Document title: ***Evaluation of UNICEF's Cluster Lead Agency Role in Humanitarian Action***

Office and person in charge for management response: **EMOPS**

Recommendation 1: External coordination performance					
Recommendation: Develop a "cluster-ready" initiative to increase country office preparedness for cluster activation in high-risk countries. This recommendation is meant to increase understanding of country offices, improve contingency planning with partners in high risk countries (using the IASC EWEA report and InFORM) and better enable the GCCU to predict surge capacity demands.					
Management Response (Agree, Partially Agree, Disagree): AGREE					
If recommendation is rejected, or partially rejected, report reason:					
Action Planned	**Responsible Office/Person**	**Expected Completion Date**	**Implementation Stage**	**Actions Taken**	**Supporting Documents**
1 Develop clear description of cluster roles and responsibilities and disseminate across Country Offices, Regional Offices and relevant divisions of UNICEF. Train/brief Representatives and Deputy Representatives in emergency prone countries on CLA responsibilities and accountabilities	EMOPS/ GCCU/ PD OLDS/ DHR with input/ content provided by EMOPS, GCCU and by HPS	Q2 2014 Q3 2014	In progress, Q4 2014	Parameters of work defined and initiated. GBV and Nutrition governance review close to finalisation. WASH planned by end 2014 Existing fora and opportunities will be used (e.g. DROPS, RMT, etc.) to the extent possible.	Cluster Coordination Reference Modules (CCRM). Governance reviews across Clusters/ AoRs. Orientation package
2 Establish and document shared understanding with partners on CLA and cluster member responsibilities through governance reviews and partner's commitments	EMOPS/ GCCU	End 2014	In progress	GBV and Nutrition governance review close to finalisation. CP and WASH planned by end 2014.	Minimum commitments of partners referenced in the CCRM.

						Governance reviews across Clusters/ AoRs
3	Using the framework of the WASH Capacity Initiative that aims to train government officials in ten priority countries on humanitarian coordination solutions for preparedness, response and risk reduction, in order to identify good practice (a mapping of capacity will be finalised by end of 2014 for the ten countries). *By end of 2015, the aim is to identify and establish a plan to replicate good practice across the UNICEF led and co-led Clusters/ AoRs.*	PD/RO/CO	Mapping will be completed by Q4	Initiated Q1	Regional capacity development strategy adapted, trainings on-going	Humanitarian WASH Capacity Initiative

	Recommendation 2: Internal cluster lead agency performance					
	Recommendation: Strengthen UNICEF-wide management systems to support the CLA role, including strengthening the role of regional offices and better connecting **country representatives to a global CLA strategic management structure**. *This recommendation is meant to increase coherence and consistency, improve performance management and monitoring and improve cross-divisional coordination support.*					
	Management Response (Agree, Partially Agree, Disagree): PARTIALLY AGREE: UNICEF agrees to strengthen the organization-wide management system to support the CLA role. However, we do not want to prejudge what role this will mean for ROs and how country representatives will be connected to global CLA strategic management structure. Furthermore, the system may entail a role for other offices/divisions as well.					
	If recommendation is rejected, or partially rejected, report reason:					

	Action Planned	**Responsible Office/Person**	**Expected Completion Date**	**Implementation Stage**	**Actions Taken**	**Supporting Documents**
4	Develop and endorse a CLA/ sector coordination strategy across UNICEF with the aim to strengthen UNICEF wide management systems: - To clarify the role of the ROs, in terms of coordination support; - Outline accountabilities between UNICEF divisions to support CO in terms of coordination**.**	EMOPS/GCCU, PD, DHR, RO and CO	End 2014	End of 2014	Integrated into preparation for the "Strengthening Humanitarian Action" (SHA) initiative.	Paper to be developed in lead up to SHA.

	- Advocate with COs through monitoring and support missions to better support the activation of clusters and collaboration with partners.					
5	Strengthen monitoring of delivery of the Core Cluster Functions (set out in the IASC Cluster Coordination Reference Module).	EMOPS/GCCU	3rd quarter 2014	Roll out initiated in several HC countries.	Already developed a 'Version 1' toolkit (with WHO and OCHA) and guidance materials drafted.	Guidance note, briefing presentation, and online (and paper-based) toolkit.
6	Establish, across UNICEF Clusters/ AoRs, knowledge management systems to strengthen coordination and demonstrate results in improved preparedness and response	EMOPS/ GCCU	End of 2014	Education, GBV and CP websites online	Websites aligned across clusters	

Recommendation 3: Human resources performance

Recommendation: Develop an integrated strategy for human resources surge capacity and UNICEF coordination staff development. This recommendation is meant to improve targeted training of coordinators, further increase the ability to deploy the right staff rapidly, and improve the quality of coordination staff.

Management Response (Agree, Partially Agree, Disagree): PARTIALLY AGREE. UNICEF is looking at two different strategies. One on surge capacity and the other on humanitarian learning which will include a component on the coordination function.

If recommendation is rejected, or partially rejected, report reason:

Action Planned		Responsible Office/Person	Expected Completion Date	Implementation Stage	Actions Taken	Supporting Documents
7	Based on the E&E process define a surge coordination mechanism to: • determine who is deployed and under what conditions • capture the comparative advantage of the range of available methods • uses consistent training materials, ToRs and other HR tools	EMOPS PD DHR	Q2 2014	On track	As part of the UNICEF's Effectiveness and Efficiency (E&E) process, EMOPS and DHR commissioned a report on UNICEF's surge strategy.	UNICEF Surge Strategy for E&E, Consultant draft report, November 2013. E&E decision memo, May 2014

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8	Work to develop formal guidance on CCs and IMOs to ensure better integration into COs and improve the contractual arrangements of CCs and IM officers (move toward more FT positions, when appropriate)	DHR/ EMOPS GCCU input	Q2 2014		Briefing of HR focal points in Bangkok in May	Guidance note developed
9	Create and implement a capacity development strategy for the UNICEF led and co-led clusters/ AoRS	EMOPS/GCCU	Capacity development strategy consultancy initiated Jan 2014	Q1	Work commenced on the 15th January	Capacity Development strategy completed. Next steps and action plan under development.
10	*Reference* the Humanitarian Learning training package/strategy, that will include components to address the capacity gaps identified for staff and stand by partners on coordination and related skills.	EMOPS & OLDS	Q4 2014	Work has already started and needs assessments have been completed.	EMOPS	Concept note circulated for comments in July 2013.
11	Continuous population of Talent Groups to ensure availability of qualified candidates to support humanitarian response including cluster coordination.	DHR/Emergency Unit	On-going throughout 2014	On-going		NA
12	Investment in sectoral rosters of staff covering programme and coordination functions	PD	Q2 2014	Ongoing

Planning | WASH has a consultant on board to regularly update their roster

Education has included a consultant to review and update their roster as part of 2014 work planning.

Nutrition has initiated process to strengthen their roster. | Annual Work Planning |

	Recommendation 4: Scope and boundary issues

Recommendation: Increase coherence (interpretation and articulation) and then fidelity (understanding and consistent application) through UNICEF CLA policy and practice. This recommendation is meant to focus GCCU operational support on the most relevant emergency situations and help manage stakeholder expectations.

Management Response (Agree, Partially Agree, Disagree): AGREE					
If recommendation is rejected, or partially rejected, report reason:					
Action Planned	**Responsible Office/Person**	**Expected Completion Date**	**Implementation Stage**	**Actions Taken**	**Supporting Documents**
13 Promote better understanding with Clusters of how to use and implement Transformative Agenda guidance modules related to coordination through: • dissemination and promotion of TA; • Field missions to support roll out of Cluster tools • Inclusion of TA modules in all capacity development initiatives	EMOPS/ GCCU	Q4 2014	Ongoing (due to continued elaboration and field testing of TA guidance)	WASH, CP, Education, GBV and Nutrition meetings have included sessions on the TA; All Rapid Response Team members briefed on the TA; Engagement with OCHA to strengthen guidance on clusters; Field missions and support to L3 and L2 emergencies have included use and dissemination of TA guidance.	CCRM, HPC modules and other protocols of the TA.
14 Define the role of GCC, PD Sections, ROs and COs in national capacity development and fostering transition	EMOPS GCCU/ PD (in consultation with and based on learning from RO and CO)	Q2 2015	Consolidation of best practices	Development of chapter on transition in the CCRM; and joint PD/ GWC mission to Haiti Initiated discussion with HATIS to develop a joint PD/ GCCU strategy on transition	CCRM
15 Within the IASC framework, clarify the role of Cluster/ Cluster Coordinators viz. pooled funds; project submissions and funding decisions	PARMO/ EMOPS	Q3 2014	Comments provided to OCHA and the Pooled Funds guidance.	Discussion on this issue with CHF/ CERF/ CAP section at global level. Meeting planned between the Pooled Fund Working Group and GCCs planned Q3	

| 16 | Articulate a common approach:
• Clusters support coordination in HC and prioritised EWEA countries;
• PD supports coordination in further emergency affected countries.
• Surge coordination mechanism refers requests for support to relevant HQ division

Identify and agree with Clusters/AoRs and among Divisions and subsequently through the IASC, the geographical areas of focus for the GCC, PD Sections, ROs and COs. | EMOPS GCCU and PD | Q3 2014 | | Already initiated though discussions with REA, PD, on MPA and identification of priority countries for cluster support (CCRM-preparedness chapter). To be agreed and finalised through SHA process. | CCRM preparedness chapter |

Recommendation 5: Cost-effectiveness, value for money and efficiency

Recommendation: Mitigate the use of clusters in inappropriate scenarios by developing models and tools for non-cluster coordination, including transition points for country offices, and establish clarity on the role of clusters, if any, for national capacity-building to ensure efficient and fit-for-purpose coordination approaches. This recommendation is meant to help maintain partner satisfaction with UNICEF coordination leadership, improve transition to and from sectoral development and humanitarian coordination mechanisms and help avoid duplication with other disaster preparedness and risk reduction actors.

Management Response (Agree, Partially Agree, Disagree): AGREE

If recommendation is rejected, or partially rejected, report reason:

Action Planned	Responsible Office/Person	Expected Completion Date	Implementation Stage	Actions Taken	Supporting Documents
Reference action point 14- Define the role of GCC, PD Sections, ROs and COs in national capacity development and fostering transition					
Reference action point 16 Articulate a common approach: • Clusters support coordination in HC and prioritised EWEA countries; • PD supports coordination in further emergency affected countries. • Surge coordination mechanism refers requests for support to relevant HQ division					

	Identify and agree with Clusters/AoRs and among Divisions and subsequently through the IASC, the geographical areas of focus for the GCC, PD Sections, ROs and COs.				
17	At CO level, provide guidance to strengthen coordination between clusters within UNICEF	EMOPS, PD and DHR			
18	Continue to improve economies of scale (representation, shared IM capacity, aligned capacity development strategy)	EMOPS GCCU	Ongoing 2014		Continue strategy and work to strengthen coherence and sharing of resources across UNICEF led and co-led clusters/AoRs	GCCU 2014 worplan
19	Ensure appropriate size and scope of surge teams to new emergencies; including by ensuring that at sub national level the contribution to the coordination function by UNICEF programme staff and other cluster partners is supported.	EMOPS GCCU	Q2 2014		Development of an cohesive surge strategy across the clusters/ AoRS- retreat planned for May 2014	