30</sup> Source: Review of MENARO's cluster-coordinators capacity enhancement actions 2008 – 2012, February/March 2013, Richard Luff – Independent consultant.

organisations, presenting an added value for actual field implementation. It can though be questioned if the current training approach uses the full potential of bringing people together. Basic knowledge could be trained through e-learning, allowing for in-person training to focus on practical application of skills, and on sharing of experiences and ideas on how to deal with the major common 'operational' challenges. An example of this type of e-learning is the Service Mindset Training instructing logistics coordinators on basic inter-personal skills, developed and disseminated by the Logistics Cluster<sup>31</sup>.

Regardless of their level or envisioned future deployment, cluster coordination staff follow the same training sessions. Different levels of responsibilities will however require different skills sets. For example, cluster coordinators deployed for large-scale emergencies involving a large number of humanitarian organisations will be required to have stronger leadership skills than colleagues involved in Information Management. In addition, the CLARE evaluation shows that UNICEF staff and partners are of the opinion that it is essential that key UNICEF staff involved in cluster coordination such as the Country Representatives and Deputy Representatives and key staff in sectors should be educated too.

### **7.3 Possible improvements for coordination capacity development activities**

As a start, UNICEF should ensure selection of suitable cluster coordination staff (right profile) from the different staffing sources, for different levels and roles of deployment.

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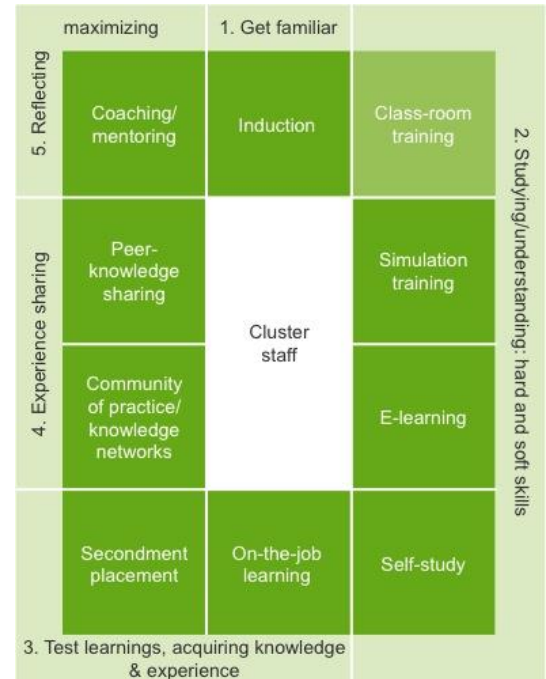
<sup>31</sup> This training can be downloaded from the Logistics Cluster website: <http://www.logcluster.org/tools/trainings>

These carefully selected candidates should be prepared for deployment and supported in continuous learning by offering a systematic capacity development approach that goes beyond training. Ideally, UNICEF would develop a comprehensive development programme to continuously build cluster coordination staff capacity based on personal learning needs while considering the entry-level profile and skills, and expected level of responsibilities of deployment.

The development process could exist of the following components:

1. Get familiar with the (UNICEF) cluster approach and context
2. Study and understand required cluster coordination hard and soft skills
3. Test learnings, acquire practical knowledge and build experience in practice (possibly mentored/supervised by an experienced colleague)
4. Share and discuss experiences with peers/colleagues
5. Reflect and maximize individual performance

**Figure 1: Elements of comprehensive capacity development**



As reflected in figure 1, UNICEF could make use of a mix of ‘tools’ to support cluster coordination staff through a learning and development programme.

## 7.4 Capacity development measures

There is a need to develop indicators for designing, implementing and monitoring capacity development, and provide guidance to the field on what these indicators entail. Indicators in planning documents in general focus on training, but the concept of capacity development at three levels requires different performance indicators for each level. For instance, the number of people trained is an output indicator at the individual level. Indicators that measure the performance of UNICEF as an organization may include number of cluster coordinator deployments of a certain quality in a timely and cost-effective manner. At the enabling environment level – policy or institutional framework – indicators could be based on guidance provided by the IASC. Performance against each indicator could be rated and a composite rating established for reporting on corporate performance.

## 7.5 Recommendations

1. Craft and agree a common process and criteria for selection of suitable cluster coordination candidates.
2. Develop and agree an overall strategy/Theory of Change to guide organisation-wide capacity development initiatives targeting individual, organization and environment level. Considering

cluster coordination staff and involved UNICEF core staff (e.g. Country Representatives and Deputy Representatives, key people in technical UNICEF roles)

3. Develop a staff development approach targeting different profiles and levels of responsibility of cluster coordination staff, supported by a comprehensive and diverse suite of capacity development tools. Within this approach, it is recommended to give thought to distinct skills for specific profiles such as Information Managers or Cluster Coordinators for high profile emergencies (strong leadership requirement).
4. Align and coordinate initiatives related to capacity building on global, regional and local level to enhance impact and create logic linkages.
5. Develop a set of indicators for designing, implementing and monitoring capacity development (input and capacity measures), and provide guidance to the field on what these indicators entail.
6. The CLARE evaluation team found that several initiatives in the area of capacity enhancement are ongoing in parallel. Examples are the CLARE evaluation, MENARO's review of cluster-coordinators capacity enhancement actions 2008 – 2012 and the development of a capacity development strategy for the coordination function of UNICEF (co-)led clusters/AORs. To optimise the impact of these efforts it is recommended to consider the inter-linkages and impact between initiatives and execute them in a logical order.

