

Global
Education Cluster



**EDUCATION
CLUSTER COORDINATOR
HANDBOOK**

EDUCATION CLUSTER COORDINATOR HANDBOOK

Global Education Cluster

First edition
May 2010

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The Global Education Cluster, co-led by UNICEF and Save the Children was established as part of international humanitarian reform efforts. This handbook has been produced to support Education Cluster Coordinators in meeting education needs in emergencies in a predictable, timely and effective manner.



Disclaimer

The interpretations and observations expressed in this handbook do not necessarily reflect the position of all Global Education Cluster partners.

Acknowledgements

The *Education Cluster Coordinator Handbook* is drawn from a broad range of materials developed by the Inter-Agency Standing Committee (IASC), United Nations Children's Fund (UNICEF), Save the Children, United Nations Educational, Scientific and Cultural Organisation (UNESCO), Inter-agency Network for Education in Emergencies (INEE), other education sector and humanitarian organisations, and the first-hand experience of education in emergencies practitioners in the field.

The helpful comments and suggestions from the project reference group, which includes representatives from the Education Cluster Unit (ECU), UNICEF, Save the Children, UNESCO, OCHA and INEE, and from individual Education Cluster Coordinators, are greatly appreciated.

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Feedback

Please send your comments and suggestions for improvements to this trial edition of the Education Cluster Coordinator Handbook to info@savethechildren.ch

Contents

Acknowledgements	v
Guidelines for use of this handbook	viii
Acronyms and abbreviations	x
1 Humanitarian action and the Education Cluster	
1.1 Humanitarian reform process	2
1.2 Understanding the cluster approach	8
1.3 Global cluster-wide initiatives	18
1.4 Education Cluster co-leadership	22
1.5 Structure and support at global level	24
2 The Education Cluster at country level	
2.1 Country-level implementation	30
2.2 Managing the co-lead relationship	38
2.3 Role of an Education Cluster Coordinator	42
2.4 Cluster's structure and functions	46
2.5 National authorities and cluster partners	55
2.6 Coordination with other actors	65
3 Standards, guidance and cross-cutting issues	
3.1 Guiding standards for the Education Cluster	72
3.2 Operationalising standards for education in emergencies	80
3.3 Thematic guidance and cross-cutting issues	87
4 Managing cluster coordination	
4.1 Coordination essentials and common challenges	112
4.2 Collaborative leadership and partnership	116
4.3 Managing and chairing cluster meetings	123
4.4 Negotiation, consensus-building and conflict resolution	129
4.5 Developing team capacity	135
5 Information and knowledge management	
5.1 Managing information and knowledge in emergencies	138
5.2 OCHA and Education Cluster IM/KM responsibilities	145
5.3 Education Cluster IM/KM products	152

5.4	Reviewing performance and capturing lessons learned	161
6	Assessing and monitoring the education situation	
6.1	Involvement in joint needs assessment processes	168
6.2	Pre-crisis preparedness for joint needs assessments	173
6.3	Rapid assessment of education and cross-cutting issues and needs	178
6.4	Comprehensive joint education needs assessments	192
6.5	Mapping available capacities	194
6.6	Ongoing monitoring and review	198
7	Development of cluster plans	
7.1	Responding to context	204
7.2	Strategic response planning process	211
7.3	Developing a strategic response plan	217
7.4	Education component of the Common Humanitarian Action Plan	225
7.5	Linking emergency response and early recovery	228
7.6	Emergency preparedness and contingency planning	234
8	Advocacy and resource mobilisation	
8.1	Advocating for education in emergencies	246
8.2	Collaborative funding appeals	257
8.3	Mobilising and building human resource capacity	270
8.4	Mobilising education supplies	278
	Glossary	289

Guidelines for using this handbook

The purpose of this handbook is to provide Education Cluster Coordinators with supporting information to guide their role in facilitating a predictable, coordinated and effective response to education needs in emergencies.

It highlights the overarching principles and standards applicable to education in emergencies and suggests how the coordinated and collaborative efforts of cluster partners, in partnership with government, can contribute to an effective and efficient education sector response.

Intended for use as a reference rather than a narrative, the handbook provides guidance, tips, and practical tools and resources, and reinforces information provided as part of the Education Cluster Coordinator training. It draws on Global Education Cluster, Inter-Agency Standing Committee (IASC), Inter-agency Network for Education in Emergencies (INEE), and other policy documents and good practice, including lessons learned from operationalising the Education Cluster at country level.

Designed for application in different emergency and country contexts, the handbook includes information, guidance and resources relevant to rapid-onset, conflict-related, and complex emergencies. However, it does not address all the issues that may be specific to different contexts.

Handbook structure

Each chapter highlights key principles, considerations and challenges, summarises what needs to be done, provides practical ideas on taking action, and incorporates a list of additional tools and resources for further guidance. Terminology and concepts used throughout the handbook are explained in the glossary.

Different bullet points have been used for faster reference:

- ✓ Important principles or actions
- × Pitfalls and negative consequences
- Sub-points
- 📖 Reference documents, with live links on the handbook CD-ROM
- Useful websites for further information and guidance

Chapter 1 provides background information on the broader humanitarian reform process, the cluster approach and the Education Cluster at global level.

Chapter 2 sets out the role of the Education Cluster Coordinator, cluster lead agencies, and cluster partners at national and sub-national levels. It outlines the immediate actions that may be required and the importance of involving all education sector stakeholders in such action.

Chapters 3 to 8 provide more detailed guidance on the specific functions of the cluster, including setting standards, information management, needs assessment, monitoring and reporting, response planning, advocacy, and resource mobilisation. Chapter 4 focuses in particular on the practical skills that the Coordinator will need to draw on in undertaking his/her role.

Accompanying CD-ROM

A list of additional resources is provided at the end of each section in the handbook. These resources are included on the accompanying CD-ROM, and provide more detailed information and guidance. On the CD, they are incorporated as **embedded documents** in the list at the end of each section. Clicking on a document title will open the document in a new window.

The CD-ROM launches automatically on most computers, and uses simple navigation from the contents page to individual chapters and sections.

Acronyms and abbreviations

AIDS	Acquired Immuno-Deficiency Syndrome
CAP	Consolidated Appeals Process
CBE	Community-based education
CBO	Community-based organisation
CCCM	Camp Coordination and Camp Management
CCHA	Consultative Committee for Humanitarian Affairs
CERF	Central Emergency Response Fund
CHAP	Common Humanitarian Action Plan
CHF	Common Humanitarian Fund
CLA	Cluster Lead Agency
DAC-OECD	Development Assistance Committee of the Organisation for Economic Co-operation and Development
DRR	Disaster Risk Reduction
ECCD	Early Childhood Care and Development
ECU	Education Cluster Unit
ECWG	Education Cluster Working Group
EFA	Education For All
EMIS	Education Management Information System
EPRP	Emergency Preparedness and Response Plan
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
FTI	Fast Track Initiative
FTS	Financial Tracking System
GBV	Gender-based violence
GHD	Good Humanitarian Donorship
GHP	Global Humanitarian Platform
GIS	Geographical Information System
HC	Humanitarian Coordinator
HCSS	Humanitarian Coordination Support Section
HCT	Humanitarian Country Team
HIC	Humanitarian Information Centre
HIV	Human Immuno-deficiency Virus
HRL	Human rights law
HRSU	Humanitarian Reform Support Unit
IASC	Inter-Agency Standing Committee

ICRC	International Committee of the Red Cross and Red Crescent Societies
IFRC	International Federation of the Red Cross and Red Crescent Societies
IDP	Internally displaced person
IHL	International humanitarian law
IIEP	International Institute for Education Planning
IM	Information management
INEE	Inter-agency Network for Education in Emergencies
INGO	International non-governmental organisation
IOM	International Organization for Migration
IRC	International Rescue Committee
JAM	Joint Assessment Mission
KM	Knowledge management
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MDTF	Multi-Donor Trust Fund
MoE	Ministry of Education
MSF	Médecins Sans Frontières
MRM	Monitoring and Reporting Mechanism
NFIs	Non-food items
NGO	Non-governmental organisation
OCHA	Office for the Coordination of Humanitarian Affairs
OPS	On-line Project System
PCNA	Post-Conflict Needs Assessment
PDNA	Post-Disaster Needs Assessment
PoLR	Provider of Last Resort
PRSP	Poverty Reduction Strategy Paper
PTA	Parent-Teacher Association
RC	Resident Coordinator
SCHR	Steering Committee for Humanitarian Reform
SGBV	Sexual and other forms of gender-based violence
SMART	Specific + Measurable + Achievable + Realistic + Time-bound
SMC	School Management Committee
SWAP	Sector-Wide Approach
ToR	Terms of Reference
UNCRC	UN Convention on the Rights of the Child
UNDAC	UN Disaster Assessment and Coordination Team

UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation, Hygiene
WFP	World Food Programme
3W	Who is doing what, where
4W	Who is doing what, where, when

1

Humanitarian action and the Education Cluster

1.1	Humanitarian reform process
1.2	Understanding the cluster approach
1.3	Global cluster-wide initiatives
1.4	Education Cluster co-leadership
1.5	Structure and support at global level

This chapter provides background information to support the Education Cluster Coordinator in understanding his/her role in the context of broad humanitarian action. Building on these efforts, the approach laid out here is now considered to be 'how we do business' as a humanitarian community.

The chapter outlines the cluster approach, setting out the key actors, their roles and responsibilities, and the processes involved in implementing this approach in response to a humanitarian emergency.¹ It also looks in detail at the structure of the Global Education Cluster, and support and services it can offer to Cluster Coordinators and other cluster stakeholders.

Key points

- The cluster approach is part of wider humanitarian efforts aimed at strengthening humanitarian leadership, financing and partnerships.
- The cluster approach is intended to enable a more structured, accountable and professional international humanitarian response, and to facilitate more effective partnerships with host governments, local authorities, local civil society, and affected populations.
- Cluster Lead Agencies (CLAs) are committed to specific provisions within the cluster approach, such as accountability and partnership.

¹ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

1.1 Humanitarian reform process

1.1.1 The reform process

The humanitarian reform process was prompted by significant changes in humanitarian operations: an ever-increasing number of humanitarian actors, greater competition for funding and resources, increased public scrutiny, and the changing role of the United Nations (UN). This led to an independent review of humanitarian response² in 2005, commissioned by the Emergency Relief Coordinator through the Office for the Coordination of Humanitarian Affairs (OCHA).

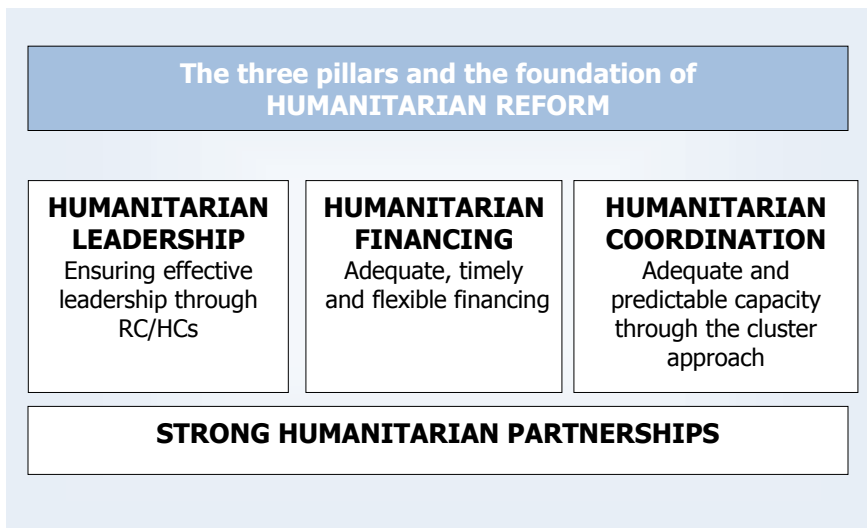
Subsequent changes to humanitarian sector operations aim to build a stronger humanitarian response system, with greater:

Predictability: in financing and leadership of the response

Accountability: to the affected populations

Partnership: between UN and non-UN humanitarian actors³

The changes were an ambitious effort by the international humanitarian community to reach more beneficiaries, with more comprehensive needs-based relief and protection, in a more effective and timely manner. The resulting humanitarian reform agenda addresses four inter-related areas:



² Adinolfi et al (2005) *Humanitarian Response Review*, OCHA

³ Partnerships was added in 2006, as a subsequent part of the reform process following creation of the Global Humanitarian Platform (see section 1.1.5)

The launch of the humanitarian reform process was initially supported by the Humanitarian Reform Support Unit (HRSU) within OCHA, in support of and alongside the global cluster leads. HRSU has now been merged with a number of other projects to form the Humanitarian Coordination Support Section (HCSS) in OCHA. The HCSS aims to strengthen humanitarian coordination systems and action through forging stronger linkages between OCHA's sections supporting partnerships, leadership and coordination. It focuses on supporting external partners (Global Cluster Leads, cluster partners, Resident Coordinators (RCs)/Humanitarian Coordinators (HCs), field-level coordination structures) and links to other Inter Agency Standing Committee (IASC) initiatives.

1.1.2 Humanitarian leadership

Strengthening humanitarian coordination is one of the pillars of the humanitarian reform agenda. The objective is to strengthen the humanitarian coordination function, whether it is undertaken by an RC or by an HC, with the aim of mainstreaming the HC role within the existing RC system.

The HC role

HCs are appointed in countries facing a humanitarian crisis, or where there are emerging humanitarian needs and the role is undertaken by a senior humanitarian official. In rapid-onset emergencies where there is no HC in-country, the RC can take on the additional role of HC. The HC (and/or RC as applicable) is accountable and reports to the Emergency Relief Coordinator (ERC) on coordination of the humanitarian response.

The HC, whenever possible in support of and in coordination with national and local authorities, is responsible for the overall coordination and effectiveness of the international humanitarian response,⁴ including:

- establishing and leading the Humanitarian Country Team (HCT)
- facilitating agreement among humanitarian actors on establishment of clusters and designation of Cluster Lead Agencies (CLAs)
- establishing appropriate mechanisms for inter-sectoral coordination
- coordinating needs assessment, strategic planning, response planning, monitoring and evaluation, and integration of cross-cutting issues
- advocating for respect for human rights, humanitarian law, humanitarian principles, and access
- coordinating inter-agency resource mobilisation efforts, including appeals and requests for Central Emergency Response Fund (CERF) funding.

⁴ IASC (2009) *Terms of Reference for the Humanitarian Coordinator*

Recognition of the need for high-quality leadership and coordination skills has led to the development of a roster of trained individuals to perform the role of HC. Additional IASC measures to improve effectiveness of the role include:

- strengthened commitment to coordination at the country level by all humanitarian partners
- greater inclusiveness, transparency and ownership in the appointment of HCs
- clearer accountability of HCs to the humanitarian community
- appropriate training and induction to prepare and support HCs in performing their role
- adequate support for HCs in their work.

Up-to-date details on the humanitarian strengthening process can be found at:

<http://onerresponse.info/Coordination/leadership/Pages/default.aspx>

1.1.3 Humanitarian financing

The predictability, effectiveness and success of humanitarian interventions are dependent on straightforward and timely access to adequate flexible emergency funding.

IASC initiatives to strengthen humanitarian financing as part of the humanitarian reform process include the CERF. This is a standby fund, accessible to UN agencies, to complement existing humanitarian funding appeal mechanisms such as the Flash Appeal and Consolidated Appeals Process (CAP). See section 8.2 for full details.

Additional financing initiatives include Emergency Response Funds, Pooled Funding, and reform of the CAP. Further details can be found at:

<http://ochaonline.un.org/tabid/5839/language/en-US/Default.aspx>

Good Humanitarian Donorship initiative

The Good Humanitarian Donorship (GHD) initiative was instigated by a number of donors in 2003. Following the 2005 Humanitarian Response Review, which highlighted the need for improved donor coordination, the GHD has played a key role in tackling many of the concerns identified. The three main components of the GHD are to:

- find ways of delivering members' commitment to needs-based resource allocation
- deepen donor coordination at field level
- maintain a capacity to report on progress against GHD objectives.

Good Humanitarian Donorship (GHD)

It is vital that the increasing amount of money being spent on humanitarian aid is used effectively. Accordingly, 24 donors have signed up to the GHD initiative, which provides a forum for donors to discuss good practice in funding humanitarian assistance and other shared concerns.

A major challenge is making sure that enough funding is available at the right time. This funding then needs to be spent on the right kind of assistance, and targeted according to need, not political affiliation, ethnicity, religion or race.

The GHD initiative has agreed on a set of 23 principles and good practices of humanitarian donorship (further guidelines are included in the 'Additional resources' listed at the end of this section). The principles and standards defined provide both a framework to guide official humanitarian aid, and a mechanism for encouraging greater donor accountability.

1.1.4 Humanitarian coordination

The need to improve humanitarian coordination led to development of the 'cluster approach'. This approach aims to make the international humanitarian community more structured, predictable and accountable. In this way it should provide more effective support to host governments, local authorities, local civil society, and affected populations.

Through designated 'cluster leads', the cluster approach establishes a clear division of labour and better definition of the roles and responsibilities between humanitarian organisations. This enables more effective partnership-building and better coverage of gaps in humanitarian assistance. Further details of the cluster approach are set out in section 1.2 below.

1.1.5 Humanitarian partnerships

In response to the humanitarian reform agenda, a meeting of over 40 leaders of UN agencies, non-governmental organisations (NGOs), the International Red Cross and Red Crescent Movement, the International Organization for Migration (IOM) and the World Bank was convened in 2006 to explore ways to improve the effectiveness of international humanitarian response.

Key outcomes included:

- ✓ establishment of the Global Humanitarian Platform (GHP) at global level with the goal of improving the effectiveness of humanitarian action
- ✓ agreement in the Principles of Partnership (see section 4.2.4)
- ✓ agreement to establish Humanitarian Country Partnership Teams at country level with the aim of strengthening NGO consortia and collaborative work in the field.

The Global Humanitarian Platform

The GHP is a forum bringing together the three main families of the humanitarian community: NGOs, the International Red Cross and Red Crescent Movement and the UN and related international organisations. It is premised on the belief that no single humanitarian agency can cover all humanitarian needs and that collaboration is therefore not an option, but a necessity.

The GHP aims to maximise complementarity based on differing mandates, interests and capacities. It does not seek to pursue a single mode of action or to work within a common framework. In 2007 the GHP developed, and continues to promote, the Principles of Partnership (see section 4.2.4). In addition it provides a platform to facilitate strategic dialogue on urgent humanitarian issues.

Review of the engagement of NGOs with the humanitarian reform process

The NGOs and Humanitarian Reform project findings provide useful field-based evidence to emphasise the areas where improvements are needed:

- **Financing:** Creation of the CERF has been an important step forward but there remain **challenges in getting CERF funding to NGOs**, in a timely manner. Further concerns include the lack of transparency in the allocation and disbursement of funding.
- **Leadership:** There is a **need to ensure that stronger, more effective leaders with humanitarian experience are appointed** to the pivotal HC position, and to lead clusters at the country level.
- **Accountability and partnership:** Involvement of NGOs, international and national/local, has been inconsistent. Clusters need to **devote more time and attention to improving accountability to affected populations and genuine partnerships** within the clusters.
- **Involving local and national NGOs:** HCs, CLAs, international cluster partners, and donors need to **play a more active role in supporting national and local NGOs**. They currently struggle to secure humanitarian funding, or meaningful engagement in coordination mechanisms. The technical and procedural focus of UN-led reforms has **failed to address the complexities, particularly in conflict situations**, of engaging national and local interests while adhering to the principles of neutrality and impartiality.

"The ultimate test for humanitarian reform will be the extent to which it improves the lot of crisis-affected people, rather than whether it streamlines the international humanitarian system."

Source: Synthesis Report: *Review of the engagement of NGOs with the humanitarian reform process*, 2009

Additional resources – on the accompanying CD

- 📖 IASC (2009) *Terms of Reference for the Humanitarian Coordinator*
- 📖 Good Humanitarian Donorship (2003) *Principles and Good Practice of Humanitarian Donorship*
- Information on humanitarian reform and action:
<http://ocha.unog.ch/humanitarianreform/Default.aspx?tabid=53>
- Recent studies on humanitarian financing:
<http://www.goodhumanitariandonorship.org/>
- Further details on the GHP role and monitoring of the Principles of Partnership:
<http://www.globalhumanitarianplatform.org/ghp.html>

1.2 Understanding the cluster approach

The aims of the cluster approach⁵ are to:

- a. ensure that **sufficient global capacity** to respond to emergencies is built up and maintained in all the main sectors or areas of activity.
- b. ensure **predictable leadership**. Global cluster leads and CLA(s) at country level are responsible for organising the response to emergencies in their cluster/sector or area of activity, in collaboration with cluster partners and in accordance with agreed standards and guidelines.
- c. work in **partnership** towards agreed common humanitarian objectives, both at the global level (preparedness, standards, tools, stockpiles and capacity-building) and at the country level (assessment, planning, response, monitoring and evaluation).
- d. strengthen **accountability**. Lead agencies are accountable:
 - at the global level, for building up a more predictable and effective response capacity in line with IASC agreements
 - at the country level, in addition to their normal institutional responsibilities, for fulfilling agreed roles and responsibilities for cluster leadership.

The cluster approach also strengthens **accountability to beneficiaries** through commitments to participatory and community-based approaches, improved collaborative needs assessments and prioritisation, and better monitoring and evaluation.

- e. Improve strategic **coordination and prioritisation** by placing responsibility for leadership and coordination with the competent operational agency.

When is the cluster approach used?

- in all countries facing a major new emergency
- in all countries with ongoing humanitarian crises – conflict-related or natural disaster-related
- where humanitarian needs are large and complex and require external assistance
- where a multi-sector response is needed
- in all countries where there is an HC, or an RC who is responsible for humanitarian coordination in the absence of an HC.

The cluster approach is adopted in relation to internally displaced populations and rapid-onset or chronic crises where local populations are affected. Responsibility for the coordination of humanitarian response needs in relation to refugees

⁵ IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*

remains with the UN High Commissioner for Refugees (UNHCR), and is not part of the cluster approach. However, there are some operations where a local agreement has been made, such as between UNHCR and the UN Children's Fund (UNICEF) in Syria and Jordan, where UNICEF is the lead for the Iraqi refugees. Actors from outside UNHCR may sometimes take on education responsibilities for refugees.

Up-to-date information on where the cluster approach has been used can be found at:

<http://onerresponse.info/COORDINATION/CLUSTERAPPROACH/Pages/Cluster%20Approach.aspx>

What is the relationship between clusters and sectors?

Country-level **CLAs are committed to specific provisions within the cluster approach**, such as accountability, partnerships, and the role of provider of last resort (PoLR). Initially, the cluster approach was conceived as a way for the humanitarian community to organise itself in order to satisfy this mandate, and provide support as required to the government.

Within the education sector, a government-led education sector working group may choose to include in its work plan, priorities and objectives a focus on education in emergencies that is similar to work done by the cluster. Nevertheless, there is no requirement for it to do so and no formal accountability within the global humanitarian system regarding its activities. In one sense, the Education Cluster *is* an education sector working group, focused exclusively on responding to education in emergencies. However, it can vary greatly in terms of involvement of government and its relationship with government structures.

In countries dealing with large-scale, chronic, or recurrent emergencies, and where there is an HC in place, the cluster approach is typically applied. In addition, there are a number of other countries with RCs but no HCs where the cluster approach is activated to respond to a sudden-onset disaster.

In situations where an existing sector group exists (eg, a government-led national education sector working group), negotiating the way in which the cluster relates to this group, or encouraging the group to prioritise and take action around education in emergencies, will be a critical task for the CLA(s), Coordinator and cluster partners.

1.2.1 Key actors in the cluster approach

a) *At global level*

The Inter-Agency Standing Committee (IASC) – consists of major humanitarian actors, including key UN agencies, the International Organization for Migration (IOM), the International Federation of the Red Cross and Red Crescent Societies (IFRC), the World Bank and three umbrella organisations representing the interests of international and national NGOs (InterAction, International Council of Voluntary Agencies, and the Steering Committee for Humanitarian Response).

It provides the mechanism for inter-agency (UN and non-UN) coordination of humanitarian assistance, recognising that no single agency can fulfil all humanitarian needs on its own. Under the leadership of the ERC, the IASC determines who is responsible for what in humanitarian response, identifies gaps, and advocates for application of international humanitarian principles.

Emergency Relief Coordinator (ERC) – is the head of OCHA, the chair of the IASC, and reports to the UN Secretary-General. The ERC is responsible for global coordination of humanitarian assistance.

Office for the Coordination of Humanitarian Affairs (OCHA) – is a branch of the UN Secretariat, created specifically to improve coordination between UN agencies and other organisations in areas affected by humanitarian crises. OCHA is not normally present in stable countries and intervenes only at the onset of a crisis that requires the joint effort of the humanitarian community.

UN Disaster Assessment and Coordination (UNDAC) Team – is a standby team of disaster management professionals. The team can be deployed within hours, if requested by the HC/RC or host government, to carry out rapid assessments, establish cross-sector coordination and information management systems, and to support national authorities and the HC/RC in coordinating the international response.

Global Clusters – have been established in areas where previously there was lack of clarity over leadership, or gaps in response capacity. Exceptions to this include 'food' led by the World Food Programme (WFP), and 'refugees' led by UNHCR.

Each cluster is made up of members of IASC and other humanitarian actors, including NGOs, the International Red Cross and Red Crescent Movement, UN agencies, consortiums, institutions and donors, all with an interest and expertise in that sector.

A full list of all the global lead agencies is set out in the table overleaf.

Global Cluster Leads	
Cluster / sector	Global Cluster Leads
Agriculture	FAO
Camp Coordination / Camp Management (CCCM) <i>IDPs (from conflict)</i> <i>Natural disasters</i>	UNHCR IOM
Early Recovery	UNDP
Education	UNICEF and Save the Children
Emergency Shelter <i>IDPs (from conflict)</i> <i>Natural disasters</i>	UNHCR IFRC (convener)
Emergency Telecommunications	OCHA / UNICEF / WFP
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection <i>IDPs (from conflict)</i> <i>Natural disasters and others</i> <i>affected by conflict (not IDPs)</i>	UNHCR UNHCR / OHCHR / UNICEF
WASH (Water, Sanitation, Hygiene)	UNICEF
Cross-Cutting Issues Leads	
Cross-cutting issues	Cross-Cutting Issue Lead
Environment	UNEP
Gender (co-chairs of the IASC sub-working group on gender)	UNFPA / UNICEF
HIV and AIDS (IASC task force on HIV and AIDS)	UNAIDS
Age	HelpAge International

Global Cluster Lead – the agency or agencies that have been designated by the IASC with global responsibility for ensuring system-wide preparedness and technical capacity to respond to humanitarian emergencies, and for ensuring

greater predictability and more effective inter-agency responses in their particular sectors or areas of activity. Global cluster leads are accountable to the ERC.

Global cluster coordinator – a person or persons designated by the global cluster lead(s), with responsibility for day-to-day coordination and facilitation of the work of the global cluster.

b) At country level

Resident Coordinator (RC) – is typically the most senior UN representative in-country and represents all organisations of the UN, with a mandate to coordinate their activities. S/he chairs the UN Country Team and is appointed by the Secretary-General. In some countries the HC/RC role is combined into one role, referred to as dual responsibility. In the absence of an HC, the RC is responsible for inter-agency coordination in response to a rapid-onset emergency. The RC is an important source of information and guidance about the local context and nature of crises when they occur.

Humanitarian Coordinator (HC) – S/he has overall responsibility for ensuring coherence of international relief efforts (see full details in section 1.1.2 above). The appointment of an HC signals the need for a long-term humanitarian presence in the country.

Criteria for appointing an HC include:

- intensive and extensive political management, mediation and coordination to enable the delivery of humanitarian response, including negotiating access to affected populations
- massive humanitarian assistance requiring action by a range of partners beyond a single national authority
- a high degree of external political support, often from the UN Security Council.

UN Country Team (UNCT) – includes representatives of the operational UN agencies already resident in the country. Its role in major new emergencies is limited, with primary responsibility being undertaken by a broad-based HCT.

Humanitarian Country Team (HCT) – is composed of the cross-sectoral IASC representatives who are in-country responding to a disaster. Also known as the IASC Country Team or Task Force, the HCT has overall responsibility for mounting a coordinated humanitarian response. Guidance notes for HCTs are included in the 'Additional resources' listed at the end of this section.

Cluster Lead Agency (CLA) – the agency or agencies that are designated as leading a particular cluster/sector at country level by the HC/RC in consultation with the HCT and the relevant Global Cluster Lead(s). They are aligned, where feasible, with the relevant Global Cluster Lead(s) and cross-cutting issues focal points/thematic working groups (as appropriate and available). CLAs are

responsible for ensuring a well-coordinated and effective humanitarian response in their designated sector or area of activity, and are accountable to the HC.

Sometimes, the term **cluster lead** has been used interchangeably for the lead agency or the lead person. Remember, the 'lead' is the organisation.

Cluster partners – clusters are open to all those involved in the humanitarian response and who have expertise, resources or information relevant to that particular cluster/sector. This includes government at all levels, and national and local NGOs.

Cluster coordinator – a person or persons appointed by the country-level CLA(s), with responsibility for day-to-day coordination and facilitation of the work of the country level cluster. Cluster coordinators are responsible to the Head(s) of CLA(s). See section 2.3 for detailed guidance on the role and responsibilities of cluster coordinators.

1.2.2 Role of the Cluster Lead Agency(ies) at country level

Terms of Reference for Cluster Lead Agencies

CLA(s) at country level are responsible for appointing a cluster coordinator, and any other support staff as required, for effective functioning of the cluster.

They are accountable to the HC/RC for ensuring a well-coordinated and effective cluster response through facilitating a process aimed at enabling:

- inclusion of key humanitarian partners
- establishment and maintenance of appropriate humanitarian coordination
- coordination with national/local authorities, state institutions, local civil society, and other cluster actors
- participatory and community-based approaches
- attention to priority cross-cutting issues
- needs assessment and analysis
- emergency preparedness
- planning and strategy development
- application of standards
- monitoring and reporting
- advocacy and resource mobilisation
- training and building capacity
- provision of assistance or services as a last resort.

A Joint letter from Cluster Lead Agencies to their Directors/Representatives at Country Level reinforces the responsibilities and accountabilities for CLAs and

cluster staff, including coordinators at country level. This letter and *the ToR for Cluster/Sector Leads at country level* are included in the 'Additional resources' listed at the end of section 2.2.

Provider of Last Resort (PoLR)

Perhaps the most challenging aspect of the CLA role is that of 'provider of last resort' (PoLR) within their sector or area of responsibility, yet this concept is also critical in ensuring a predictable response. As agreed by the IASC Principals in endorsing the cluster approach, the PoLR represents a commitment by CLAs to do their utmost to address critical gaps in humanitarian response where no other agency is able to do so. This commitment assumes three basic preconditions, namely unimpeded access, security, and availability of funding

In 2008 the IASC Task Team on the cluster approach developed the following additional guidance for CLAs concerning their responsibilities to act as PoLR (the operational guidance note is included in 'Additional resources' listed in section 2.2):

1. Where necessary, and depending on access, security and availability of funding, the CLA, as PoLR, must be ready to ensure the provision of services required to fill critical gaps identified by the cluster.
2. The responsibility for acting as PoLR falls to the CLA for the particular sector concerned. In the case of clusters that have a multi-sectoral focus (eg, protection, early recovery) CLAs for each of the relevant sectors (eg, education) remain responsible for acting as PoLR within their own sectors.
3. In the case of the protection cluster, focal point agencies (eg, UNICEF as focal point for child protection) are responsible for acting as PoLR within their particular areas of responsibility, as agreed by the protection cluster at country level and under the leadership of the protection CLA.
4. Where an Early Recovery Cluster is established (in addition to an early recovery network), it is the responsibility of the early recovery CLA to act as PoLR for the whole cluster, or specify which agencies are responsible for acting as PoLR within particular areas of responsibility.
5. Where there is a co-lead arrangement at the country level, as may be found in the Education Cluster, the co-leads' respective responsibilities for acting as PoLR must be clearly defined.
6. Where critical gaps persist in spite of concerted efforts to address them, CLAs are responsible for working with the national authorities, the HC/RC and donors to advocate for appropriate action and to mobilise the necessary resources for an adequate response.

1.2.3 Implementation of the cluster approach

Who sets up the clusters and how?

Initially there was a formalised process for establishing the cluster approach at country level. Full details can be found in the *IASC Operational Guidelines for Designating Sector/cluster Leads in Major New Emergencies* and the *IASC Operational Guidelines for Designating Sector/cluster Leads in Ongoing Emergencies*, which are included in the 'Additional resources' listed at the end of this section. However, implementation of the **cluster approach is now becoming more widely recognised as part of 'normal operational procedures'**.

The decision to recommend implementation of the cluster approach and designate the required country-level CLAs is taken by the HC/RC. Ideally, national authorities will be fully involved and endorse the cluster approach, but this is not always the case. The HC/RC also consults with relevant IASC partners at global and country level, and takes a decision in consultation with the HCT. The agreed country-level proposal is sent to the ERC, who reaches agreement with IASC at global level. The final decision is conveyed to the HC/RC who informs the host government and all relevant partners.

Negotiation will almost certainly be needed to determine which clusters are required and who should be designated to lead them. Clusters will only be designated for sectors relevant to the emergency and it will be important to advocate for the Education Cluster, as education in emergencies is sometimes overlooked or poorly understood as a priority humanitarian issue (see specific guidance in section 8.1).

In some emergencies certain clusters may not be needed (eg, CCCM or emergency telecommunications), or sectors may be combined within the same cluster (eg, health and nutrition).

Where possible, the country-level CLA is aligned with the Global Cluster Lead. However, in circumstances where the Global Cluster Lead lacks a country presence or sufficient capacity, another agency may be given this responsibility. However, **in practice the global and country lead agencies are generally the same**. This is desirable if the cluster approach aim of predictable leadership is to be achieved.

The implications of adopting the cluster approach differ for new and ongoing emergencies.

a) Major new emergencies

In a major new emergency the scale and complexity of humanitarian needs demands a multi-sectoral response by a wide range of international humanitarian actors. In countries that are familiar with humanitarian interventions, introduction of the cluster approach may be reasonably straightforward. In others there may be challenges, for example:

- A large influx of new international agencies with limited local knowledge and no existing local network can risk undermining critical local capacities and overlook the need to fully engage and sensitise national and local actors in the cluster approach.
- Limited existing in-country response capacity may make it difficult to identify appropriate CLAs and government partners.

b) Ongoing emergencies

The cluster approach is adopted in any country with an HC, as a part of normal procedures in managing an ongoing emergency.

In these situations, more time is available for consultation with government and key national and local actors, and this helps to ensure that development of appropriate coordination mechanisms is led by those on the ground. There are, however, still some obstacles:

- insufficient integration, interface, or coordination with existing and sometimes well-established existing coordination mechanisms
- difficulty of gaining recognition and acceptance for the approach from other international, national and local actors who are accustomed to, and satisfied with, the mechanisms in place
- the fact that existing coordination bodies may be working to principles and standards that are not acceptable to the HCT and CLA(s).

What is the role of government?

“Each State has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, **the affected State has the primary role in the initiation, organization, coordination, and implementation of humanitarian assistance** within its territory.”

(UN General Assembly Resolution 46/182)

Where there is a functioning government, the **national authorities have responsibility for leadership and coordination of the humanitarian response**, with or without international involvement. Ideally, the cluster approach will strengthen these mechanisms through the active involvement of national and local authorities in coordination and the clusters.

At individual cluster level, the relevant **national and local authorities should be a meaningful partner** in cluster coordination activities and decision-making. They may opt to do this through a co-chairing arrangement between the CLA(s) and the main line ministry or government department counterpart. See section

2.5.2 for further details of working with government authorities in the Education Cluster.

Close coordination and collaboration with government efforts in humanitarian response is an essential part of the cluster approach. In all cases, the HC/RC and HCT need to ensure that the coordination mechanisms adopted are aligned with those of the government.

A key responsibility of the coordinator is to advocate for, and encourage other cluster partners to maintain regular and appropriate coordination with national and local government actors. The nature of these links will depend on the emergency context and the willingness, capacity and position of government actors in relation to supporting humanitarian activities. There will be some instances where there is a conflict of interest between the government and the clusters, eg, when government is party to a conflict, or where humanitarian principles of neutrality and impartiality would be compromised.

Additional resources – on the accompanying CD

- 📖 IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*
 - 📖 IASC (2007) *Operational Guidelines on Designating Sector/Cluster Leads in Ongoing Emergencies*
 - 📖 IASC (2007) *Operational Guidelines on Designating Sector/Cluster Leads in Major New Emergencies*
 - 📖 IASC – *What is the IASC?*
 - 📖 IASC (2009) *Guidance for Humanitarian Country Teams*
- Site with extensive information of the humanitarian reform agenda and individual clusters:
<http://www.humanitarianreform.org>
 - Main site for information about the IASC:
<http://www.humanitarianinfo.org/iasc/content/default.asp>
 - Site providing background information on the UN system and its role in humanitarian relief:
<http://www.un.org/issues/m-humani.html>
 - Website for OCHA as the coordinator of humanitarian assistance:
<http://ochaonline.un.org/Coordination/tabid/1085/Default.aspx>
-

1.3 Core cluster-wide activities at global level

1.3.1 Cluster leadership

Designated global cluster leads are responsible for ensuring better predictability, system-wide preparedness, and coordinated inter-agency response in their particular areas of activity. More specifically, they are responsible for establishing and maintaining broad partnership bases within their respective clusters that collaboratively engage in three main areas:

Standards and policy-setting

- ✓ consolidation and dissemination of standards; where necessary, development of standards and policies; identification of 'best practice'.

Building response capacity

- ✓ training and system development at the local, national, regional and international levels
- ✓ establishing and maintaining surge capacity and standby rosters
- ✓ establishing and maintaining material stockpiles.

Operational support

- ✓ assessment of needs for human, financial and institutional capacity
- ✓ emergency preparedness and long-term planning
- ✓ securing access to appropriate technical expertise
- ✓ advocacy and resource mobilisation
- ✓ pooling resources and ensuring complementarity of efforts through enhanced partnerships.

They are accountable to the Emergency Relief Coordinator (ERC) for their performance in this role. Global cluster leads meet with each other, their donors, and the IASC Task Team on the Cluster Approach, on a regular basis through annual meetings to determine progress, successes and challenges in implementation of the cluster approach.

1.3.2 Guiding principles and policy-setting

Principles guiding international humanitarian action, including the development and implementation of the cluster approach, are determined by the **IASC Principals**. The IASC Principals are the heads of the IASC agencies. They meet twice a year under the chairmanship of the ERC.

The IASC Principals are supported by the IASC Working Group, which is composed of the directors of the emergency programmes of the IASC agencies or their equivalent counterparts.

IASC Subsidiary Bodies

The IASC Subsidiary Bodies assist in developing policy or operational guidelines for humanitarian action. They also serve as a link between emergency relief and longer-term recovery and development activities. Their work often forms the basis for IASC Working Group discussions and, ultimately, for IASC decisions.

IASC Subsidiary Bodies	
Sub-working Groups	Consolidated Appeals Process Emergency Telecommunications Gender and Humanitarian Action Preparedness and Contingency Planning
Task Forces	Climate Change HIV in Humanitarian Situations Humanitarian Financing Humanitarian Space Core Group Information Management Meeting Humanitarian Challenges in Urban Areas Needs Assessment Cluster Approach
Reference Groups	Mental Health and Psychosocial Support in Emergency Settings

Policy guidance

Operational guidance on different aspects of the cluster approach is developed by IASC, in collaboration with OCHA. Previous areas of concern have included information management, working with national authorities, and the PoLR.

Thematic humanitarian policy guidance is also developed by the IASC in response to issues raised through the IASC subsidiary bodies, working groups, and membership. Guidance may be provided in the form of guidelines, manuals and checklists, or communications materials such as advocacy papers and posters.

1.3.3 Capacity-building

Common to all clusters is a commitment to building global inter-agency response capacities. Since 2008 it has been assumed that future **capacity-building costs will be absorbed** into the regular programmes and budgets of global cluster leads and cluster partners.

Assisted by the initial capacity-building funds, most clusters now have a better understanding of global human resource, material and technical capacities, and

corresponding areas of weakness within their respective clusters. Accordingly, work has progressed in setting common standards, harmonisation of tools and guidelines, facilitation of training programmes, and establishing standby and surge capacity mechanisms.

A 2007 Global Capacity-Building report noted improvements in most clusters in: pooling of knowledge and sharing of best practice, contingency planning, and more effective use of resources. Global cluster leads in particular noted that the partnership-building efforts at the global level had led to **changed attitudes and improved collaboration on the ground**.

Alongside cluster-specific capacity-building efforts, a number of generic training courses have been developed by OCHA, in collaboration with the IASC.

1.3.4 Needs assessment and information management (IM)

An IASC Needs Assessment Task Force (NATF) was set up in July 2009 with the overall objective of harmonising and promoting cross-sector needs assessment initiatives. Its first work plan includes the following outputs:

- operational guidance on leading and coordinating needs assessment
- strengthened needs assessment capacity, including (i) incorporation of needs assessment in preparedness planning, (ii) establishment of a needs assessment roster and (iii) needs assessment training
- enhanced information and data management, including development of a needs assessment website
- effective management of the NATF, including resource mobilisation and establishment of synergies with relevant initiatives.

Similarly, an IASC Information Management Task Force exists to strengthen inter-agency information exchange before and during emergencies. Its activities include producing guidance and tools to facilitate the implementation of the IASC Operational Guidance Note on IM (see section 5.2 for further details); capacity-building to support IM in the field; and the development of a common web platform to facilitate inter-cluster coordination in response to emergencies.

1.3.5 Ongoing review and evaluation

The IASC Principals and OCHA have steered a **formal process of evaluation and learning from implementation of the cluster approach**, commencing with the first of a two-part evaluation in 2007. Outcomes to date have contributed to the development of additional operational guidance and greater attention to, and investment in, areas of weakness such as humanitarian coordination, information management, and early recovery.

This formal process has been complemented by a range of inter-agency, cluster-specific, and country-specific reviews, and the 'NGOs and the Humanitarian Reform Project' study in 2009. The latter study is included in the 'Additional resources' listed at the end of this section.

Evaluation of the cluster approach

This 2007 evaluation focused on assessment of outcomes in relation to gap-filling, improved partnership and response capacities, better integration of cross-cutting issues, enhanced assessment and response-planning processes, and more predictable, accountable leadership. It resulted in the following key findings:*

- Efforts to identify and address gaps within sectoral programming have improved.
- There is stronger and more predictable leadership over sectors, but with no observable increase in accountability, and serious concerns about the viability of the PoLR concept.
- Preparedness and surge capacity have improved at the field level, but the system has yet to face the challenge of concurrent, large-scale emergencies.
- Partnerships have improved marginally, but without significant gains for local NGO participants.
- Efficiency can be enhanced and transaction costs reduced by lessons learned from past cluster experience, and investment in improved recruitment and coordination skills training.
- Prioritisation of strategic planning at country level has improved, particularly when underpinned by a common funds mechanism.
- Engagement of host states has been mixed, and overall has suffered from insufficient emphasis and strategic focus.
- Performance of individual clusters has varied at global and country levels.

The evaluation's second phase, due to be published in 2010, investigated the impact of the cluster approach on the lives and recovery of affected populations.

* A Stoddard et al, *Cluster Approach Evaluation Report*, 2007

Additional resources – on the accompanying CD

 IASC (2009) *ToR of the IASC Needs Assessment Task Force*

 NGOs and Humanitarian Reform Project (2009) *Synthesis Report: Review of the engagement of NGOs with the humanitarian reform process*

<http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-about-default>

<http://www.icva.ch/ngosandhumanitarianreform.html>

1.4 Education Cluster co-leadership

1.4.1 Global Education Cluster co-leadership arrangement

In December 2006, the IASC Principals' meeting endorsed the recommendation for the cluster approach to be applied to the education sector. This led to development of a co-leadership arrangement between UNICEF and Save the Children. Together, they lead the cluster's work globally, and often at country level, as well as support partners' engagement through the Education Cluster Working Group. This arrangement is based on a Memorandum of Understanding agreed in 2007 (see below).

UNICEF and Save the Children share a commitment to advance children's rights to survival, protection, development and participation, guided by the UN Convention on the Rights of the Child 1989. The work of both agencies focuses on contributing to the achievement of the Millennium Development Goals by 2015, and working with government and other partners. This encompasses the provision of humanitarian assistance and advocacy for children's rights in emergencies and post-crisis transition, including education.

UNICEF's role in education

UNICEF works in over 150 countries, and has a special mandated and long-term relationship with governments. It has strong institutional capacities at global, regional and country levels for emergency preparedness, humanitarian policies, large-scale humanitarian response, and inter-agency co-ordination. In addition, UNICEF can provide operational and technical capacities, including human resource capacity, supply and logistics, mobilising funding, advocacy and communication. UNICEF's role as co-lead of the Education Cluster at global, and in many cases, country level is integral to its guiding principles set out in the 'Core Commitments for Children in Emergencies' (CCC) and its current strategy for education (2006–15).

Save the Children's role in education

Save the Children works in over 120 countries, and has institutional capacities at global, regional and country levels for emergency response, humanitarian policy, and collaboration with humanitarian and development partners. These include operational and technical capacities, including surge capacity and training capacities for emergency staff that can be mobilised to serve the cluster. Furthermore, Save the Children is a strong global advocate for the education of children in conflict-affected fragile states through its 'Rewrite the Future' campaign.

Co-leadership Memorandum of Understanding

A Memorandum of Understanding (MoU) between UNICEF and Save the Children for 'Leadership of the Global Education Cluster' was signed in November 2007. It sets out:

- core objectives for the Global Education Cluster
- a framework for operating and joint leadership arrangements at global and country levels
- key priorities for the cluster
- a broad delineation of roles of UNICEF, Save the Children and cluster partners
- shared staffing, hosting, accountability and governance arrangements.

A subsequent joint guidance note on Education Cluster establishment and leadership reflects ongoing development of the co-leadership arrangement at country level. This guidance is set out in section 2.2.

The cluster co-leads work in close collaboration with the Education Cluster Working Group (ECWG). The work of the cluster is taken forward by the Education Cluster Unit (ECU) in Geneva, supported by four task teams and a thematic group drawn from members of the ECWG. Further details of these bodies are provided in the next section.

Additional resources – on the accompanying CD

- 📖 Global Education Cluster (2009) *Country-level Guidance on Education Cluster Establishment and Leadership*, UNICEF and Save the Children
- 📖 *Annex 1 to the Memorandum of Understanding between UNICEF and the International Save the Children Alliance – Leadership Of The Global Education Cluster*, 2008
- 📖 IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*

1.5 Structure and support at global level

1.5.1 Education Cluster Working Group (ECWG)

The Education Cluster Working Group (ECWG) was formed in September 2008 as part of the formal inauguration of the Global Education Cluster.

The ECWG represents the Education Cluster in global-level inter-cluster and IASC coordination mechanisms. Management and coordination within the cluster itself is achieved through a Steering Group and the Education Cluster Unit (ECU), with a broad partnership of agencies forming the ECWG.

The ECWG is an open platform of representatives from organisations working on education preparedness and response in emergencies and early recovery. As at December 2009, the ECWG was made up of representatives of UNICEF, Save the Children, ChildFund International, the Inter-Agency Network for Education in Emergencies (INEE) Secretariat, the International Rescue Committee (IRC), Relief International, UNHCR, UNESCO, UN Relief and Works Agency (UNRWA), WFP and World Vision, along with a number of individuals.

Designated ECWG representatives are tasked with maintaining linkages with other clusters and relevant humanitarian mechanisms in cross-cutting issues in their particular areas of expertise, and with other appropriate networks, eg, the INEE Secretariat maintains links with INEE members.

The ECWG aims to facilitate greater inter-agency collaboration and accountability in the field and has responsibility for developing and advancing the Education Cluster work plan. The vision, goal and objectives for the Global Education Cluster, as outlined in section 1.5.3 below, provide the framework of the ECWG. A detailed ToR for the ECWG is included in the 'Additional resources' listed at the end of this section.

Education Cluster Steering Group

The Education Cluster Steering Group consists of two senior managers from both UNICEF and Save the Children, and has an oversight and accountability function for the Global Education Cluster. It is accountable to the other cluster partners and the IASC.

The Steering Group responsibilities and accountabilities include managing the partnership between the two co-lead agencies, securing financing for effective cluster coordination, reviewing implementation of cluster work plans and achievement of objectives, budget monitoring, and review of key cluster proposals or policy documents.

1.5.2 Education Cluster Unit (ECU)

The work of the Global Education Cluster is delivered by the Education Cluster Unit (ECU), established in Geneva in May 2008. This unit is the main mechanism

through which UNICEF and Save the Children deliver on their responsibilities as global cluster leads. The ECU is responsible for the day-to-day management of cluster activities, and accountable to the Education Cluster Steering Group. Details of ECU staff can be found under the Education Cluster section of the OneResponse website:

<http://onerresponse.info/GLOBALCLUSTERS/EDUCATION/Pages/default.aspx>

Broadly, the ECU is responsible for:

- ✓ managing cluster partnerships and working groups, including representing the cluster in meetings and events
- ✓ providing technical and operational support for country-level clusters
- ✓ engaging with OCHA, and other clusters and stakeholders on humanitarian action and relevant policy development
- ✓ administering and coordinating the work of the cluster, including organising meetings, advocating for support, managing the website and development of other resources, developing cluster plans, budgets and reviews, and monitoring progress, expenditure, impact and learning.

1.5.3 Purpose and activities

The **vision** for the Global Education Cluster is to:

enable all children and young people to have immediate access to, or ensured continuity of, a quality education in a safe environment, for their protection and development, and to facilitate a return to normality and stability.

The **goal** of the Global Education Cluster is to:

strengthen system-wide preparedness and technical capacity to respond to humanitarian emergencies including the early recovery phase, and to ensure greater predictability and more effective inter-agency responses in education in the main areas of standards and policy-setting, building response capacity, and operational support.

The Education Cluster is responsible for all forms of education at all levels/age groups, not just that of formal education for children.

Global Education Cluster objectives

1. Promote increased levels of understanding of the key role of education as part of a first-phase humanitarian response to all major new emergencies, subsequent phases of response and early recovery.
2. Promote and improve on internationally recognised standards of good practice in education responses to emergencies and early recovery (including attention to priority cross-cutting issues for the education sector), and coordinate and disseminate lessons learned within and between emergency responses.
3. Coordinate cluster partners in providing a rapid and effective holistic response to education-related needs of children and young people resulting from major emergencies as they arise, in collaboration with the relevant national and local authorities.
4. Strengthen response capacity through the global pool of specialists skilled and experienced in restoring education services in emergencies.
5. Strengthen intervention resources through the global availability of key supplies to support rapid education responses in emergencies.
6. Improve capacity of partner agencies to help countries to rebuild and improve education systems after an emergency, in line with the progression from humanitarian response through reconstruction and on to development.
7. Strengthen education in host governments' disaster risk reduction (DRR) efforts and emergency preparedness planning.
8. Maximise funding opportunities for emergency education work, including through coordinating and collating proposals from all relevant agencies in the UN Consolidated Appeals Process (CAP) or Flash Appeals.

Education Cluster work plan

The Education Cluster work plan incorporates budgetary requirements for the measures outlined on a project-by-project basis, over a two-year planning period. In addition, it provides the means to monitor cluster progress and enable more predictable response, while incorporating sufficient flexibility to make revisions in a timely manner.

Education Cluster Working Group Task Teams

The work of the Education Cluster Unit is supported through four ECWG Task Teams and a number of Thematic Groups. Detailed information on these initiatives and Education Cluster work plan can be found at:

<http://onerresponse.info/GLOBALCLUSTERS/EDUCATION/Pages/default.aspx>

Field operations Task Team

Purpose: to ensure that cluster operations in the field have adequate human and material resources.

Main sub-projects: developing field guidance; establishing rosters of qualified, experienced and trained Coordinators, with a functioning system of rapid deployment (surge capacity); establishing appropriate stockpiles of emergency education supplies; and other specific activities related to technical guidance and cross-cutting issues.

Capacity-building Task Team

Purpose: to ensure adequate capacity is available at all levels to effectively and rapidly respond to emergency preparedness and response needs.

Main sub-projects: training of Coordinators; capacity-building for Ministry of Education officials; cascade training for frontline responders; an e-learning package on education in emergencies; and development of inter-agency teacher training materials.

Knowledge management Task Team

Purpose: to facilitate the collection and rapid assessment of assessment information that accurately defines the needs, maps existing resources, and identifies gaps and priorities.

Main sub-projects: standardising needs assessment, monitoring and evaluation processes; piloting, review, roll-out and support for cluster knowledge management systems.

Global Oversight, Advocacy and Liaison (GOAL) Task Team

Purpose: to contribute to the strategic work of the cluster.

Main functions: providing strategic guidance; supporting advocacy and liaison. All activities entail working closely with the ECU and the ECWG.

Thematic groups

Purpose: to ensure that cross-cutting issues are actively incorporated into cluster response.

Sub-projects: Many of these fields of work will be mainstreamed into the ECWG Task Team projects, but efforts are also being made to strengthen links between education and the following cross-cutting issues:

- Guidance on Child-Friendly Spaces
- Protection, Prevention and Peace-building
- Teacher Training materials on Psychosocial Support
- Disaster Risk Reduction (DRR)
- Early Childhood Care and Development (ECCD)
- Gender
- Adolescents and Youth

1.5.4 Additional global support for education in emergencies

In addition to seeking support from the ECU and the two global cluster leads, support for the management and coordination of education in emergencies is available from a range of cluster partners, most notably the INEE and UNESCO.

Specific areas of support include:

- ✓ advice on the interpretation and implementation global standards and cross-cutting issues
- ✓ provision of toolkits and resources to support coordination of education in emergencies, cross-cutting issues, and programme design, implementation, monitoring and evaluation
- ✓ provision of training of trainers and capacity-building workshops and materials
- ✓ provision of training materials (for trainers and participants) for education in emergencies including INEE Minimum Standards, cross-cutting issues, and education in emergencies
- ✓ access to specialist expertise through surge capacity mechanisms
- ✓ access to stockpiles of emergency education supplies.

Additional resources – on the accompanying CD

 Global Education Cluster (2008) *Draft ToR for Education Cluster Working Group*

- Global Education Cluster pages on the OneResponse website:
<http://oneresponse.info/GLOBALCLUSTERS/EDUCATION/Pages/default.aspx>
 - Global Education Cluster pages on the Humanitarian Reform website:
<http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=115>
 - INEE Task Teams provide a source of support on cross-cutting issues:
http://www.ineesite.org/index.php/post/tt_overview/
-

2

The Education Cluster at country level

2.1	Country-level implementation
2.2	Managing the co-lead relationship
2.3	Role of the Education Cluster Coordinator
2.4	Cluster's structure and functions
2.5	National authorities and cluster partners
2.6	Coordination with other actors

This chapter highlights the main coordination and operational considerations that need to be taken into account in establishing an Education Cluster, and in addressing education in emergencies, for all age groups. It provides guidance for 'getting started' in the role and relates specifically to the Education Cluster Coordinator responsibilities⁶ in:

- supporting the authorities in their emergency response by assuming overall responsibility for coordination of the cluster or supporting the government in doing this
- working closely with key cluster partners, including government authorities, school officials, international and local non-governmental organisations (NGOs), UNICEF, Save the Children and Office for the Coordination of Humanitarian Affairs (OCHA), and ensuring that linkages are made with other relevant clusters, and education sector groups
- supporting the capacity of sub-national clusters and ensuring that clear and effective communication occurs between the national and sub-national cluster.

Key points

- Effective cluster coordination can only be achieved with ongoing support and cooperation from the Cluster Lead Agency/ies (CLA(s)) and all cluster partners.
- The active engagement of government education authorities at all levels is critical to cluster emergency preparedness, response and recovery.
- Ensure there are effective mechanisms for regular interaction and information exchange between national and sub-national clusters, and with OCHA and other clusters.

⁶ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

2.1 Country-level implementation

2.1.1 Cluster establishment⁷

Country-level Heads of Agency of Save the Children and UNICEF (where present) are responsible for recommending the formation of an Education Cluster, and for establishing an effective leadership and coordination arrangement for the cluster. This needs to be done in consultation with national counterparts, other education partners and the Humanitarian Coordinator/Resident Coordinator (HC/RC). In some countries, the identity of the Education CLA(s) may have been determined already, as part of emergency preparedness or contingency planning.

In countries where an education sector working group exists, efforts should be made to engage the group in disaster risk reduction (DRR) and emergency preparedness and planning efforts, to ensure a more effective response by the cluster once it has been declared. When established, the cluster should link not only with other clusters across the humanitarian system, but also with existing educational coordination structures.

In practice a rapid joint analysis of whether or not a cluster is needed should be developed. Key questions to consider are:

- Are there gaps in the provision of education due to the emergency?
- Is education emergency preparedness and response already being adequately coordinated by a body led by the national government?
- Does any existing education sector coordination mechanism have capacity for emergency preparedness and response?
- Are there advantages to coordinating preparedness and response through the humanitarian system? (ie, linkages with other clusters, participation in Flash Appeals or Consolidated Appeals Processes (CAPs))
- Have other sectors formally adopted the cluster approach?

This analysis should be used to inform a recommendation to the HC/RC regarding formation of an Education Cluster. There may be a need to advocate for the establishment of a cluster and/or for funding of an education response. Furthermore, it needs to be made clear to all education sector stakeholders from the outset, that the cluster is time-bound and should flow into a sustainable coordination mechanism for the sector.

2.1.2 Immediate priorities when establishing the cluster

The immediate priorities when establishing the cluster will be dependent on the nature and scale of the emergency, and the timing of the Coordinator's arrival.

⁷ Based on the Global Education Cluster Country-level Guidance on Education Cluster Establishment and Leadership

In disaster-prone countries where there is a high level of preparedness and in-country experience, and established response systems, some of the priorities outlined below may have been addressed already, or the Coordinator may already have an operational role in-country.

This section applies predominantly to large-scale rapid-onset emergency situations where a Coordinator is brought in specifically to coordinate and manage the education in emergencies response.

In such situations, the Coordinator is likely to arrive or take up the post two to five days after the emergency onset. Before their arrival, a representative of the CLA will need to cover the Coordinator role.

48-hour checklist

The 48-hour checklist below outlines typical priorities for a new Coordinator arriving in-country.

Essential information for preparation and self-briefing

- ✓ a good map of the country and affected areas
- ✓ latest situation reports from OCHA, and from other clusters/sectors
- ✓ existing education sector and national contingency plans.

Further background information:

- <http://onerresponse.info/GlobalClusters/Pages/default.aspx>
- <http://www.worldbank.org/education/edstats>
- <http://www.devinfo.info/emergencyinfo/>
- <http://www.reliefweb.int/rw/dbc.nsf/doc103?OpenForm>

48-hour checklist for incoming Coordinator

1. **Arrange briefing from the CLA(s)** representative and the temporary Coordinator, including security and update on the current emergency situation.
2. **Locate the co-lead**, where there is a shared lead arrangement (see section 2.2), and agree broad responsibilities for managing the cluster.
3. **Meet OCHA** and find out about available secondary data, existing inter-agency coordination arrangements, government role, pooled funding arrangements, and information management/knowledge management (IM/KM) systems, eg, contacts, information sources, initial capacity mapping ('who is doing what, where' – 3W).
4. **Locate and talk to government partners** (within the Ministry of Education (MoE) and other relevant ministries or departments) and get details of existing coordination/decision-making structures, IM systems, national education standards if applicable, capacities and resources, and key informants at national and sub-national levels.
5. Make **arrangements for office space/accommodation**, transport, equipment.
6. **Meet representatives of key education sector partners** (UN and NGO).

7. **Review current information** about the situation, eg, situation reports, assessments, national contingency plans.
8. **Attend general coordination meetings** to gather information and establish contacts, eg, inter-agency coordination meetings chaired by the HC/RC, government coordination meetings, or meetings convened for implementing NGOs.
9. **Locate existing communication lists** for the education sector and get details of existing communication channels or coordination bodies within the sector.
10. **Set up Education Cluster coordination meeting**, eg, agenda, poster with contact information, venue.
11. **Input to initial needs assessment processes**, eg, what is being organised, by whom, where, and what capacity is available.
12. **Plan week one actions** and priorities.

A significant part of the first 48 hours will be spent in establishing contacts and gathering information. To make best use of this time, give careful consideration to who needs to be consulted, and what information is needed as a priority.

Initial contacts – what might you want to know

- ✓ What is the current emergency situation and state of the response?
- ✓ What pre-crisis and current information is already available and where can it be found? Have information sources been affected? Is the data on learners, teachers and other education personnel consistently disaggregated by sex (and age in the case of the learners)?
- ✓ What role is government taking and who are the principle government stakeholders in the education sector at national and sub-national levels?
- ✓ Who are the best sources for relevant, up-to-date information about the general emergency situation, and about education needs and capacities?
- ✓ What are the existing education coordination mechanisms and who is leading them?
- ✓ Is there an existing government and/or inter-agency emergency preparedness or contingency plan?
- ✓ Who are the key education sector agencies, where are they, and what is the level of familiarity with, and capacity in, education in emergencies?
- ✓ Who are the contacts for other relevant clusters, eg, Water, Sanitation, Hygiene (WASH), Health, Protection, Shelter?

2.1.3 The initial cluster meetings

The first cluster meeting should be organised as soon as possible, to establish an understanding of available capacities and a basis for joint needs assessment and response planning. Assistance may be needed from the CLA(s), or other cluster

partners, in finding a suitable venue, and in making contact with key education sector partners.

Cluster evaluations⁸ have also highlighted weakness in engaging national and local organisations when organising cluster meetings. Some clusters have found that using a contact poster for the cluster, providing contact details for the Coordinator and any other staff, helps to raise awareness of the meeting and to establish contact with potential cluster partners. Communication materials, such as posters, emails, meeting agendas etc, need to be translated into local language(s) as necessary.

The frequency of meetings required will depend on the nature and scale of the emergency, and the structure of the cluster. However, in the first few days after a rapid-onset emergency, national and sub-national meetings are likely to take place daily, at an appropriate time to suit cluster partners, eg, early morning or evenings. It may be prudent to schedule different types of meetings on different days, eg, alternate days for information-sharing, and for liaison with key partners. The frequency may reduce to several times a week, then weekly, over the response period. Sub-national meetings may continue to take place on a more regular basis.

Agenda items for the first Education Cluster meeting

- ✓ **Welcome** and introductions (if feasible, given the number of participants).
- ✓ Outline **purpose and expectations** of the cluster and the role and function of the Cluster Coordinator.
- ✓ **Government briefing** on emergency situation and **immediate actions required** (in the absence of government partners, this will need to be undertaken by the Cluster Coordinator).
- ✓ Exchange initial **3W information** and outline ongoing information requirements.
- ✓ Identify known education **needs** and cluster **response gaps**.
- ✓ Initiate arrangements for **urgent working group meetings** (eg, to consider sub-national cluster coordination mechanisms, organise the rapid assessment process, consider cluster standards).
- ✓ Agree on frequency of cluster meetings, alternative **communication arrangements** (email mailing lists, SMS contacts, etc) and language of communication.

Make sure that the meeting agenda is agreed with the MoE beforehand. Offer to chair the meeting, but ensure that a senior MoE representative is present. They will be able to answer many of the questions.

⁸ Stoddard, A. (2007) *Cluster Approach Evaluation Report*, 2007

The agenda for the first few meetings will be similar and some of the items may be covered in separate committees or working group meetings.

Managing initial cluster meetings

Chairing of initial cluster meetings is likely to be challenging, because of the diverse range of partners with differing levels of awareness and understanding of the cluster approach. The table below highlights some of the common problems encountered, and potential strategies to address them. Detailed guidelines on organising and managing meetings are also provided in section 4.3.

Common problems	Potential strategies to overcome them
<ul style="list-style-type: none"> ✘ limited understanding of, and commitment to, the cluster approach among meeting participants ✘ diverse priorities and demands for information and action ✘ poor support from government ✘ highly conflicting information, and conflicting forecasts of needs and response requirements ✘ managing large numbers of meeting participants ✘ managing continuous changes in the identity of meeting participants ✘ language difficulties. 	<ul style="list-style-type: none"> ✓ establishing immediate contact with government partners and meeting them before the meeting ✓ requesting that the government chair the meeting or, if they prefer, arrange to co-chair ✓ briefing people in advance of the meeting (with the agenda, IASC guidance on the cluster approach, draft cluster ToR) ✓ establishing immediate ground rules ✓ reaching early agreement on the cluster structure and coordination mechanism to facilitate rapid decision-making ✓ being clear about expectations of the cluster from, to, and between partners ✓ displaying available information on who is doing what, where (3W), and updating and adding to this during the meeting; this can minimise time spent going round the room for updates, particularly if there is a large number of participants ✓ inviting new agencies to briefly explain who they are and what they are doing ✓ directing partners to previous meeting notes and briefing papers (eg, IASC guidance, Inter-Agency Network for Education in Emergencies [INEE] Minimum Standards, cluster ToR) for background information and decisions taken to date; this avoids spending time going over previous discussions and decisions ✓ sharing minutes of meetings and related action points with all cluster partners promptly after meetings ✓ ensuring that effective translation mechanisms are in place so that all partners can fully participate in meetings.

2.1.4 Ongoing cluster activity planning

Timeline for week 1

Drafting an outline of activities for the first week or so will help to accommodate multiple demands and deadlines, and ensure that priorities are not overlooked. Some activities may already have been undertaken or started by the temporary/previous Coordinator, and the timeline will need daily adjustment once in-country.

The sample activity plan below indicates the sequencing and types of activities that may be required in the first seven days after a rapid-onset emergency.

Activities to be completed by the first week of arriving in-country	Approximate days after disaster onset						
	1	2	3	4	5	6	7
Orientation							
Briefing on the education sector and initial coordination efforts from the CLA(s) representative or previous incumbent							
Briefing on emergency situation, local context, government and donor strategies, key national policies and standards							
Building relations with cluster stakeholders							
Ongoing meetings with stakeholders: government (line ministries, focal departments), donors, international NGOs, local organisations, other clusters, and relevant cross-cutting issues focal points, where available.							
Inter-agency meetings and meetings with OCHA							
Collection of cluster partner information through initial mapping of Who, What, Where (3W)							
Establishing the cluster							
Establishing the cluster lead arrangements and agreeing roles and responsibilities with the CLA(s)							
Setting up first national-level cluster meeting							
Identifying sub-national Coordinators/focal points							
Cluster coordination meetings (national and sub-national)							
Smaller advisory or working group meetings (may be needed to facilitate decision-making or progress work on specific tasks)							
Outlining cluster structure and requirements for administrative, logistics and specialist technical support							
Agreement on Education Cluster ToR and coordination mechanisms at national and sub-national levels							

Establishing operational systems					
Logistics: communications (internet, phone, radio), transport, office accommodation and meeting space.					
Setting up communication and contact management systems (email lists, Google group, website)					
Establishing IM systems and adaptation of standard tools					
Sourcing staff, translators.					
Planning and reporting					
Drafting of initial (three- to four-week) strategic response plan with principle strategies, objectives, indicators, guided by the INEE Minimum Standards					
Drafting and disseminating daily sit reps and inputting to OCHA inter-cluster sit reps					
Assessments and resource mobilisation					
Identification of immediate life-threatening priorities, eg, abduction of children on the way to school, mines					
Preparation for a joint rapid needs assessment					
Clarifying baseline data, assessment proposals, and Flash Appeal/Central Emergency Response Fund (CERF) requirements with OCHA					
Mapping existing in-country capacities, including human resources, supplies and equipment, donors and funding opportunities					
Joint rapid needs assessment process (either inter-cluster or Education Cluster-specific)					
Gap analysis and prioritisation of needs and partner projects for funding					
Input to Flash Appeal, CERF					

Longer-term activity planning

Developing a longer-term activity plan will assist in:

- ✓ managing multiple tasks
- ✓ mainstreaming thematic and cross-cutting issues
- ✓ highlighting opportunities for shared intra- and inter-cluster activities, eg, meetings, assessments, field visits, monitoring, review, training opportunities
- ✓ giving early consideration to transition planning
- ✓ ensuring adequate prioritisation of specific geographical areas
- ✓ identifying the skills and capacities required, and delegating tasks where possible
- ✓ providing clarity of direction for cluster partners.

This process should be complementary to strategic response-planning activities being undertaken, to ensure that operational aspects of the cluster are put in place in line with requirements for coordinating the education in emergencies response, eg, IM systems, communication with sub-national clusters and coordination structures.

The INEE checklist of *Strategies for Inter-agency Coordination within an Education Cluster*, which is included in the 'Additional resources' listed below, is a useful tool to assist with cluster activity planning.

Additional resources – on the accompanying CD

- 📖 IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*
 - 📖 INEE Working Group on Minimum Standards (2006) *Strategies for Inter-agency Coordination within an Education Cluster*
 - 📖 UNICEF (2006) *Education In Emergencies: A Resource Toolkit*, Regional Office for South Asia in Conjunction with New York Headquarters
 - 📖 Nicolai, S (2003) *Education In Emergencies: A tool kit for starting and managing education in emergencies*, Save the Children
- Informal website established by a network of Cluster Coordinators:
<http://www.clustercoordination.org>

2.2 Managing the co-lead relationship

2.2.1 Managing co-leadership at country level

Co-leadership arrangements for the cluster at country level take different forms. Up-to-date details can be found through the Cluster pages of the OneResponse website at:

<http://www.oneresponse.info/GlobalClusters/Education/Pages/default.aspx>

Similarly, co-leadership or facilitation arrangements will vary at sub-national level and responsibilities may be taken by a number of different cluster partners.

Country-level Guidance on Education Cluster Establishment and Leadership

Along with a proposal to establish an Education Cluster, a clear leadership arrangement should also be put forward to the HC/RC. This proposal needs to be developed collaboratively between Save the Children and UNICEF and other education sector stakeholders. The Global Education Cluster *Country-level Guidance on Education Cluster Establishment and Leadership* (included in the 'Additional resources' listed at the end of this section) provides guidance on key considerations that should be part of this process, and sets out three alternative models for the leadership arrangement:

a) Co-leadership

UNICEF and Save the Children, or another designated lead agency, take joint responsibility for the cluster. Heads of Agency of both agencies share leadership accountabilities. Coordinators, and other cluster support staff, report to their employing agency but are accountable to both Heads of Agency for the effective functioning of the cluster. Key decisions are made on a collaborative basis and approved by both agencies. Day-to-day coordination tasks are divided as agreed, and both agencies work together to be the Provider of Last Resort (PoLR).

b) Single Lead Agency

Lead responsibilities are assumed by one agency, potentially on a rotational basis (changing, for example, every six months).

- UNICEF serves as lead agency, with Save the Children, where it is present, participating as a cluster partner. UNICEF, through the Head of Agency, assumes all leadership accountabilities.
- Save the Children serves as lead agency, with UNICEF participating as a cluster partner. Save the Children, through the Head of Agency, assumes all leadership accountabilities.
- Another agency serves as lead agency, with UNICEF and Save the Children as cluster partners. This will occur when another agency has a strong presence in education, and neither UNICEF nor Save the Children

is present and active in the sector; it is especially likely to be the arrangement in a sub-national cluster.

The designated lead agency assumes all responsibilities for role of PoLR.

c) Ministry of Education as Co-lead

Where the Ministry of Education (MoE) is able and willing to lead the coordination of an education response in an emergency, it can assume formal leadership of the cluster as a co-lead. In these instances UNICEF, Save the Children or other education sector stakeholders should play a role of supporting the MoE. Agencies need to ensure that cluster accountabilities are clear.

Example: Co-leadership in Sri Lanka

UNICEF was the designated CLA for the Education Cluster but owing to visa problems, was unable to deploy a Coordinator. The UNICEF and Save the Children Heads of Agency agreed that Save the Children would provide the Coordinator, as Save the Children had both the funding and staff available to do so. UNICEF was able to provide support for the Coordinator through a national staff member who already had good contacts at the Ministry of Education.

In this example UNICEF continued to be the figurehead for the cluster in high-level meetings with the Ministry of Education and as part of the Humanitarian Country Team. However, the implementation of the cluster response and coordination between national and sub-national clusters was handled by the Coordinator employed by Save the Children. As Save the Children and UNICEF had a good working relationship and jointly agreed the roles and responsibilities and the structure of the cluster, it enabled those involved to be clear in their objectives and responsibilities.

Source: Sparkes, J. (2009) *Setting Up and Running an Education Cluster – A Rough Guide*

Steps in establishing the cluster lead arrangements

- ✓ Assess the existing presence, capacity, and extent and nature of working relationships among key international agencies and national government in the education sector, at national and sub-national levels.
- ✓ On the basis of existing presence, capacity and relationships, and in collaboration with the global Education Cluster Unit (ECU) and HC/RC, determine whether there will be:
 - a co-leadership arrangement
 - a single CLA
 - an MoE co-lead.

- ✓ On the basis of the agreed leadership arrangement, determine how the CLA accountabilities, including accountability and reporting to the HC/RC and Humanitarian Country Team (HCT), will be managed, eg, where there are two agencies involved in cluster leadership, how these accountabilities will be split or shared.
- ✓ Prepare a Memorandum of Understanding (MoU), clearly identifying the roles and responsibilities of the two CLAs (where applicable). See the *Sample MoU for a Country-level Education Cluster Co-Lead Arrangement* in the 'Additional resources' listed at the end of this section.
- ✓ Specifically clarify how the two CLAs will fulfil the CLA mandate as PoLR.
- ✓ Disseminate details of the agreed leadership arrangement widely among cluster partners, OCHA, and other clusters and relevant cross-cutting thematic working groups, where available.
- ✓ Based on in-country staff capacity and experience within the CLA(s) and other cluster partners, or through partner surge and standby capacity, agree recruitment and deployment arrangements for the Coordinator(s) and any other key cluster staff or experts.

Roles and accountabilities for managing the cluster

The Coordinator may be an existing staff member from the CLA(s), or a new staff member recruited for the post. Alternatively, depending on human resource needs, a Coordinator may be appointed by each CLA respectively. Additional posts such as an Information Manager may also be needed.

Whatever national cluster staffing structure is established, clear lines of reporting and accountability should be defined for all cluster staff. This is particularly important where there are co-lead agencies and a single coordinator, or a coordinator role within each of the CLAs.

The Coordinator is accountable to, and required to report to, the Head of CLA(s) on all issues related to the Cluster and the CLA's ability to fulfil its obligations. At times, the Coordinator may also be asked to provide reports directly to the HC/RC through inter-cluster coordination meetings.

The **Joint Letter from Cluster Lead Agencies to their Directors/Representatives at Country Level** (included in the 'Additional resources' listed at the end of this section) sets out the generic accountabilities for CLA(s) and Coordinator(s) to the HC/RC and other cluster partners:

- ✓ Heads of CLA(s) at the country level have a dual responsibility to represent the interests of both their own agency and the cluster(s) they lead in HCT meetings (or equivalent) and in other relevant forums. Ideally, this dual responsibility should be reflected in their job descriptions and performance appraisals.
- ✓ While Coordinators are responsible for the day-to-day running of clusters, it is the Heads of CLA(s) who are ultimately accountable to the HC/RC for carrying out their CLA responsibilities.

- ✓ Coordinators should act as neutral representatives of the cluster as a whole, rather than as representatives of their own agency. One way to ensure this separation of roles is to appoint both:
 - a dedicated Coordinator with no agency-specific responsibilities, and
 - a separate cluster focal point for the agency that can represent the agency and participate in the work of the cluster on an equal footing with other cluster partners.

These arrangements are a matter for each CLA to decide on a case-by-case basis depending on available resources, the security situation and other relevant factors.

- ✓ Where dedicated Coordinators are appointed, their responsibility to act as a neutral representative of the cluster as a whole should be reflected in their job descriptions and performance appraisals. If the CLA is not able to appoint a dedicated Coordinator, the individual who is given responsibility for cluster coordination at the country level will have a dual responsibility to represent both the interests of the cluster and their own agency programmes in relevant forums. This dual responsibility should be reflected in their job descriptions and performance appraisals.

Additional resources – on the accompanying CD

- 📖 IASC (2006) *Generic ToR for Cluster/Sector Leads at the Country Level*
- 📖 IASC (2008) *Operational Guidance on the Concept of Provider of Last Resort*
- 📖 Global Education Cluster (2009) *Country-level Guidance on Education Cluster Establishment and Leadership*, UNICEF and Save the Children
- 📖 Global Education Cluster (2009) *Annex 9: Sample MoU for a Country-level Education Cluster Co-Lead Arrangement*
- 📖 Global Education Cluster (2009) *Joint Letter from Cluster Lead Agencies to their Directors/Representatives at Country Level*, UNICEF and Save the Children
- 📖 *ANNEX 1 to the Memorandum of Understanding between UNICEF and the International Save the Children Alliance – Leadership Of The Global Education Cluster, 2008*
- UNICEF website, education section: for updates, resources and lessons learned:
<http://www.unicef.org/girlseducation/index.php>
- Save the Children website:
http://www.savethechildren.net/alliance/what_we_do/education/index.html

2.3 Role of the Education Cluster Coordinator

2.3.1 Education Cluster Coordinator ToR

The role of the Coordinator is to lead and facilitate the process of ensuring a coherent and effective emergency education response, by mobilising cluster partners to respond in a strategic manner. Functions of the Coordinator role are based broadly on those of the CLA.⁹

Exact responsibilities will depend on the nature and scale of the emergency, and the role and capacity of national government and the international community. The core competencies required are set out in the table below and complete ToR is included in the 'Additional resources' listed at the end of this section.

The responsibilities can be categorised into three main areas:

- coordination within the cluster mechanism between the HC/RC, other clusters, OCHA and donors
- liaison and cooperation with government authorities, mainly the MoE
- coordination, information-sharing and supporting cluster partners.

Education Cluster Coordinator core competencies

Value-based:

- commitment to the right of children and youth to education in emergencies and recognition of the need for education in emergencies as a first-phase response
- ability to put aside one's own organisation's interests and work impartially, serving all cluster partners on equal terms.
- demonstrating integrity and striving towards the highest personal and professional standards.

Facilitation and coordination:

- demonstrable ability to work with a diverse group of stakeholders and develop consensus and joint working
- experience of high-level coordination and chairing of meetings

Communication:

- effectively presenting ideas in a clear, concise and convincing manner
- listening to and acknowledging others' perspectives and views.

Decision-making ability:

- identifying key issues in a complex situation and making effective and realistic decisions based on logical inferences, experiences and implications.

Humanitarian:

- demonstrable understanding of international humanitarian response architecture, coordination mechanisms, humanitarian reform and action.
- understanding of the humanitarian funding mechanisms (eg, the Consolidated

⁹ Set out in IASC (2006) *Generic ToR for Cluster/Sector Leads at the Country Level*

Appeals Process [CAP], Central Emergency Response Fund [CERF] and Flash Appeals)

- understanding of humanitarian principles and ability to apply these.

Advocacy:

- excellent advocacy skills, particularly in relation to advocating for education provision in humanitarian crises.

Planning and strategising:

- ability to work and plan at strategic and operational level
- understanding of opportunities to provide integrated or cross-cutting humanitarian interventions with other sectors and clusters
- ability to identify and make the relevant links between emergency response, recovery, transition and development
- understanding of the need and the opportunities to integrate relevant cross-cutting issues – including gender – effectively.

2.3.2 Key challenges in the role

Inter-agency reviews of the cluster approach and individual cluster reviews¹⁰ have highlighted a number of key challenges in relation to the Coordinator role:

- the time required in effectively managing the cluster coordination role
- the importance and difficulty of maintaining separation between roles where the Coordinator post-holder takes on this role in addition to an existing operational role within the CLA, eg, within the existing education programme team
- the difficulty of achieving effective inter-cluster collaboration
- for the Education Cluster, the challenge of advocating for education in emergencies as a priority humanitarian issue with OCHA and donors.

The value of having a dedicated Coordinator to address these challenges has also been underlined in cluster reviews, and in the *Joint Letter from Cluster Lead Agencies to their Directors/Representatives at Country Level* (in the ‘Additional resources’ listed at the end of section 2.2).

Role as an honest broker

To be effective in mobilising a broad partnership base, the cluster must function in a way that respects the roles, responsibilities and mandates of different humanitarian organisations. To enable this functionality, the Coordinator must act as a neutral representative or ‘honest broker’; serving the needs of all cluster partners, rather than having bias or prejudice towards the interests of his/her own agency.

This approach implies that the Coordinator has no operational programming or fund-allocating role within their own agency, and that they are employed full-time

¹⁰ Houghton, R (2008) *Education Cluster: Country-level Lessons Learned Review*

in coordinating the cluster. Clearly, this will not always be the case, and will depend on the type, scale and phase of the crisis.

Particular areas of sensitivity include prioritisation and selection of projects for inclusion in collaborative funding appeals, allocation of resources and operational areas, and the degree of influence of the CLA and other more powerful cluster partners within the cluster decision-making structure.

The Coordinator's credibility is, to a large extent, founded on his/her ability to act as an 'honest broker'. One of the most effective ways of achieving this is to ensure that all humanitarian actors be given the opportunity to fully and equally participate in agreeing the direction, strategies and activities of the cluster.

Responsibility without authority

The Coordinator's primary role is to support the government in achieving a predictable and coordinated education response. However, this responsibility comes without the authority to enforce compliance with agreed coordination measures among cluster partners, eg, adhering to cluster information needs and agreed minimum standards.

Such compliance can only be achieved through the meaningful engagement and commitment of key education sector partners, and the proactive support of the CLA(s) in both working within the parameters of the Cluster and providing operational support. This requirement is endorsed in the *Global Education Cluster Country-level Guidance on Education Cluster Establishment and Leadership* (in the 'Additional resources' listed at the end of section 2.2).

Tips for working within a CLA

- ✓ **Clarify the Coordinator role and authority** vis-à-vis/in relation to other CLA staff, and in particular staff within the existing country education programme(s). This can mitigate the risk of misunderstanding about the prioritisation, selection, funding, and monitoring and evaluation of CLA-managed education projects.
- ✓ **Attend management team and staff meetings** within the CLA(s) to build relations with the CLA staff.
- ✓ Facilitate a **briefing for CLA staff on the cluster approach**, the leadership or co-leadership role of the CLA(s), and the role of the Education Cluster Coordinator.
- ✓ Work **with the country representative/line manager as an ally** to ensure proper support for cluster operations.

Achieving the desired results will also depend on the competency of the Coordinator in providing clarity of direction and collaborative leadership,

facilitating continuous negotiation and effective information exchange, and supporting cluster partners in achieving their own objectives.

2.3.3 Other cluster staff

In most cases the Coordinator will be either a dedicated cluster staff member, or working as a member of a part-time coordination team across CLA(s). However, in all cases s/he will need to draw on the CLA(s) and cluster partners for support in administration and logistics, technical expertise (emergency education and cross-cutting issues) and specialist functions, such as IM, KM, advocacy and communications.

The only way to manage cluster coordination effectively is with help from others!

So whether responsible for recruited cluster staff, or working alongside seconded experts from cluster partners, part of the Coordinator's role will involve the guidance, management and support of others. International and national staff who are recruited for the cluster will report to, and may be accountable to, the Coordinator. People In Aid has developed a useful online toolkit with tools and guidance for managing people in emergencies: <http://www.managing.peopleinaid.org/>

Support in areas of technical expertise

Specialist support may be needed in particular aspects of education in emergencies, such as early childhood development or safer school construction. The same applies to addressing priority cross-cutting issues, such as gender, HIV and AIDS, or disaster risk reduction.

In these cases, detailed activities such as standard-setting, planning and coordination may be best undertaken through smaller technical working groups, led by an agency or individual from the cluster, with the relevant specialist skills and experience. It is important, however, to make sure that these issues do not become pigeon-holed as something to be dealt with by experts. This can be addressed by ensuring that the outcomes of working group discussions are fully integrated in the agenda for cluster meetings.

Additional resources – on the accompanying CD

 Global Education Cluster (2009) *ToR Education Cluster Coordinator*, version 2

2.4 Cluster's structure and functions

Arrangements for organising the structure of the Cluster will depend on the presence and effectiveness of existing coordination mechanisms, particularly those of government, and the scale, phase and anticipated duration of the emergency. In some countries there may be an established cluster recognised by the IASC, while in others there may be an established alternative sector coordination mechanism. The Coordinator will need to make every effort to support and build on structures that are already in place, and advocate for cluster partners to do the same.

Key questions in establishing an appropriate coordination mechanism

- Is there currently an education coordination forum, and who is it led by?
- Does this forum have the capacity, experience and resources to meet the needs of coordinating an education in emergencies response?
- Is this forum open to the cluster approach and the overarching principles of education in emergencies?
- Does this forum represent the interests of all education stakeholders?
- Can the forum be readily expanded to address emergency coordination requirements and the accountabilities of the education CLA(s)?
- If not, can any additional coordination requirements be addressed through supplementary measures, rather than by a separate structure?

Whatever the structure adopted, it must be flexible enough to suit all stages of the emergency response, eg, expanding during initial relief activities and scaling back as the cluster merges or phases out (see section 7.5 for further details of phasing out).

In a large-scale emergency response, such as the Pakistan earthquake, national and sub-national coordination will be required:

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

In smaller-scale emergencies, coordination may take place entirely at one level.

All levels of coordination, to be effective, rely on clear roles and responsibilities and efficient communication and information flow between them. Points for the Coordinator to bear in mind in **determining an appropriate cluster structure** include:

- ✓ how the structure will link in with government structures, and the need to provide support to, and maintain regular interaction with, government partners at all levels

- ✓ in the initial relief phase, the value of establishing coordination mechanisms as close to the affected area as possible
- ✓ appreciation of the differing operational capacities and constraints for cluster coordination at sub-national level
- ✓ the need to support both education emergency preparedness and response
- ✓ the importance of clear communication channels and means of information-sharing at and between different levels in the structure
- ✓ the need for clear definition of roles and responsibilities for cluster partners, and strong leadership, at all levels
- ✓ building on the available capacity of government and cluster partners in determining leadership roles, and allocating roles and responsibilities at all levels
- ✓ ensuring effective links at all levels with other clusters and coordination with partners not directly involved in the cluster.

2.4.1 Coordination structures at national level

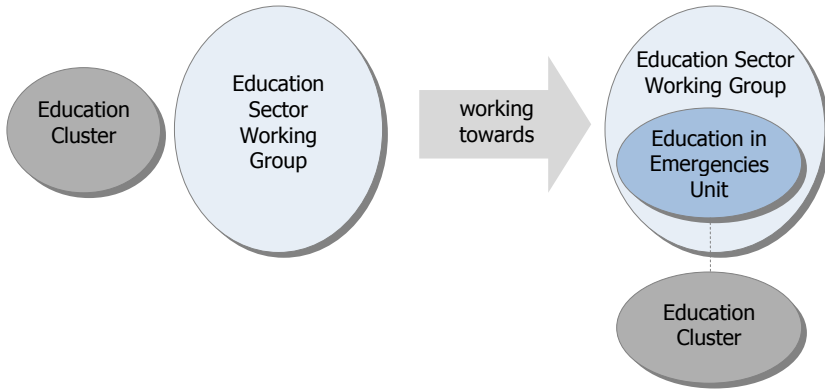
National-level coordination focuses on strategic aspects of cluster programming and contributes to the coherence of the overall humanitarian response. In order to serve this function, the national-level cluster structure needs to enable:

- ✓ close collaboration with national education authorities and other government departments
- ✓ participation of cluster partners to enable establishment of a broad partnership base
- ✓ regular interaction with the CLA(s), the HCT and other clusters to ensure effective inter-cluster coordination
- ✓ reasonable access to affected areas to facilitate informed decision-making and effective communication and information exchange with sub-national-level clusters and actors.

Carefully consider the location for national-level cluster coordination meetings. It must be secure, but also offer reasonable access for all partners, including local NGOs. Separation from, but proximity to, the CLA(s) and government partner offices is also desirable.

Every emergency and country context is different and the cluster structure needs to be adapted in accordance with the existing education coordination mechanisms. Generally, there are two ideal models that apply in situations where there is a cluster and an existing education sector working group. The models relate directly to the type of emergency and stability within the government/country.

A progressive model for natural disasters



a) Cluster as a sub-group of education sector working group

The model above represents the ideal in post-natural disaster contexts where initially, the cluster may have limited interaction with a government-led education sector working group. However, over time the level of interaction steadily increases until all cluster functions are ultimately mainstreamed within the education sector working group. At that stage the cluster would have potentially transformed into an education in emergencies unit, or emergency unit within the MoE. Until this point is reached, the CLA(s), Coordinator and cluster partners will be part of an independent cluster structure, working in close collaboration with the existing education sector working group.

This model is more likely to occur following a natural disaster, where the government exhibits a heightened level of capacity and legitimacy. Ultimately the cluster could be included as a sub-group of the education sector working group, as indicated in the diagram.

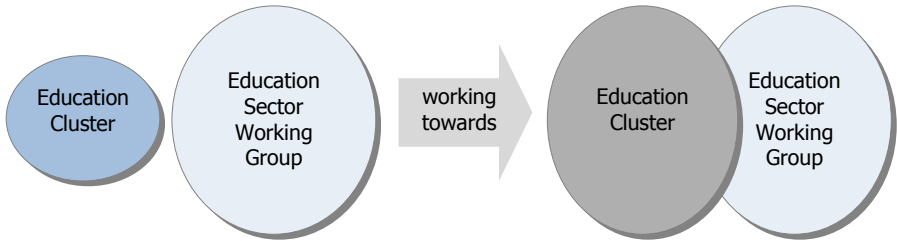
In the longer term, if a natural disaster occurs, the cluster can then be activated as a sub-group of the education sector working group. When the disaster and related recovery efforts are largely complete, the cluster can become dormant until it is necessary to activate it again. During this period, priorities around contingency planning and disaster preparedness can be taken on by the education sector working group, thus ensuring sustainability and the inclusion of elements of education in emergencies in medium- to longer-term education sector planning.

b) Cluster as separate but intersecting with the education sector working group

This arrangement is more likely to occur in a complex emergency where the government-led education sector working group is unable to take on priorities and planning for education in emergencies. In this model, the cluster may start as a separate entity and progress to a point where the cluster and education

sector working group have clearly defined roles that overlap in key areas. The progression described above, where the cluster ultimately becomes part of the education sector working group, may not be ideal, as the cluster will need to retain its neutrality and independence.

A progressive model for complex emergencies



In situations where the government is considered to be taking a side in the emergency, or even complicit in it, then the cluster will need to establish a separate but intersecting group, as illustrated in the model above. This will enable the cluster to maintain its neutrality and clarity of purpose. Interaction between the two coordination mechanisms might include information exchange, and asking members of the education sector working group to attend and participate in cluster meetings, planning and action (and vice versa).

National-level coordination structure in Ethiopia

A system of sectoral task forces and working groups coordinated by the Government of Ethiopia has been in place for many years. In 2007 the Government of Ethiopia, with support of humanitarian partners, produced a 'Guidance Note for the cluster approach in Ethiopia'. It stipulates that clusters will be led by, and will support developing the capacity of, sectoral Ministries, in addition to respective federal-level Sectoral Task Forces and corresponding Bureaus and task forces at the regional and sub-regional levels.

The Education Cluster is the most recent addition to the 'cluster system' in Ethiopia, having been established in October 2008. It is co-led by the Ministry of Education, Save the Children and UNICEF, and comprises partners who already are supporting, or are expected to support, the Ministry of Education in providing education in emergencies.

Source: Global Education Cluster, *Capacity Assessment and Preparedness Pilot in Ethiopia*, January 2009

2.4.2 Coordination at sub-national level

Sub-national level coordination focuses on the details of planning and implementation of education-related activities. It involves:

- ✓ maintaining an overview of the security situation and changes in the emergency context
- ✓ assessment and monitoring of education needs and progress in the education response
- ✓ mapping and monitoring of partner capacities through the Who, What, Where (3W) tool
- ✓ identification of gaps in the coverage of needs, and review of strategies needed to address them
- ✓ communicating key decisions and other data/information from sub-national to the national cluster
- ✓ communicating key decisions, details of available resources, guidance on policy and standards from the national to sub-national cluster partners
- ✓ advocating to provincial and district education authorities and other government departments, other clusters and community representatives on the education situation, and education in emergency needs
- ✓ promoting agreed cluster standards.

It is also at this level that early recovery, emergency preparedness and capacity-building measures can most readily be achieved. An effective sub-national cluster coordination structure will help facilitate effective information exchange, monitoring of the emergency situation, progress of the education response, and adherence to agreed standards.

Sub-national-level coordination structure in Somalia

The Education Cluster in Somalia is co-led at national level by UNICEF and Save the Children in Nairobi. 'Mini clusters' have been established in Somaliland, Puntland and the South Central Zone, each co-led by a government focal point and UNICEF or an NGO co-lead.

A similar arrangement of co-leadership by government and UNICEF/NGO co-leads is in place at sub-national level.

Source: *Structure of the Education Cluster Somaliland / Puntland / South Central Zone*, September 2008

A cluster representative needs to be identified in each key location at sub-national level, to act in the capacity of sub-national level Coordinator. This may

be a staff member from a CLA, or one of the other cluster partners that is operational in the area. The sub-national Coordinator should work alongside a counterpart from the relevant provincial or district education authorities. The exact allocation and arrangement of roles will depend on the presence, available capacity and resources, and previous experience of agencies in a particular location. Roles will then have to be negotiated between the Coordinator and relevant cluster partners.

In some countries, such as Sri Lanka, the sub-national coordination arrangements can be very complicated and vary considerably from one district to another, depending on the country and the emergency context.

Ensure a clear division of roles and responsibilities between national and sub-national level cluster coordinators and any supporting staff.

Managing communication and information exchange between cluster levels

The majority of cluster information needed to guide strategic decision-making will be generated at sub-national level. Similarly, information and direction needed to guide a well-coordinated response must be fed down from the national to sub-national clusters in a timely and practical manner.

Information flow and communication between cluster and government partners is likely to be strongest at sub-national level, owing to regular interaction in managing response activities on the ground. This is illustrated in the schematic diagram below.

However, in practice, vertical communication and information exchange within the cluster can be a significant area of weakness, because of practical constraints for sub-national partners concerning, for example, time, means of communication, transport or security. In addition, sub-national partners can quickly become disillusioned if their information and resource needs are not met, and they are asked for information that is considered excessive or irrelevant or that has already been provided by others.

These challenges can be mitigated by the Coordinator through:

- ✓ building on existing communication and coordination structures as far as possible
- ✓ ensuring that communication and information exchange is two-way so that sub-national coordinators and cluster partners are well informed
- ✓ keeping information demands to an absolute minimum and adopting communication and reporting mechanisms that address the needs and constraints of those in the field (see section 5.3)
- ✓ valuing and acknowledging the contributions from sub-national cluster partners.

establishing a smaller group to facilitate timely and effective decision-making, outside the wider cluster coordination meetings. Some clusters have adopted the use of smaller advisory groups such as the WASH or shelter cluster 'Strategic Advisory Group'. A smaller forum can assist the Coordinator in:

- ✓ drafting the Education Cluster ToR
- ✓ gap analysis and determining priorities for response in the immediate post-emergency phase
- ✓ longer-term (one- to six-month) strategic response planning and providing ongoing strategic direction
- ✓ forging and maintaining national-level partnerships and equitable representation of diverse education sector interests within the cluster
- ✓ keeping the response moving, eg, proactive engagement in review and adjustment of cluster plans
- ✓ collectively representing the cluster interests and position, including advocating for necessary resources and provisions
- ✓ setting performance standards and indicators (based on advice from technical working groups as appropriate).

If such an arrangement is adopted, it is critical that the group involves all major stakeholders, including government partners, and is not seen by the remaining cluster partners as elitist. The decision-making process in deciding who will be part of the group will have to be managed very carefully, and done in a democratic and transparent manner.

Cluster partners who want to be part of the group should not be excluded, but this will have to be balanced with the need to keep the group small while maintaining broad representation and evidence that all group members have the capacity and time to contribute to the group, as required.

Similarly, while regular dialogue between the Coordinator and Heads of CLA(s) is expected, care is needed to ensure that cluster decisions are taken by a broad representation of all cluster partners, not just the CLA(s), otherwise the position of trust held by the Coordinator may be compromised (see section 2.3.2).

When taking decisions within cluster coordination meetings, the Coordinator needs to pay particular attention to the interests and engagement of national and local partners. There is a tendency for the language and meeting/decision-making style to be dominated by international actors, which can constrain national and local partners in getting across their views, interests or concerns. As the response progresses, cluster partners can all increase their efforts to facilitate the meaningful representation of those affected by cluster actions, eg, through cluster response planning, monitoring and review.

Technical working groups

Technical working groups or sub-groups are useful in analysing problems, resolving concerns, and formalising principles and responsibilities, eg, setting

standards, defining technical specifications, information management, or quality assurance, as consensus is more easily achieved within a smaller group.

To establish a group, the Coordinator identifies a focal point with responsibility for establishing and managing the group, and feeding back on their activities and recommendations.


Cluster partners may self-select for group membership, although in some cases where special expertise is required, the Coordinator may need to intervene. A group's lifespan will be determined by its purpose.

Facilitating coordination through working groups in Sri Lanka

Coordination and decision-making on emergency education issues in Sri Lanka has been facilitated by both establishing sub-groups within the Education Cluster, and by cluster partners participating in sub-groups set up through the government's Consultative Committee for Humanitarian Affairs (CCHA), eg:

- establishing a working group on 'Emergency Preparedness in Schools' with the Ministry of Education, bringing together and harmonising various national programmes on Emergency Preparedness and Disaster Risk Reduction;
- playing a role in CCHA sub-groups on teacher deployment and examinations (in the conflict-affected areas);
- developing Home Learning Modules for children who cannot go to school every day owing to the security situation;
- taking forward recommendations in a report on the rights of IDP children to education.

Additional resources – on the accompanying CD

-  IFRC (2006) *Terms of Reference Cluster Strategic Advisory Group*, B3 Associates

2.5 National authorities and cluster partners

Key points in advocating the cluster approach

What is it?

- ✓ a dynamic approach that facilitates joint efforts, supporting the intervention strategy and leadership of the national authorities, and filling gaps where needed
- ✓ a predetermined structure for rapid organisation of relief efforts
- ✓ a flexible approach, recognising that each emergency is unique.

What is it not?

- ✗ It is not an attempt to undermine the government response, but strives to help strengthen government or existing coordination.
- ✗ It is not UN-centric; it depends on the active participation of all IASC members, eg, UN agencies, the Red Cross/Crescent Movement, and NGOs.

What does it offer?

To all:

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

To government:

- ✓ continued control, with improved speed, coverage and quality of response
- ✓ clear ToR and streamlined communications through pre-designated CLAs
- ✓ reduction of workload through clusters, organisation and coordination of efforts, and reduced requirement to interact directly with multiple partners
- ✓ crucial external experience and technical expertise
- ✓ opportunity for attracting additional resources and popular support.

To international NGOs and UN agencies:

- ✓ access to technical support and clarity on standards of response
- ✓ reduced risk of duplication or conflict between agencies or beneficiaries
- ✓ increased networking and means to engage with donors and government
- ✓ collective power in advocacy, mobilising resources, etc
- ✓ sharing of resources and expertise
- ✓ reduced risk of lone decision-making and accountability to affected populations.

To donors:

- ✓ more strategic and evidence-based rationale for funding
- ✓ greater coordination and reduced duplication between implementing partners
- ✓ closer dialogue and access to a range of implementing partners
- ✓ a more active role in response planning.

To local actors:

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

2.5.1 Promoting the cluster approach

While there is growing international awareness of the cluster approach, the level of awareness among some education partners may still be low, particularly in countries where the cluster approach is being implemented for the first time.

From the perspective of cluster partners, including government, cluster participation may be seen as more work and reduced autonomy, with no guarantee of additional benefits or resources. Concerns that have been expressed include:

- × It undermines government authority in coordinating the humanitarian response.
- × It is seen as UN-centric, favouring the interests of UN agencies.
- × The CLA will not be objective, particularly in the allocation of resources.
- × It is seen as duplication of coordination, a parallel structure.
- × It will be time-consuming: too many meetings, and demands for information.
- × It will oppose organisational priorities or mandate, eg, the requirement for independence for organisations such as the International Committee of the Red Cross and Red Crescent Societies (ICRC) and Médecins sans Frontières (MSF).
- × There is a lack of confidence in the tangible benefits, eg, improvements in predictability, effectiveness, and accountability of response.
- × NGOs fear competing or reduced opportunities to generate direct funding through traditional donors.
- × There may be unwillingness to accept the quality of, or work with, other cluster partners.

It is the responsibility of the Coordinator to respond to and address such concerns, through advocacy and guidance on the rationale for, and benefits of, working in a more collaborative and predictable manner. Key points in advocating for the cluster approach with different cluster partners were set out in the box at the start of this section.

Considerable effort will also be needed in building relationships and trust with and among cluster partners. The Coordinator must also give due consideration to individual partner interests in participating in the cluster, as well as the interests and needs of the cluster as a whole. This is challenging, as partners' interests will be diverse and at times may be conflicting.

Unless the cluster can serve a purpose in assisting partner agencies to deliver against their own objectives, it is unlikely that they will prioritise or sustain ongoing participation.

Accountability to their own beneficiaries and supporters for delivering against their own programme's objectives, may also prevent them from doing so.

2.5.2 Working with national and local authorities

The aim of an international humanitarian response in education is ultimately to support government response efforts. It is crucial that government, through the relevant authorities, is included and involved in all aspects of the cluster's activities.

Ideally, coordination of the education sector response will be a collaborative activity, led by government with support from the cluster. In practice, this will depend on the emergency context and the presence, ability and capacity of government education authorities to lead or participate in education in emergencies activities. Where feasible, the Ministry of Education may take the role as cluster co-lead (see section 2.2.1 for further details). However, in many emergency contexts, both government infrastructure and staffing capacity may be severely compromised.

The degree of collaboration with government authorities at all levels will also come down to personal relations, and even the interest and commitment of particular individuals on both sides. Perseverance may be needed in finding the most suitable people to work with.

Under international human rights, humanitarian and refugee law, it is the **primary responsibility of the state to provide assistance to peoples affected by disaster or armed conflict** within its own territory, when they no longer have the capacity to cope.

Building and maintaining **good personal relationships**, and **regular communication**, are crucial to coordination and working effectively in partnership.

Promoting partnership with national and local government

- ✓ Advocate for close collaboration between cluster partners and government authorities at all stages.
- ✓ Support and complement the government's own response efforts, eg, the Myanmar joint assessment facilitated linking of national priorities and inter-cluster recovery efforts.
- ✓ Adapt cluster coordination to suit government coordination structures and ensure effective linkages between the two that are not over-burdensome on government representatives.
- ✓ Advocate for adherence to humanitarian principles as defined in international humanitarian law and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, and advise on modification or application of international policy and standards, eg, INEE Minimum Standards, in the context of existing national policy and guidelines.

- ✓ Exchange information with government agencies so that they are fully informed of needs, capacities and planned responses.
- ✓ Build government capacity through shared planning, decision-making and review, and inclusion in training and learning activities.
- ✓ Demonstrate and advocate for impartiality in conflict situations when the government is party to the conflict, or where political structures are in transition.

2.5.3 Engaging cluster partners

Principle cluster partners

Participation in the Cluster should be open to all agencies that are committed to supporting a coordinated education response in line with agreed good practice standards, and that are willing to actively participate in strengthening capacity in the sector.

However, the cluster structure and its coordination mechanisms also need to be flexible enough to accommodate the differing interests and capacities of cluster partners, whether or not they are participating, to:

- influence and engage directly in cluster preparedness and response plans
- share information, or
- simply to observe and learn.

Alongside the need to facilitate the involvement of diverse education stakeholders, there is also the need to be strategic, and certain cluster partners can be seen as critical to an effective education sector response. These include:

Principal national and sub-national government partners , including disaster management bodies	Existing sector working groups, UN agencies and NGOs with established presence in-country	Donors with an expressed interest or tradition in supporting education in emergencies
UN agencies and NGOs with reliable access to financial, human and material resources without dependence on pooled funding	UN agencies, NGOs, national and local organisations with proven experience in the sub-sectors of education that are crucial to an effective response	Other clusters and cross-cutting issues thematic working groups whose activities will complement, or potentially overlap with, education

A range of other institutions within and outside the education sector may also strengthen, or be influential to cluster's preparedness, response and recovery activities:

- traditional authorities, elders and religious leaders, eg, in identifying and accessing vulnerable children, community mobilisation or site selection for learning spaces. At community level, particular care is needed in mitigating any risk of bias, conflict sensitivity or increased vulnerability when selecting and consulting or working with specific individuals or groups.
- academic and research-based institutions, eg, for expertise, information, personnel, equipment
- civil society and professional associations, eg, umbrella organisations (women, youth, etc) and professional institutions, including teachers' associations (for expertise, personnel, local knowledge, mobilising materials, equipment)
- faith-based organisations, eg, missions (for accommodation, warehousing, staff, local expertise)
- police and customs, eg, in enabling access, security, clearances
- media, eg, radio and newspapers (for disseminating information at community level, advocacy).

Strategies for engaging cluster partners

- ✓ Source information about education sector organisations and donors through the MoE, existing coordination groups, NGO registration details, word of mouth, the HC/RC, or other clusters.
- ✓ Establish immediate contact with decision-makers within strategic organisations and keep them fully informed through personal contact.
- ✓ Ask new cluster partners to provide organisational and contact details (see below). This will provide basic information for assessing sector capacity and starting a cluster contact list.
- ✓ Provide briefings and disseminate information about the cluster approach and de-mystify concepts such as the PoLR.
- ✓ Widely disseminate cluster meeting information and contact details for the Coordinator and other cluster staff through the HC/RC, OCHA, government channels, NGO or other coordination bodies, relevant websites, email lists, and posters in meeting places.
- ✓ Ensure that information is also available in local languages.

Some humanitarian actors may not be prepared or able to formally commit themselves to structures that involve reporting to CLAs. CLAs should ensure, however, that all humanitarian actors are given the opportunity to fully and equally participate in setting the direction, strategies and activities of the cluster.

Furthermore, they are responsible for enabling complementarity among different humanitarian actors operating in their sectors or areas of activity.¹¹

Contact details for partners

Details of many of the main organisations and institutions already present in-country and active in the education sector, may already be available. However, in a large-scale rapid-onset emergency or deterioration of an ongoing emergency, there is likely to be an influx of new organisations. Furthermore, within all international organisations there will be increased turnover in short-term emergency staff.

Therefore, in order to assure timely and reliable communications, there will be a need for the Coordinator and Information Manager (where applicable) to implement a system for mapping new organisations and regularly updating the details of key contact people. This may be done through the 3W/4W tool (see section 6.5.2 for details). Partner staff contact details can be kept up to date by circulating a current contact list for updating, at cluster meetings.

Engaging with local actors

The 2007 evaluation of the cluster approach highlighted weaknesses in the development of partnerships with national and local NGOs, and subsequent country-specific inter-agency and individual cluster reviews have continued to highlight this as a problem. Although building local capacity, and particularly emergency preparedness capacity, is an integral part of the cluster approach, national and local NGOs had seen no significant improvement in opportunities for participation, partnership or resource mobilisation.

National and local NGO involvement is often constrained by lack of funding or resources, language, organisational culture, access to information, and the overall organisational capacity of civil society. Addressing such constraints demands concerted effort and commitment by both the Coordinator and cluster partners, in actively supporting the engagement of local partners.

Participation can be improved through:

- ✓ providing information and resources in local languages
- ✓ maintaining simple and focused IM/KM and reporting tools
- ✓ working within existing local structures
- ✓ identifying culturally appropriate meeting times and locations
- ✓ facilitating partnerships between more experienced cluster partners and less experienced national and local NGOs through training, small-scale funding, and shared cluster responsibilities

¹¹ IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, p. 8

- ✓ providing meaningful opportunities for involvement in decision-making through participation in, or leadership of, sub-national clusters or working groups.

2.5.4 Role of cluster partners

The presence of multiple and diverse partners within the cluster offers the opportunity to maximise response capacity. Part of the Coordinator's role is to identify the strengths within this diversity and maximise the complementarities that can be drawn from it. However, this demands a degree of flexibility and commitment from partners, to ensure that they are willing to adapt their own response plans and priorities for the 'greater good' of the overall education sector response.

In order to build effective partnerships with and among cluster partners, and develop the commitment that is needed, it is important that the Coordinator sets out clearly the expectations that the CLA has of cluster partners, and the mutual roles and responsibilities within the cluster.

What is expected of cluster partners?

That they will:

- ✓ endorse the overall aim and objectives of the cluster
- ✓ respect the role of government authorities and work as a team
- ✓ respect and adhere to agreed principles, policies, priorities and standards
- ✓ be proactive in exchanging information and reporting, highlight needs, gaps and duplication, mobilise resources (financial, human, material), engage with affected communities, build local capacity
- ✓ share responsibility for cluster activities, including assessing needs, developing plans, joint monitoring, and developing policies and guidelines through working groups.

Education Cluster terms of reference

Drawing up agreed terms of reference (ToR) for the cluster is an effective way of facilitating dialogue around mutual roles, accountabilities and concerns. It is important that national and local authorities are also involved in this process.

A ToR may have already been drafted as part of emergency preparedness measures. If not, it will be an early priority for the Coordinator, to overcome the risk of continuous uncertainty and misunderstanding among cluster partners.

The following topics can be outlined in the ToR, depending on the emergency context:

- brief background on context – nature of emergency, priorities for education response (locations, impact of emergency on education, priority cross-cutting issues, eg, gender, HIV/AIDS), links to existing government coordination mechanisms and policies
- cluster aim and purpose
- cluster objectives, priorities and outcome indicators
- roles and responsibilities of cluster partners and the CLA(s)
- agreed principles, policies and standards applicable to cluster partners, inter-cluster coordination, and cluster preparedness, response, and recovery activities, eg, Code of Conduct, National Education Standards, if applicable, and INEE Minimum Standards
- advocacy and resource mobilisation commitments
- monitoring and information management mechanisms
- capacity-building objectives
- performance review and complaints mechanism for the cluster.

A sample Education Cluster ToR from Somalia is included in the 'Additional resources' listed at the end of this section.

Accountabilities within the cluster

The cluster approach does not require that cluster partners be held accountable to the CLA(s) or the Coordinator. Individual partner agencies can only be held accountable to the CLA(s) when they have a contractual obligation, eg, as an implementing partner for a CLA.

However, the cluster ToR will assist in ensuring that all cluster partners are clear about cluster expectations, and committed to working within agreed principles, policies and standards.

Conversely, the Coordinator and CLA(s) are responsible to cluster partners. Concerns or complaints about their performance can be taken to the HC/RC, who will consult with the Head of the CLA(s) in the event of poor performance by the Coordinator, or to the Global Education Cluster Leads in the event of poor performance by the country-level CLA(s). In either case, if deemed necessary, the HC/RC has the authority to propose alternative cluster coordination/leadership arrangements.¹²

¹² IASC (2006) *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, p. 10

Maintaining relations with cluster partners

Maintaining cluster participation can be as big a challenge as getting new partners on board at the outset. The following points can be considered in maintaining partner involvement:

- ✓ Without the opportunity to express concerns and influence the cluster, partners will lose interest. Offer meaningful opportunities for involvement and feedback, eg, through working groups, information- and data-sharing, and use of policy frameworks from government partners.
- ✓ Cluster partners may resent continued decision-making 'on their behalf'. Devolve cluster decision-making where possible, eg, rotate the chair, rotate involvement in advisory or working groups, rotate venue so that all partners have the opportunity to host, avoid creating a cluster 'elite'.
- ✓ Regularly ask for, and respond to, feedback, and acknowledge the contributions – big and small – of all cluster partners. Consider periodic surveys to assess partner satisfaction.
- ✓ Cluster partners will already have multiple and diverse demands for information – keep information demands to a minimum.
- ✓ Ensure that information provided by partners is clearly used in reports, situation reports and in the 3W matrix.
- ✓ Providing interpreting and translated materials, accessible information and consultation forums at local level will be crucial to enabling the ongoing participation of local cluster partners.
- ✓ Meeting partners individually, preferably at their offices, can be very effective in creating a strong relationship, overcoming misconceptions and the unequal power dynamic that often exists in large meetings, where smaller agencies can find it difficult to contribute.

2.5.5 Working within existing policy and guidelines

In order to support and build on government efforts to address national and local education needs, it will be necessary for the Cluster to work within existing coordination mechanisms and existing policy and guidelines for the education sector. For example, National Development Plans, Poverty Reduction Strategy Papers (PRSPs), pooled funding, or Sector-Wide Approaches (SWAPs), where relevant to the emergency context. However, it is also important to appreciate that this policy environment will be strongly influenced by the country context (eg, natural disaster, post-conflict, developing context), including political interests, and by international trends in aid to education.

International and national policies for aid to education

- Education For All (EFA) – a global commitment to ensure the right to quality basic education for all children

- Millennium Development Goal (MDG) 2: Universal Education
- Fast Track Initiative (FTI) – a global partnership to help low-income countries meet the education MDGs and the EFA goal
- Sector-Wide Approach to Programming – aligning education aid with government sector plans rather than funding projects
- Poverty Reduction Strategy Paper (PRSP) – sets out a national framework to promote growth, reduce poverty and make progress towards the MDGs.

What actions can the Coordinator take?

The Coordinator plays a key role in advocating for an approach that recognises and facilitates strong linkages with existing coordination mechanisms and policies, and in guarding against the introduction of parallel structures or conflicting policies. Concrete actions that can be taken include:

- ✓ mapping existing coordination mechanisms and education policies
- ✓ assessing the most effective means of collaborating with and supporting existing coordination mechanisms
- ✓ assessing how best the cluster can build on and support existing education and government policy and practice. In situations where national policy is in conflict with the goals of the cluster, or international policies such as the INEE Minimum Standards are in conflict with national policies, global guidance from the ECU or networks such as INEE may be needed.
- ✓ understanding the difference between a relatively stable development context and a less stable, failing, or failed state, and the advantages and challenges of working within existing mechanisms for each.

In some instances there may be concern that the cluster approach could affect the longer-term education development goals and programmes. Care must be taken that these areas are not sidelined by emergency issues.

Additional resources – on the accompanying CD

- 📖 IASC (2009) *Operational Guidance for Cluster Lead Agencies working with National Authorities*
- 📖 Education Cluster, Somalia (2009) *Education Cluster ToR*

2.6 Coordination with other actors

2.6.1 Inter-cluster coordination and the role of OCHA

Role of OCHA

The Office for the Coordination of Humanitarian Affairs (OCHA) is an entity within the UN Secretariat that supports mobilisation, funding and coordination of humanitarian action in response to complex emergencies and natural disasters¹³. It works closely with governments to support them in their lead role in humanitarian response and facilitates the work of UN agencies, NGOs and the International Red Cross and Red Crescent Movement in delivering humanitarian services. OCHA plays a key role in four key areas of competency:

Coordination

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

- supporting the HC/RC and identifying partners for the HCT and individual clusters; then working with these actors to determine appropriate mechanisms for cluster coordination and inter-agency meetings
- building and maintaining cross-cluster linkages through chairing inter-cluster meetings and establishing common IM systems to facilitate effective response coordination and enable regular strategic review of the overall situation
- facilitating cross-cluster strategic planning and assessment processes, such as coordinated joint rapid assessments, pooled funding appeals, and contingency planning, and ensuring linkages between preparedness and early warning, emergency response, and longer-term recovery
- Mainstreaming cross-cutting issues, including advocating for adherence to relevant IASC policies. See section 3.3 for further details.

Information management

- OCHA's responsibilities for information management are set out in section 5.2.

Advocacy and resource mobilisation

- working with partners to identify key common advocacy concerns, and advocating for donors to fund priority activities

¹³ For further details in the 'What is OCHA?' briefing note included in 'Additional resources' listed at the end of this section

- supporting the HC in developing and implementing inter-agency advocacy strategies
- advising individual clusters and the HCT on funding mechanisms.

Policy development

- advocating with government and cluster partners for adherence to humanitarian principles, policies and standards as defined in international humanitarian law and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief
- disseminating policy and guidance on the cluster approach and broader developments in humanitarian action.

Education Cluster Coordinator links to OCHA

When establishing the Education Cluster:

- ✓ Contact the OCHA office (if established), exchange contact details and sign up to all relevant contact and distribution lists.
- ✓ Get copies of new and recent OCHA sit reps, if available.
- ✓ Find out which other clusters are operational and their meeting dates.
- ✓ Get copies of operational data bases, eg, 3Ws, and pre-crisis and in-crisis data sets, eg, affected populations (if available).
- ✓ Find out about the use of common IM tools and variables, eg, P-codes, location names.
- ✓ Find out the arrangements for inter-cluster or inter-agency coordination meetings. Arrange to attend – and introduce yourself and the cluster.
- ✓ Find out about requirements/mechanisms for inter-cluster or agency coordination eg, shared web portal, OCHA sit reps, pooled funding.

Ongoing collaboration:

- ✓ Provide timely and accurate information for pooled funding proposals, sit reps and humanitarian reports.
- ✓ Represent the cluster at inter-cluster/agency coordination meetings (the Head of the CLA(s) will normally attend HCT meetings).
- ✓ Share cluster 3W, maps of educational activities, assessment, planning and monitoring information with OCHA.
- ✓ Identify inter-cluster/thematic focal points from the cluster as necessary and ensure they participate in working group meetings such as the Information Management Working Group or Early Recovery network.
- ✓ Ensure cluster representation in joint inter-agency initiatives such as needs assessment, monitoring missions.
- ✓ Advocate for and apply IASC policies within the cluster.

2.6.2 Principle inter-cluster linkages for education

Education in emergency efforts can be strengthened by the work of other clusters, and vice versa. Understanding and strengthening these linkages is one of the ten thematic cross-cutting issues for the Education Cluster (see section 3.3.2), and an integral part of its purpose and the Coordinator's role. Maintaining inter-cluster linkages also helps to facilitate the use of common information management processes and tools, sharing of assessment and monitoring data, and working to common standards.

Selecting those cluster partners who are also active in another cluster, as a focal point for that cluster, helps to ensure that they are familiar with, and appreciate, the requirements and constraints of working in both sectors, eg, the International Rescue Committee (IRC) or Oxfam may also be working in the shelter or WASH sectors.

The **Sphere-INEE Companionship** provides examples of ways in which education has been integrated into the work of other clusters. It also provides a detailed matrix setting out the INEE Minimum Standards linkages to the Sphere standards. Further details can be found in section 3.1.2.

Cluster	Education links to other clusters
Protection	Education in safe spaces/learning environments provides psychosocial support and protection by establishing daily routines and a sense of the future; reduces vulnerability to sexual and gender-based violence, exploitation, child labour; engages children in positive alternatives to military recruitment, gangs and drugs; provides a means to identify children with special needs, such as experience of trauma or family separation; facilitates social integration of vulnerable children.
Camp Coordination /Camp Management (CCCM)	Education in camp environments helps to re-create elements of a social structure and a sense of normality in the lives of children, their parents and their communities. In collaboration with the camp management cluster, school areas, child-friendly spaces, play and recreational areas can be planned jointly within a camp setting at the outset of an emergency, with guidance on standards provided to ensure safe and protective environments (eg, safe distances, adequate latrine and sanitary conditions).
Shelter	School shelters (tents, temporary structures, reconstruction of education infrastructure) will be jointly planned to ensure that minimum standards for schools and classrooms are

	applied (eg, size, construction, distance and lighting).
WASH	Safe water and gender-segregated and appropriate sanitation facilities for learning spaces and schools. Another important area for collaboration is hygiene promotion.
Health	Schools and temporary learning spaces provide an environment in which children can have safe and reliable access to various health services, and be provided with basic knowledge on health and hygiene, and urgent life-saving health information.
Nutrition	Children’s nutrition can be improved by the provision of meals or nutritious snacks as part of school feeding programmes.
Logistics	Logistics support for provision of educational materials, which is a key part of education response.
Early Recovery	Links with the early recovery cluster are vital to ensure continuation of education across the emergency–development continuum. Long-term reconstruction needs to be factored into emergency response, and joint planning for longer-term rehabilitation must start early on between humanitarian and development organisations (see section 7.5 for further guidance on early recovery).

The Thematic Guides within the INEE Minimum Standards Toolkit are also a useful resource for strengthening inter-cluster collaboration in areas of common concern; see:

http://www.ineesite.org/index.php/post/implementation_tools/

2.6.3 Relationships with peacekeepers and the military

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

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

- × put the affected population and humanitarian workers at greater risk
- × compromise the independence, impartiality and neutrality of the humanitarian response
- × increase tension and conflict

- ✘ fuel discrimination and increase suffering for vulnerable groups.

In some situations, negotiations may be necessary to:

- ✓ ensure assistance and protection for children and vulnerable groups
- ✓ gain access to affected populations
- ✓ maintain and protect humanitarian space
- ✓ provide critical additional emergency response capacity which cannot be drawn from civilian sources.

Significant care is needed when considering the use of military assets to support humanitarian action, such as air and road transport, armed escorts, or joint humanitarian–military operations in all response contexts. Such an approach should only be taken when there is no civilian alternative. Further, consideration of the use of military assets should include a detailed analysis of the short- and long-term risks posed by such an approach to the safety and security of affected populations and humanitarian/civilian staff and to programmes, and the implications for humanitarian principles.

Additional guidance on collaborating with peacekeepers and the military can be found in the IASC's *Civil-Military Guidelines and Reference for Complex Emergencies* which is included in the 'Additional resources' listed below.

Additional resources – on the accompanying CD

- 📖 OCHA (2009) *What is OCHA?*
- 📖 *DRAFT Responsibilities and Accountabilities Matrix – Education and WASH (Water Sanitation Hygiene) Clusters, 2008*
- 📖 IASC (2008) *Civil-Military Guidelines and Reference for Complex Emergencies*
- 📖 SCHR (2010) *Position Paper on Humanitarian – Military Position*

3

Standards, guidance and cross-cutting issues

3.1	Guiding standards for the Education Cluster
3.2	Operationalising standards for education in emergencies
3.3	Thematic guidance and cross-cutting issues

This chapter provides specific guidance on the guiding principles, standards and cross-cutting issues for the Education Cluster, setting out what coordination around these involves, and the specific tools and systems available to support it. In using standards and frameworks it is important to draw on informed knowledge of the local situation, the skills and experience of cluster stakeholders, and common sense, to get the job done.

Working within standards and frameworks is relevant to all aspects of the Education Cluster Coordinator role but in particular the following responsibilities are pertinent:¹⁴

- ensuring the application of appropriate standards
- leading the strategic development of the cluster including cluster strategies, work plans, coordination of response activities and taking into account the cross-cutting issues
- facilitating the joint development by cluster partners of relevant and contextualised minimum standards with indicators, policies and guidelines, to build their capacity to apply these.

Key points

- The Inter-Agency Network for Education in Emergencies (INEE) Minimum Standards provide the authoritative standards framework for the Education Cluster in guiding education in emergency preparedness, response and early recovery.
- The INEE Minimum Standards should be adapted according to context and complement and/or integrate national standards.
- The cluster must agree on a set of key cross-cutting thematic issues that should be addressed as appropriate at country level.

¹⁴ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

3.1 Guiding standards for the Education Cluster

3.1.1 Overarching normative frameworks

a) Binding and customary international law

Universal Declaration of Human Rights (UDHR) (1948)

This General Assembly Declaration is considered an international norm although not treaty law. Article 26 sets out the right to free universal primary education, 'generally available' post-elementary education, higher education equally accessible to all on the basis of merit, and education oriented to the full development of the human personality, respect for human rights, tolerance and peace.

Geneva Convention IV on Protection of Civilian Populations in Time of War (1949); Additional Protocol II on Protection of Victims of Non-International Armed Conflicts (1977); Rome Statute of the International Criminal Court (1998)

These treaties protect civilians (if not involved in military activity) and civilian objects including education buildings. They specifically require the education of children to be maintained during non-international conflicts and occupation and educational provision for separated, orphaned and evacuated children, and internees.

Convention Relating to the Status of Refugees (1951) and Protocol (1967)

Article 22 requires the same treatment for refugees as for nationals regarding access to elementary education, and treatment as favourable as possible (and not less than that provided to aliens) for other types of education and for issues such as recognition of foreign qualifications, remission of fees and award of scholarships.

International Covenant on Economic, Social and Cultural Rights (1966)

Article 13 codifies the above-mentioned UDHR commitments into treaty law. The official commentary stresses the criteria of availability, accessibility, acceptability and adaptability, applied according to the conditions prevailing in a particular State Party.¹⁵

UN Convention on the Rights of the Child, (UNCRC) (1989)

The four core principles of this almost universally ratified Convention are non-discrimination; commitment to the best interests of the child; the right to life, survival and development; and respect for the views of the child. The Convention sets key standards, including for education and healthcare, and applies to all

¹⁵ A 'State Party' to a treaty is a country that has ratified or acceded to that particular treaty, and is therefore legally bound by the provisions in the instrument.

children within the jurisdiction of the State Party, including refugees and asylum-seekers.

b) Non-binding political commitments

Jomtien Education for All Declaration (1990)

A global commitment to provide quality basic education for all children, young people and adults. The movement was launched at the World Conference on Education for All in 1990 by UNESCO, UN Development Programme (UNDP), UN Population Fund (UNFPA), UNICEF and the World Bank. Participants endorsed an 'expanded vision of learning' and pledged themselves to universalise primary education and massively reduce illiteracy by the end of the decade.

World Summit for Children Declaration and Plan for Action (1990)

The goals of the World Summit set important standards to work towards in health and education. As a follow-up, states are encouraged to develop national plans of action, which should include refugee children under the category of "children in especially difficult circumstances". Although the Declaration and Plan are not treaty standards, their widespread acceptance has been a major step forward.

Salamanca Statement and Framework for Action on Special Needs Education (1994)

The Statement and Framework reaffirm the commitment to education for all, recognising the necessity and urgency of providing education for all children, young people and adults and the principle that ordinary schools should accommodate all children. They are specific to the needs of children and young people affected by disability or learning difficulties.

Dakar Framework for Action: Education for All (2000)

Ten years after the Jomtien Education for All Declaration, with many countries far from having reached this goal, the international community met again in Dakar, Senegal, and reaffirmed their commitment to achieving Education for All by the year 2015. They identified six key education goals, which aim to meet the learning needs of all children, young people and adults by 2015:

- early childhood development
- primary education
- lifelong learning
- adult literacy
- gender parity in primary and secondary schools by 2005, and at all levels of education by 2015
- quality education.

Millennium Development Goals (MDGs) (2000)

These include eight goals drawn from the UN Millennium Declaration to reduce poverty, illiteracy, hunger, lack of education, gender inequality, child and maternal mortality, disease and environmental degradation by 2015.

MDG 2: Achieve Universal Primary Education

Goal: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.

Indicators:

- 2.1 Net enrolment ratio in primary education
- 2.2 Proportion of pupils starting grade 1 who reach last grade of primary
- 2.3 Literacy rate of 15–24-year-olds, women and men

MDG 3: Promote Gender Equality and Empower Women

Goal: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015.

Indicators:

- 3.1 Ratios of girls to boys in primary, secondary and tertiary education
- 3.2 Share of women in wage employment in the non-agricultural sector
- 3.3 Proportion of seats held by women in national parliament

Governments committed themselves “to ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling and that girls and boys will have equal access to all levels of education”.

Guiding Principles on Internal Displacement (1998)

Article 23 of these normative guidelines, issued by the UN Commission on Human Rights, draws on principles of international humanitarian and human rights law. It requires access to education for internally displaced persons (IDPs), and respect for the cultural identity, language and religion of IDPs.

Right to education in emergency situations (2008)

Report of the UN Special Rapporteur on the Right to Education identifies emergencies arising out of armed conflict or natural disaster as a source of serious violations of the right to education, one that currently affects a large number of people.

3.1.2 Overarching principles and standards for humanitarian response

Principles provide the ‘ethical framework’ that guide any humanitarian action and are the underlying basis for cluster policies and standards.

There are a number of overarching principles that apply to the cluster, which can be seen as ‘non-negotiable’.

The Humanitarian Imperative

“Action should be taken to prevent or alleviate human suffering arising out of conflict or disaster, and that nothing should override this principle.”

The Sphere Humanitarian Charter, 2010

These include:

- international humanitarian, refugee, and human rights laws
- The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and commitment to the humanitarian imperative and principles of humanity, impartiality, participation and accountability
- Principles of Partnership as defined under the humanitarian reform process (see section 4.2.4 for details).

Standards provide a basis for comparison, a reference point against which other things can be evaluated, and often reflect the ideal in terms of which something can be judged. The main sets of standards applicable to humanitarian action are the **Sphere Humanitarian Charter and Minimum Standards in Disaster Response** and the **INEE Minimum Standards in Education in Emergencies, Chronic Crises and Early Reconstruction**. The INEE Minimum Standards are outlined in section 3.1.3 below.

The Sphere Project's Humanitarian Charter and Minimum Standards in Disaster Response

These standards aim to facilitate broad consensus on key technical indicators and guidance for:

- water, sanitation and hygiene promotion
- food and nutrition security
- shelter, settlement and non-food items
- health services
- protection and vulnerability.

Sphere also sets out common standards concerning participation; initial assessment, response; targeting; monitoring; evaluation; aid worker competences and supervision; management and support of personnel.

Full details can be downloaded from: www.sphereproject.org.

Sphere and education

Education is relevant to all Sphere standards. The paper entitled *Integrating Quality Education With Humanitarian Response For Humanitarian Accountability: The Sphere-INEE Companionship* highlights the linkages between education and the Sphere standards. Case studies and examples are included to demonstrate how education services can be integrated into humanitarian response in order to enhance accountability and improve the quality of assistance provided to people affected by emergencies. Full details are included in the 'Additional resources' listed at the end of this section.

The INEE-Sphere Companionship Agreement

INEE and the Sphere Project signed a Companionship Agreement in October 2008. By this agreement, the Sphere Project acknowledges the quality of the

INEE Minimum Standards and the broad consultative process that led to their development. The Sphere Project recommends that the INEE Minimum Standards be used as companion and complementing standards to the Sphere standards. The INEE Secretariat worked closely with Sphere on mainstreaming and strengthening education and the INEE Minimum Standards in the Sphere standards. Similarly, intersectoral linkages (including health, shelter, water and sanitation, nutrition) are mainstreamed in the 2010 edition of the *INEE Minimum Standards Handbook*.

3.1.3 INEE Minimum Standards for Education in Emergencies

The Inter-Agency Network for Education in Emergencies (INEE) is an open global network of members working together within a humanitarian and development framework to ensure that all persons have the right to quality and safe education in emergencies and post-crisis recovery.

Since its inception in 2000, INEE members have collaborated in sharing knowledge, developing resources, and informing policy through consensus-driven advocacy.

Using the INEE Minimum Standards as a normative framework for the Education Cluster

The INEE Minimum Standards are *the* authoritative standards framework for the Education Cluster. The Coordinator plays an important role in promoting these standards, ensuring that they are context-specific and in line with national policies and planning instruments.

The INEE Minimum Standards provide good practices and concrete guidance to governments and humanitarian workers for coordinated action to enhance the quality of education preparedness, response and early recovery, to increase access to safe and relevant learning opportunities, and to ensure accountability in service provision.

They have been used in over 80 countries around the world to improve advocacy, preparedness, programme

Becoming a member

To join the INEE community of practice and receive and share information about new resources and opportunities in the field, go to: www.ineesite.org/join.

Institutionalising use of the INEE Minimum Standards

It is important to recognise that in some countries with stable governments and a well-established education system, national education standards may exist that are intended for, or appropriate to, emergency response as well.

The INEE and Sphere Minimum Standards will need to be adapted, as appropriate, to the emergency and country context, and the guidance notes provided in relation to each standard are intended to assist in making such interpretations.

and policy planning, assessment, design, implementation, monitoring and evaluation in order to reach the Education for All goals.

INEE Minimum Standards Update

The INEE Minimum Standards were first published in December 2004 and the process of institutionalisation and usage of the standards has provided valuable feedback on their quality and utility.

Since the launch of the INEE Minimum Standards, significant changes have taken place in the field of education in emergencies. First, a number of issues have evolved or emerged, notably around climate change, protecting education from attack, the prevention of sexual exploitation and abuse, and disaster risk reduction. Second, changes have been brought about by the humanitarian reform process and introduction of the cluster approach, including the Global Education Cluster (see Chapter 1). Third, the INEE-Sphere Companionship Agreement formalised stronger linkages between the two sets of standards.

In response, the *INEE Minimum Standards Handbook* is being updated and includes:

- easy-to-use format and accessible language
- mainstreaming of ten thematic issues – disaster risk reduction, HIV and AIDS, youth, gender, inclusive education, human rights, protection and psychosocial support, inter-sectoral linkages, early childhood care and development, and conflict mitigation – in order to make the indicators and guidance notes more specific and quantifiable.

3.1.4 Summary of INEE Minimum Standards Categories

The structure of the INEE Minimum Standards is compatible with the Sphere standards and includes the following:

- ✓ **Minimum standards**, which articulate the level and quality of education services to be attained in a situation of humanitarian assistance. They are qualitative, focus on themes of universal importance, and are applicable to planning, implementation and evaluation in any environment. Initially some of the standards may be seen as targets, which cannot immediately be achieved, but agencies should seek to move progressively towards fulfillment of the standards.
- ✓ **Key indicators** are signals that show whether the standard has been attained. They function as tools to measure and communicate the impact or result of programmes, as well as the process or methods used. They may be qualitative or quantitative.
- ✓ **Guidance notes** relate to specific points to consider when applying the standards in different situations. They provide guidance on tackling practical difficulties and advice on priority issues, and describe dilemmas, controversies or gaps in current knowledge.

Key resource

The **INEE Minimum Standards Toolkit** contains the ***INEE Minimum Standards Handbook***, training and promotional materials (including 23 translations) as well as practical tools and resources to assist the Education Cluster Coordinator as well as government and cluster partners in applying the standards.

The tools within the toolkit will assist users to contextualise the indicators to the country and emergency context.

These resources are available online at www.ineesite.org and are included in the 'Additional resources' listed at the end of this section.

The INEE Minimum Standards are articulated in five categories:

Foundational Minimum Standards Category – common to all other standards

Focuses on the essential areas of community participation and on utilising local resources when applying the standards, as well as on ensuring that education in emergencies responses are based on an initial assessment that is followed by an appropriate response, coordination, and continued monitoring and evaluation.

Access and Learning Environment Category

Focuses on partnerships to promote access to safe learning opportunities as well as inter-sectoral linkages with, for example, health, water and sanitation, nutrition and shelter (see section 2.6.2 for further details), to enhance security and physical, cognitive and psychological wellbeing.

Teaching and Learning Category

Focuses on critical elements of education that promote effective teaching and learning, including: curriculum; training; instruction; and assessment.

Teachers and other Education Personnel Category

Focuses on the administration and management of human resources within the education sector, including: recruitment and selection; conditions of service; and supervision and support.

Education Policy Category

Focuses on policy formulation, enactment, planning and implementation.

Why are the INEE Minimum Standards important for the Education Cluster?

- The INEE Minimum Standards are the authoritative standards framework for the cluster.
- The standards provide a framework and guidance for cluster partners and education in emergencies practitioners, to ensure quality education response, recovery and preparedness.
- Promoting the standards assists in improving the quality of cluster partners' projects (including through monitoring and evaluation and a framework for strategic response planning), and for improving cluster coordination.
- The standards serve as an important tool for training and advocacy with cluster stakeholders.
- The standards can help Coordinators to identify shared objectives and facilitate gap analysis; promote holistic preparedness, risk reduction and response planning; develop Consolidated Appeals Process (CAP) and FLASH appeals; support capacity-building efforts and awareness-raising around international human rights norms; and foster inter-agency dialogue and advocacy.

Additional resources – on the accompanying CD

- 📖 The Sphere Project and INEE (2009) *Integrating Quality Education With Humanitarian Response For Humanitarian Accountability: The Sphere-INEE Companionship*
- 📖 INEE (2004) *Minimum Standards for Education In Emergencies, Chronic Crisis and Early Reconstruction*
- 📖 INEE (2008) *The INEE Minimum Standards: quality, coordination and predictability, good practice guidance for the Education Cluster*
- The Minimum Standards Toolkit contains the *INEE Minimum Standards Handbook*, training and promotional materials, including all translations:
http://www.ineesite.org/index.php/post/implementation_tools/
- The Sphere project website:
<http://www.sphereproject.org/>

3.2 Operationalising standards for education in emergencies

3.2.1 Applying the INEE Minimum Standards: Key steps

Work within existing Ministry of Education frameworks where possible.

The following¹⁶ are suggested actions for utilising the INEE Minimum Standards and other international and national standards and best practices, to strengthen inter-agency coordination within the cluster during various phases and activities:

Preparedness

- Review international legal standards, INEE Minimum Standards, and relevant national standards with cluster partners at national and sub-national levels.
- Ensure that agreements in the cluster about roles and responsibilities prior to emergencies address appropriate INEE Minimum Standards and, if available, relevant national education and emergency response standards.
- Conduct workshops and training as necessary to orient the cluster/sector to the INEE Minimum Standards and how they will be applied in preparedness actions. Inform INEE of any planned workshops or training.

Assessment

- Coordinate the establishment of joint assessments or joint assessment tools drawing on the INEE Minimum Standards, existing cluster tools, the *Education Cluster Joint Needs Assessment Toolkit* (see section 6.2.2), and other relevant tools to facilitate consistency and equity (both in quality and quantity) across the affected area and population.
- Review existing laws, regulations and policies on education at both national and sub-national levels, and determine the linkages between existing statute and policy and the INEE Minimum Standards, including how the INEE Minimum Standards might complement existing policy and practice.
- Identify locally relevant standards, such as average class size, textbook/student ratio and teacher/student ratio, and utilise the strategies, tools and resources within the INEE Minimum Standards Toolkit to reach these standards.
- Facilitate an agreement for joint monitoring, including what data should be collected and how frequently, and the data collection methodology.

¹⁶ Derived from *INEE Strategies for Interagency Coordination Within an Education Cluster and ESAR Toolkit*

Ongoing coordination

- Establish regular coordination meetings under the auspices of the proper authority, using the INEE Minimum Standards and other relevant standards as a guiding framework for managing meetings.
- Facilitate the inclusion of all stakeholders through the dissemination and, where necessary, the translation of all proceedings and materials.
- Identify a focal point to capture learning, distribute information and feedback input into the larger INEE Minimum Standards process.

Awareness and dissemination

- Translate INEE Minimum Standards and other key international and national documents into applicable languages.¹⁷
- Disseminate and raise the awareness on the INEE Minimum Standards and other international standards through systematic training and distribution of the *INEE Minimum Standards Handbook* and Toolkit, and other relevant materials, to all individuals and organisations within the education and protection sectors.
- Systematically introduce, distribute and reference the INEE Minimum Standards in coordination, sectoral and cluster (education and protection) meetings.
- Contextualise the indicators within the standards to meet the varying needs of the population, such as government officials, school administrators, teachers and early childhood development workers.
- Share the INEE Minimum Standards Toolkit, INEE Good Practice Guides (www.ineesite.org/GPG) and other relevant resources, as a key aid in the contextualisation process.
- Support donors' and governments' awareness of the INEE Minimum Standards as a mechanism for ensuring accountability and measuring quality programming as well as a tool for national response, prevention and preparedness policy and practice.

Programming and reporting

- Support the use of the INEE Minimum Standards as an initial framework for planning and addressing needs at all levels: cluster, sector and within individual organisations. Make local adaptations and additions as necessary.
- Utilise the INEE Minimum Standards Handbook and Toolkit as a framework for proposal development, programme or project implementation, and reporting.
- Support research on the implementation of the INEE Minimum Standards in effectively contributing to quality and accountability, by using the established

¹⁷ www.ineesite.org/translations Translation should follow the INEE Translation Requirements. An abbreviated translation can be used when full translation is impossible.

INEE research protocol, including baseline and end-line assessments.
<http://www.ineesite.org/index.php/post/research/>

- Share information on partners' use of the INEE Minimum Standards with other cluster stakeholders, as well as the INEE Secretariat.

Advocacy

- Refer to the INEE Minimum Standards and other international standards when raising awareness about the importance of education in an emergency response.
- Highlight the INEE/Sphere companionship when advocating with humanitarian partners for education as a life-saving and life-sustaining sector in emergency response.

3.2.2 Good practices and lessons learned in applying standards

Remember: Standards may seem high

Work towards the standards progressively. The standards may seem high because they articulate good practice but they also define the minimum requirements for quality education. In some instances, the realisation of the INEE Minimum Standards and key indicators may not be possible immediately.

In some instances, the realisation of the INEE Minimum Standards and key indicators may not be possible immediately. When this happens, it is critical to reflect upon and understand the gap between the standards and indicators listed in the handbook, and the ones reached in actual practice. It is also important to identify the reasons for the gap and what needs to be changed in order to progressively realise the standards.

Once that is known, programme and policy strategies can be developed, and advocacy undertaken to reduce the gap.

Potential challenges or shortfalls and how to address them

The INEE Minimum Standards and other relevant normative frameworks and guidelines aim to provide a framework for quality education in emergencies preparedness, response and recovery. To do this effectively, the standards need to be adapted to the country and emergency context (see section 7.1.1)

A range of challenges will be encountered when applying this approach, as indicated in the table below. It is important to note that different types of emergency scenarios will present different challenges, underlining the importance of a solid understanding of the context.

Challenges	Strategies to address them
<p>Awareness There is limited awareness/understanding of education in emergencies.</p> <p>Government, cluster partners and organisations are not aware of the standards.</p>	<ul style="list-style-type: none"> ▪ Raise awareness about the role of education in emergencies, citing INEE Minimum Standards and the INEE-Sphere Companion Agreement, through trainings, workshops, campaigns and meetings with relevant actors. ▪ Build capacity through training on INEE Minimum Standards. ▪ Mainstream the INEE Minimum Standards in cluster practices/tools, eg, ToR, rapid and comprehensive joint assessment tools, sit reps. ▪ Create and nurture relationships with advocates within government to increase political will.
<p>Utilisation The standards are not being used, owing to either gaps in capacity or lack of will.</p>	<ul style="list-style-type: none"> ▪ Local participation is key. Include local groups in raising awareness of the importance of using the INEE Minimum Standards. ▪ Ensure capacity-mapping covers all of the INEE Minimum Standards and give careful consideration to weaker cluster partner capacities in gap analysis and response planning.
<p>Institutionalisation The standards are not institutionalised in relevant policies or procedures.</p>	<ul style="list-style-type: none"> ▪ Integrate education in emergencies and INEE Minimum Standards into national development plans, Sector-Wide Approaches, and Poverty Reduction Strategies. Support relevant actors who are attempting to institutionalise the Minimum Standards and/or refer them for more support to the INEE Secretariat. ▪ Work with cluster partners and encourage them to share the INEE Minimum Standards with their Heads of Agencies and national/local partners.
<p>Impact It is unclear what the impact of the Minimum Standards is on quality education.</p>	<ul style="list-style-type: none"> ▪ Build INEE Minimum Standards and indicators into monitoring and evaluation (M&E) frameworks and cluster performance reviews, including monitoring of codes of conduct, inspectorate visits, and Education Management Information System (EMIS) data collection.
<p>National standards exist A country already has its own national standards and view INEE Minimum Standards as external or Western.</p>	<ul style="list-style-type: none"> ▪ Get to know the existing national standards, and assess how they link to the INEE Minimum Standards, before engaging in a discussion with government officials. National standards and the INEE Minimum Standards should be compatible. ▪ Try to reach agreement on priority education issues as a starting point. ▪ Set up a working group within the cluster to develop a process for contextualisation of the INEE Minimum Standards, ensuring good representation of national and local government, and NGO actors. The Afghanistan Case Study below provides a good example.

Case study: Adapting standards to local contexts

Adaptability is a core element of the INEE Minimum Standards. This is why the standards are not prescriptive, but allow for flexibility in operationalisation.

It is important for cluster partners to adapt the standards to country and emergency context. However, in many cases, this has been challenging.

Afghanistan provides an important example of the specific steps that education stakeholders working in community-based education took in order to contextualise and operationalise the standards. Full details of this case study are included in the 'Additional resources' listed at the end of this section.

Contextualising the INEE Minimum Standards in Afghanistan

In 2008, sixteen community-based education (CBE) organisations in Afghanistan agreed to form a forum to contextualise and adapt the INEE Minimum Standards to make them more relevant for community-based education in Afghanistan. The Ministry of Education played an important role in this process. The forum developed a tool that outlined a step-by-step process. This contextualisation matrix consists of four parts:

- the standard as stated in the INEE Minimum Standards Handbook
- What does the standard mean for CBE classes in Afghanistan?
- How does this description transfer to practical reality?
- Which indicators can be identified as means of verification for the standards being met?

Seven steps to contextualise the Minimum Standards

The formal process of contextualisation of the INEE Minimum Standards and indicators for CBE has been the first of its kind in Afghanistan, and in the world. The CBE Forum has learned valuable lessons from this process and thus developed a step-by-step chart to facilitate the contextualisation process for use by the education authorities in other countries:

Step 1 – Translate the INEE Minimum Standards into local language, if translation is not readily available.

Step 2 – Train partner organisation staff on the INEE Minimum Standards.

Step 3 – Establish a diverse working group including partner organisations' staff who have been trained on the Minimum Standards.

Step 4 – Allocate consecutive days to contextualise the most relevant standards.

Step 5 – Seek agreement through group consensus and make recommendations on how to use the standards.

Step 6 – Agree on a timeline that includes an opportunity to report back to the group on how the standards have been used, what learning took place, and whether they need to be revised.

Step 7 – Share the results with relevant Ministry of Education staff.

Points to consider in adapting the INEE Minimum Standards to country contexts:

- Work within existing Ministry of Education frameworks when possible.
- Include Ministry of Education staff, ideally including the planning department and others with relevant line responsibilities. Encourage the involvement of staff with good specialist/technical knowledge who are keen to participate.
- Organise a technical workshop or meeting to contextualise the standards.
- Identify a focal point and/or working group to lead the contextualisation process.
- Ensure contextualised standards are utilised and institutionalised.
- Approach contextualisation as an inter-agency process including donors and government actors.

Case study: Build on existing national standards

Uganda provides a useful example of how the Ministry of Education can be engaged in understanding and accepting the INEE Minimum Standards, and measures taken to achieve complementarity with existing national standards.

Working with National Education Standards: The case of Uganda

Uganda has national education standards that are based on development objectives for education and that do not take into consideration the special circumstances that schools operating in a war zone frequently encounter. Efforts to introduce the INEE Minimum Standards began in early 2008.

When initially approached, most Ministry officials, especially at the national level, were cautious about taking on new international standards when they had their own national standards; however, they did not have extensive knowledge of the standards. A field visit to Uganda by the Coordinator for the INEE Minimum Standards helped government officials realise that the INEE Minimum Standards were not very different from the Ministry's standards and policies. Furthermore, the Minimum Standards actually helped to clarify and to better articulate planning and programming, especially in conflict-affected areas.

The INEE Minimum Standards are complementary to the national standards and provide a critical focus on education in emergencies. National and sub-national education officials readily understood their importance, but initially had difficulty in working out how to make use of them.

The lessons learned were:

- that the process through which the INEE Minimum Standards are introduced and discussed is the key to their being considered
- that government and other actors at sub-national level have a different understanding and response from those at national level. This is potentially challenging, so it is important to be aware of this and try to include stakeholders at all levels in initial discussions.

In some countries where there is an Education Cluster, national education standards might already exist. These may be based on practical achievable elements like mapping out elements of teacher codes of conduct, or maximum teacher/pupil ratios. Alternatively, they may be aspirational, eg, concerning Education for All (EFA) goals of universal primary education. In most cases, achieving national education standards is challenging and problematic, especially when part of the country is immersed in an emergency.

Capacity-building and training for cluster members

The capacity of cluster members and relevant education stakeholders to utilise and operationalise the INEE Minimum Standards is critical to the effectiveness of the cluster, and to the role of the Coordinator. A wide range of tools and resources exist to support developing the capacity of different education sector stakeholders. Full details are provided in section 8.3.4.

Additional resources – on the accompanying CD

📖 Dubovnik, A (2009) *Case Study of Contextualizing the INEE Minimum Standards by the Community Based Education Forum in Afghanistan*, INEE

📖 Anderson, Martone, Pearlman Robinson, Rognerud and Sullivan-Owomoyela (2006) *Standards Put to the Test, Implementing the INEE Minimum Standards for Education in Emergencies, Chronic Crisis and Early Recovery*, Humanitarian Practice Network: Network Paper

➤ World Bank country profiles, national education-related data and statistics:
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTEDUCATION/EXTDATAS/TATISTICS/EXTEDSTATS/0,,contentMDK:21605891~menuPK:3409559~pagePK:64168445~piPK:64168309~theSitePK:3232764,00.html>

3.3 Education thematic guidance and cross-cutting issues

3.3.1 Thematic issues – key inter-agency initiatives

In addition to cross-cutting issues, inter-agency efforts to research, advocate, and improve responses around the main thematic issues have been strong. Key and notable inter-agency initiatives directly related to education in emergencies with accompanying guidance are briefly described below.

Teacher compensation initiative

The **INEE Guidance Notes on Teacher Compensation 2008** provide guidance on policy, coordination, management and financial aspects of teacher compensation in fragile and post-crisis contexts, as well as on teacher motivation, support and supervision. www.ineesite.org/teachercomp

Safer school construction initiative

The Global Facility for Disaster Recovery and Reduction and INEE **Guidance Notes on Safer School Construction 2009** address a critical barrier to reaching the Hyogo Framework, Education for All and Millennium Development Goals by providing a framework of guiding principles and general steps for developing a context-specific plan for the disaster-resilient construction and retrofitting of school buildings. www.ineesite.org/saferschoolconstruction

Teaching and learning initiative

The INEE Teaching and Learning Initiative is facilitating the development of a set of Guidance Notes and Resource Pack, which will identify realistic approaches and tools that can help agencies and education ministries steadily improve the quality and relevance of education for children and young people affected by crisis.

INEE Guidance Notes and Resource Pack on Teaching and Learning
www.ineesite.org/teachinglearning

Peace education programme

The **INEE Peace Education Programme 2005** (2nd edition), developed and endorsed by UNESCO, UN High Commissioner for Refugees (UNHCR), UNICEF and INEE, teaches the skills and values associated with peaceful behaviours, encourages the development of constructive attitudes towards living together and solving problems, and allows learners to practice these skills and behaviours. http://www.ineesite.org/index.php/post/peace_education_programme/

Language of instruction

Research shows that children are quicker to learn to read and acquire other academic skills when instruction is in the language that they speak at home than

when they are taught in an unfamiliar language.¹⁸ This issue takes on an even more critical role in areas where children and learners are displaced. In many countries, large numbers of children start school, only to find their teachers are speaking to them in a language they don't understand.

The guide below summarises and explains what is known worldwide about the difficulties that children experience with unfamiliar school language. It offers evidence, arguments and practical steps to help stop language preventing children from learning.

Steps towards learning: A guide to overcoming language barriers in children's education, Save the Children, 2009

http://www.ineesite.org/uploads/documents/store/Steps_Towards_Learning_LR.pdf

Certification

Uninterrupted access to quality education is critical for children and young people displaced by any type of emergency and this need is now increasingly recognised by humanitarian and development actors, including donors. A major challenge for education authorities and service providers is to ensure the recognition, validation and certification of their learning attainments. Learners need acceptable proof of their studies and results to continue their studies or to access labour opportunities. However, in situations of displacement, it may not be possible for students to sit the official examinations of either their home or host system.

The book below provides a critical, global analysis of certification issues and presents a broad conceptual framework in which to consider issues of certification, illustrated by in-depth case studies from around the world.

Certification Counts: Recognizing the learning attainments of displaced and refugee students, edited by Jackie Kirk, UNESCO/IIEP, 2009

http://www.iiep.unesco.org/fileadmin/user_upload/Info_Services_Publications/pdf/2009/Certification.pdf

Accelerated learning

Children and young people have a wide range of educational needs in emergency situations, especially when affected by conflict. They may have missed all or part of their primary education, or have had their education disrupted in other ways. Older children and young people may want to access education, but not be able or willing to attend primary school with younger children. They may prefer to gain basic literacy and numeracy skills and perhaps learn a trade or skill that will help them obtain employment. In addition, children affected by conflict or trauma will need psychosocial or life skills programmes to help them cope with the effects of their experience. Alternative education programmes strive to meet these wide-ranging needs.

¹⁸ American Institutes of Research (2001) *Investigating the Role of Teacher's Home Language in Mother Tongue Policy Implementation*,.

Case studies undertaken in Sierra Leone, Kenya and Nepal examine some of these programmes that are offered in emergency situations and look at their contribution to achieving the goals of Education for All (EFA), including those on educational quality.

Filling the gap: What is the role of alternative education programs? Policy Brief , IIEP, 2009.

http://www.iiep.unesco.org/fileadmin/user_upload/Research_Highlights_Emergencies/pdf/PB_AlternativeEducation.pdf

3.3.2 Addressing cross-cutting issues

What are cross-cutting issues?

Cross-cutting issues are issues that have an impact in more than one field. They require action in multiple fields and therefore should be integrated into all aspects of emergency preparedness, response and recovery activity.

It is important for the cluster to identify such issues, since it is less effective to tackle individual sectors/issues in isolation, ignoring these external factors. They underline the education sector's commitment to planning, advocacy, and carrying out activities responsibly.

Addressing cross-cutting issues requires strong leadership and management skills from the Coordinator. Below are tips on how to address them within the cluster.

- Promote awareness of cross-cutting issues with cluster partners including definitions, strategies to address, and key tools and resources.
- Develop a consensus across cluster partners of priority cross-cutting issues for the cluster's preparedness, response and recovery activities.
- Build on the priority cross-cutting issues identified by the Humanitarian Coordinator/Resident Coordinator (HC/RC), Humanitarian Country Team (HCT) and Office for the Coordination of Humanitarian Affairs (OCHA) as part of the overall international humanitarian response strategy, and advocate for their inclusion in cluster strategic response planning (see section 7.3.3).
- Coordinate with other clusters to identify possible synergies in addressing cross-cutting issues, eg, joint needs assessments, monitoring and evaluation.
- Include cross-cutting issues in cluster policies, proposals, joint needs assessments, strategic response plans, and monitoring and evaluation, and ensure that they are accompanied by clear tasks that cluster partners are able to carry out.
- Recognise agency mandates and expertise in the process of addressing cross-cutting issues.
- Identify and collaborate with national and/or interagency advisers or thematic groups on cross-cutting issues.
- Encourage political/administrative dialogue both internally and externally and commitment to seeing the cluster's vision and strategy through to reality.

- Engage appropriate non-education partners, as necessary, including government ministries (health, gender, youth), technical staff from outside cluster, and other clusters (child protection, health).
- Establish focal points, task teams or working groups at national and/or sub-national level – link up national and local groups.

How have cross-cutting issues been identified for the Education Cluster?

There are a broad range of cross-cutting issues that could be addressed by a cluster, and some may overlap, eg, gender and youth, gender and child protection. The IASC has identified four cross-cutting issues as an integral part of the cluster approach: age, environment, gender and HIV (see section 1.2.1). The Coordinator and Cluster Lead Agency(ies) will be expected to take account of those issues that are identified as a priority in relation to the context, on the basis of the humanitarian strategy and guidance agreed by the HCT.

In addition, in reviewing the INEE Minimum Standards, ten cross-cutting issues were identified to be mainstreamed in the 2010 edition of the INEE Minimum Standards. These are a mixture of issues and emerging themes, but for the purposes of definition they are all referred to as cross-cutting issues. These are: gender, child protection and psychosocial wellbeing, early childhood care and development, youth, human rights, inclusive education, HIV and AIDS, conflict mitigation, disaster risk reduction (DRR), and inter-sectoral linkages.

At the global level, thematic groups have been set up to advance joint work on select cross-cutting issues. These are currently: gender, early childhood, adolescents and youth, DRR, and protection, psychosocial support and peace-building.

Based on the INEE Minimum Standards Thematic briefs, some of the most relevant cross-cutting issues are outlined below with definitions, key issues, and strategies to address the issues. An additional issue related to Attacks on Schools is also listed. Further resources are also provided in relation to each cross-cutting issue. Among these (except for conflict mitigation) are individual INEE toolkits listing a more comprehensive range of resources for each issue and where to find them.

a) Gender

Definitions	
Gender	The social differences between females and males are learned, and vary widely within and between cultures. Though deeply rooted in every culture, they are changeable over time.
Gender equality	Gender equality or equality between women and men refers to the equal enjoyment by women, girls, boys and men of rights, opportunities, resources and rewards. Equality does not mean that women and men are the same but that their enjoyment of rights, opportunities and life changes are not governed or limited by whether they were born female or male.
Gender-based violence (GBV)	An umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed (gender) differences between females and males. The nature and extent of specific types of GBV vary across cultures, countries and regions. GBV poses special challenges in the humanitarian context: examples include sexual violence, including sexual exploitation/abuse and forced prostitution; domestic violence; trafficking; forced/early marriage; harmful traditional practices such as female genital mutilation; honour killings; and widow inheritance.
Key issues	
<p><i>Gender-based violence (GBV)</i></p> <ul style="list-style-type: none"> poses unique challenges in the humanitarian context. GBV against women, girls, boys and men increases in conflict situations. GBV undermines and places barriers to the enjoyment of rights and the attainment of gender equality. <p><i>Girls and boys, young women and men deprived of education</i></p> <p>Families may:</p> <ul style="list-style-type: none"> prioritise boys' education and not have the money to pay for girls' school fees, uniforms and other supplies. require boys to take up work outside of the home, which means that they cannot attend school and may be exposed to long working hours and hazardous conditions. rely on girls for household chores, childcare and generating family income. <p><i>Access limited</i></p> <ul style="list-style-type: none"> Schools are often far away and not accessible to learners, especially female learners and learners with disabilities. In some cultures, women and girls may only be able to travel very short distances without being accompanied by a male relative. So even if there are all-girl schools, it 	

may be too far them to attend.

Learning environment

Factors affecting girls' enrolment and attendance:

- Often schools are staffed exclusively by male teachers.
- Minimal or no sanitation facilities can result in low attendance and high dropout rates among adolescent girls who are menstruating.
- Being in school, or travelling to and from school, can place girls at considerable risk of sexual violence, abuse and exploitation. Going to school may also place boys at risk from different dangers, such as mines or forced recruitment.
- The lack of appropriate infrastructure including separate classroom space for girls and boys and 'privacy' walls where Purdah is being observed, etc.

Cultural barriers

Early marriage and pregnancy are additional barriers to girls taking up or continuing their schooling.

Strategies for gender programming

Two main strategies are needed to reach the goal of gender equality, namely **gender mainstreaming** and **targeted actions in response to a gender analysis**. The IASC *Gender Handbook on Humanitarian Action* provides detailed information on both of these strategies and is referenced below.

Use a gender lens when planning the education response

- ✓ Collect basic information about the numbers of girls and boys, their location and the cultural context in which the cluster is operating; this can help improve education programming.
- ✓ Consider the importance of gender-friendly latrines and washing areas.
- ✓ Consider how school locations and class times can have different impacts on different groups. If girls and young women cannot walk alone, consider the provision of protection, or escorts to and from school. From the standpoint of teachers, it is important to consider issues such as recruitment and training from a gender perspective, eg, having a female staff member or head/deputy head in co-educational schools, and conducting training courses/exercises that are acceptable for women.

Tools and resources

- 📖 IASC, (2006) *Women, Girls, Boys, Men – Equal Needs, Different Opportunities*, Gender Handbook in Humanitarian Action
- 📖 Kirk, J., (2006) *Advocacy Brief: Education in Emergencies: The Gender Implications*, UNESCO, Bangkok
- 📖 INEE (2008) *Minimum Standards Toolkit: Gender*
- 📖 UNESCO (2006) *The Guidebook for Planning Education in Emergencies and Reconstruction, Chapter 6: Gender*, IIEP

b) Child protection and psychosocial support

Definitions	
Child protection	Freedom from all forms of abuse, exploitation, neglect and violence including but not limited to: bullying, sexual exploitation, violence from peers or teachers or other educational authorities, natural hazards, small arms, ammunition, landmines, unexploded ordnance, armed personnel, crossfire locations, political and military threats, and recruitment.
Mental health and psychosocial support	A composite term used to describe any type of local or outside support that aims to protect or promote psychosocial wellbeing and/or prevent or treat mental disorder.
Key issues	
<p><i>Educational environments</i></p> <ul style="list-style-type: none"> may be unsafe and may present significant child protection risks in forms such as harsh corporal punishment, sexual violence, recruitment, discrimination and bullying, as well as possible recruitment by armed groups and armed forces. <p><i>Access to education</i></p> <ul style="list-style-type: none"> Children who are highly vulnerable may be denied effective access to education owing to poverty, becoming orphaned or other loss of parental care, disability, or discrimination. <p><i>Psychosocial wellbeing</i></p> <ul style="list-style-type: none"> of children affected by humanitarian emergencies, who may suffer not only from losses and exposure to extreme events but also from daily sources of distress such as crowded living conditions and hopelessness. <p><i>Role of teachers</i></p> <ul style="list-style-type: none"> and other educational personnel in supporting children's psychosocial wellbeing are critical and thus the psychosocial wellbeing of teachers themselves should not be overlooked. It is common that teachers, too, have experienced distress in similar ways as students, and before teachers can provide support to students, they themselves need opportunities to reflect and build resilience. 	
Strategies for child protection and psychosocial support programming	
<p>Create a protective education environment through the following:</p> <ul style="list-style-type: none"> ✓ Enhance government commitment and capacity, including increased budgetary provisions and appropriate administrative action for child 	


protection and assistance.

- ✓ Develop adequate legislation and enforcement for prosecution of violations, procedures that include mechanisms for redress, and accessible, confidential and child-friendly legal aid.
- ✓ Implement monitoring, reporting and oversight activities, including systematic collection and transparent reporting of data, review by policy-makers, and facilitating access by independent observers to children in traditionally marginalised groups.
- ✓ Provide essential services such as free education and healthcare for all children within each nation's borders, and maintain a functioning and adequately staffed system that provides social welfare assistance and child protection services.
- ✓ Enable social change regarding harmful customs and traditional practices, thereby helping to build an environment where women, girls and boys do not face discrimination, sexual exploitation of children is socially unacceptable, and children with disabilities or affected by HIV and AIDS are not stigmatised.
- ✓ Facilitate open discussion so that protection failures are acknowledged, and civil society and the media are engaged to recognise and report harmful treatment of children.
- ✓ Build the capacity of families and communities to observe protective child-rearing practices and monitor protection, and support families in meeting their childcare needs.
- ✓ Consider the psychosocial wellbeing of teachers and caregivers and design programmes targeting their psychosocial needs.
- ✓ Support the development of life skills, knowledge and participation in order to build an environment in which children know that they have rights, are encouraged to express their views, and are taught problem-solving.

Tools and resources

- 📖 IASC, (2007) *Guidelines on Mental Health and Psychosocial Support in Emergency Settings*
Guidance on integrating psychosocial wellbeing and mental health issues within education from the outset of a new complex emergency or disaster
- 📖 UNICEF, (2006) *Child Protection Information Sheets*
- 📖 UN Office of the Special Representative of the Secretary-General on Children in Armed Conflict, (2009) *The Six Grave Violations against Children during Armed Conflict*
- 📖 UNICEF (2009), *The Psychosocial Care and Protection of Children in Emergencies: Teacher Training Manual.*

c) Early Childhood Care and Development (ECCD)

Definitions	
Early childhood	<p>Early childhood covers three main age periods, each posing different risks and opportunities.</p> <ul style="list-style-type: none"> ▪ Pregnancy to age three – a time of rapid brain development; ensuring adequate growth is crucial. ▪ Age three to six years – children benefit from experiences and programmes that provide opportunities for learning and education through play and socialisation. ▪ Age six to eight – considered to be the time before and after a child moves into primary school either from home or from an early childhood programme.
Key issues	
<ul style="list-style-type: none"> ▪ Providing education activities in early childhood is fundamental to prepare children for school, help them acquire new skills and increase performance and retention in later education. ▪ Early education activities help to prepare children to enter and succeed in school; ensure that parents are ready for their children to attend school, as well as make sure schools are ready for children. ▪ Young children in emergencies are often most at risk of developmental delays as a result of malnutrition, disease, stress and lack of stimulation. ▪ ECCD crosses into other sectors including health, nutrition and WASH. 	
Strategies for early childhood care and development programming	
<ul style="list-style-type: none"> ✓ Ensure that young children have safe spaces to play where their developmental needs are met. ✓ Make formal and non-formal education supportive and relevant for all ages and stages. ✓ In programme planning and implementation use culturally relevant developmental milestones such as rites of passage rituals. ▪ Involve family members – mothers, fathers, siblings and other family members – in ECCD programmes. 	
Tools and resources	
<p> The Consultative Group on Early Childhood Care and Development and INEE, (2009), <i>The path of most resilience: early childhood care and development in emergencies, principles and practice</i></p>	

d) Youth

Definitions

Youth

'Youth' refers to young people aged 15 to 24. Adolescence is seen to encompass three distinct phases including early (10–12 years), middle (13–14) and late (15–18) adolescence. Governments and the international community use a variety of overlapping definitions to categorise children, young people, adolescents and youth. In some countries, the government definition of youth includes people as old as 35. The existence of adolescence or youth as a clearly demarcated period of life depends on cultural and other factors, and programming with these cohorts will often involve individuals who are older or younger than the target group.

Key issues

- Youth is the largest cohort – the current cohort of young people in developing countries is the largest the world has ever seen. Many have limited education and employment opportunities.
- Youth needs are often overlooked – humanitarian actors and governments tend to prioritise the needs of younger children in emergencies, and by their own admission, they often fail to serve the needs of youth. Funding for emergency programmes explicitly targeting youth – especially those who are not in school – remains scarce.
- In different countries young people are enrolled in primary, secondary and higher education. The ladder of education opportunity to secondary and higher education should remain open so that able students are motivated to study hard and complete their current education cycle as well as to meet the needs for future teachers and other professional skills.

Strategies for youth programming

- ✓ Emphasise non-formal education – in emergencies and post-crisis reconstruction, non-formal programming may be the only access that young people have to education and training opportunities (life skills, peace education, business education, vocational training and citizenship education). In many humanitarian contexts, the majority of the population are out-of-school young people who cannot or will not attend school in a formal classroom setting. Meeting the right to education for such populations requires flexibility of approach and meaningful user participation in programme design, implementation and monitoring.
- ✓ Ensure meaningful youth participation – a review of the contemporary

literature concerning young people in emergencies finds a nearly universal recognition that the active participation of young rights-holders is the best way of reaching programme goals, that their participation has knock-on effects in areas outside of the immediate goals, and that failing to engage them as the principal agents of change translates into disappointing programme outcomes.

- ✓ Reconnect young people with the education system through bridging/equivalency programmes designed specifically for them (eg, accelerated learning programmes).
- ✓ Maintain access to primary, secondary and higher education for young people, even if the access to higher levels is numerically limited. Explore the possibilities of distance education.
 - Link emergency to transition – the aftermath of an emergency is an opportune time to introduce supportive policies for youth at the national level. International actors should work with ministries to strengthen their cross-sectoral work, including youth-focused education.
 - Vocational training and other programmes for young people and adolescents should aim at giving them marketable skills to allow them to become self-sustainable in the future.

Tools and resources

 INEE (2008) *INEE Minimum Standards Toolkit: Youth and Adolescents*

e) Human rights

Definitions	
Human rights	Human rights are a means to a life in dignity . They are universal and inalienable; they cannot be given, nor can they be taken away. They may be divided into civil, cultural, economic, political and social; all are interrelated, indivisible and interdependent. Some are subject to immediate implementation (non-discrimination, protection and right to life), and some to progressive realisation (eg, education).
Human rights law	International humanitarian, refugee and human rights law (HRL) is the body of international legal treaties and normative standards that guarantee and regulate human rights. Under these laws it is primarily the State that has the duty to respect, protect and fulfil the rights of any individual within its territory or sphere of influence.
Rights-holder and duty-bearer	The relationship between rights-holder (individual) and duty-bearer (State) is the most important in human rights. Other states and the international community have a right and duty to assist and sometimes intervene if a State cannot or will not live up to its obligations.
Key issues	
<ul style="list-style-type: none"> ▪ The right to education is an inalienable human right and an end in itself, ensuring the ability of humans to reach their full potential and claim their other rights. It offers protection and structure in times of instability, aiding children and those most vulnerable to retain a key element of normal life and build the best foundations for a better future. Right to education means quality education that is available, accessible, acceptable and adaptable. ▪ The key provisions are non-discrimination and access to basic education, which must be fulfilled to the greatest extent possible at all times. Other levels of education, such as secondary and higher, may be subject to a more incremental process of realisation. ▪ A human rights-based approach to education planning takes the language and spirit of human rights law as its foundation and can be achieved by understanding, respecting and bringing to life the following: Participation, Accountability, Non-discrimination, Empowerment, and Link to the law: 	

- Under the State's obligation to protect and respect the rights of anyone residing on its territory is the key provision of basic access to justice. In times of emergency, such access may be denied or suspended, or the justice rendered may even be the cause of conflict.

Strategies for human rights programming

The following are examples of ways to promote and protect the right to education in emergencies. However, it is important that each potential action be evaluated against the particular situation, as not all actions would be appropriate or safe in all situations.

- ✓ Promote and protect the right to education in emergencies.
- ✓ Work directly with communities to inform people of their rights, with an emphasis on the right to education (including for the most vulnerable).
- ✓ Work with communities, including young people, to develop advocacy campaigns.
- ✓ Write news articles for local publications or the attention of national and international media, including radio broadcasts/programmes.
- ✓ Meet with government officials, UN agencies and other international, regional and national decision-makers to review progress towards international legal standards regarding the rights to education, identifying and addressing barriers to access and quality at all levels of education.
- ✓ Advocate for government and education authorities as duty-bearers to fulfil children's rights to quality education.
- ✓ Assist and support human rights lawyers and organisations to monitor and document human rights violations.
- ✓ Act on government reports submitted to international treaty-monitoring bodies.
- ✓ Work with local communities to write 'shadow' reports when their country is submitting reports to international treaty monitoring bodies.
- ✓ Encourage UN Special Rapporteurs/Representatives to visit and report.

Tools and resources

- 📖 UNICEF/UNESCO (2001) *A Human Rights Based Approach to Education for All*
- 📖 Women's Commission for Refugee Women and Children (2006) *Right to education during displacement: a resource for organizations working with refugees and internally displaced populations*, New York
- http://www.ineesite.org/uploads/documents/store/doc_1_HR_approach_to_EFA-UNESCO.pdf
- Right to education project: <http://www.right-to-education.org/>

f) Inclusive education

Definitions

Inclusive education

Inclusive education is based on the right of all learners to a quality education that meets their basic learning needs and enriches their lives. Focusing particularly on vulnerable and marginalised groups, including persons with disabilities, inclusive education seeks to develop the full potential of every individual.

Key issues

Inclusive education is about full participation and learning as well as about access to the place of education for all. The ultimate goal of inclusive quality education is to end all forms of discrimination and foster social cohesion.

Strategies for inclusive education programming

- ✓ Make education welcoming to all – adapt the system to the learner, rather than expecting the learner to adapt to the system.
- ✓ Incorporate approaches to support everyone at the outset of an emergency response, rather than try to change exclusionary school infrastructure and practices at a later date.
- Let post-emergency education show that previously excluded people can participate in ordinary learning environments and can learn from the same broad curriculum, and that all people can learn new things from each other.

Tools and resources

- 📖 INEE (2009) *Including Everyone: INEE Pocket Guide to Inclusive Education In Emergencies*, Geneva
Gives guidance on actions that everyone involved in an emergency education response can take from the start, to make sure that education in emergencies is accessible and inclusive for everyone, particularly those who have been traditionally excluded from education.
- 📖 INEE (2008) *INEE Minimum Standards Toolkit: Inclusive education*
- EENET is an inclusive education information-sharing network:
<http://www.eenet.org.uk/>

g) HIV and AIDS

Definitions

HIV and AIDS

Acquired immune deficiency syndrome (AIDS) is a disease of the human immune system caused by the human immunodeficiency virus (HIV).

Key issues

HIV/AIDS has a direct impact on education in three key ways:

- In countries with high HIV/AIDS prevalence and poor healthcare, the teaching force is severely affected, resulting in high rates of teacher absenteeism and shortage.
- Children and young people affected by HIV/AIDS tend to miss out on school because of their responsibility to care for family members.
- Children and young people living with HIV/AIDS face stigma in their communities and schools, affecting their ability to learn and their psychosocial wellbeing.

Education can play a critical role in addressing these issues as well as influencing the public understanding of what HIV/AIDS is, how it is contracted, and how to deal with it.

Strategies for HIV and AIDS programming

Specific interventions in emergencies should therefore be planned and implemented through combined behavioural, legislative, structural and biomedical measures of prevention:

- ✓ Life skills learning should include information on steps that can be taken to reduce the number of new HIV infections and mitigate the impact of HIV and AIDS for those infected and affected by the virus.
- ✓ Life skills teaching should include teacher training that covers interactive methodologies, relevant content, and adequate psychosocial support to ensure that students learn about HIV prevention and mitigation.
- ✓ Protective and enabling learning environment should include school policies to ensure wellbeing of all learners and staff.

Tools and resources

- 📖 IASC (2003) *Guidelines for HIV/AIDS Interventions in Emergency Settings*
- 📖 INEE (2008) *INEE Minimum Standards Toolkit: Cross-cutting issue HIV/AIDS*

h) Conflict mitigation

Additional guidance on considerations for the cluster response in differing emergency contexts is set out in section 7.1.

Definitions	
Conflict mitigation ¹⁹	<p>Conflict mitigation entails efforts to contain and, if possible, reduce the amount of violence used by parties engaged in violent conflict and to engage them in communication looking towards settling the dispute and terminating the violence.</p> <p>Conflict mitigation refers to actions and processes that:</p> <ul style="list-style-type: none">▪ ensure conflict sensitivity so as to not fuel tensions or exacerbate sources of violence (ie, 'do no harm')▪ seek to contribute positively to transforming the causes of conflict in the medium-to-long term by altering the structural, behavioural and attitudinal aspects of conflict.
Conflict prevention	<p>This refers to actions, policies or procedures undertaken in particularly vulnerable places and times in order to avoid the threat or use of armed force and related forms of coercion by states or groups as the way to settle the political disputes that can arise from the destabilising effects of economic, social, political and international change.</p>
Key issues	
<ul style="list-style-type: none">▪ Delivery of education in emergencies and situations of fragility can interact with conflict dynamics in several ways. Although education is often harmed by conflict – through, for example, destruction of or attacks on schools, materials, students, teachers and other education personnel – education can also play a role in mitigating conflict and fragility.▪ Education has the potential to mitigate conflict in the three primary aspects of conflict: structural, behavioural and attitudinal. Education can alter structural contradictions, eg, by improving access to marginalised groups (structural); it can improve relations and interactions through psychosocial support to children, teachers and affected community members to identify and address new kinds of behaviour (behavioural); and it can encourage structural changes in attitudes (attitudinal) in ways that can reduce the risk of conflict and help build a sustainable peace.▪ Education also has the potential, however, to exacerbate conflict, eg, through topics such as religion or history taught at school which may	

¹⁹ Creative Associates International, *Conflict Prevention: A Guide Toolbox*.

contribute to, or further heighten existing sensitivities. In such contexts, efforts should be made to minimise the use of schools or curriculum for such purposes.

Strategies for conflict-mitigation programming

- ✓ Understand how planned interventions may interact with the context and support organisations and institutions designing and implementing the education response to act upon that understanding, to avoid negative impacts on the conflict and maximise positive impacts.
- ✓ Ensure conflict sensitive participation: for example, where age-related issues of respect are pertinent, care should be taken to ensure that any participation by children or young people does not create tensions in a context of norms requiring respect for elders.
- ✓ Address conflict-related barriers to participation: the inclusion of various groups, especially those most vulnerable, is absolutely essential, while balancing this against the potential harm to individuals, and keeping in mind that many more groups become vulnerable during conflict/emergencies. It is documented that already vulnerable groups may become more vulnerable in conflict/emergencies.
 - Pay attention to the conflict dynamics in the location of education facilities: do not assume that the locations of learning facilities prior to the emergency were equitable to all members of the community. Therefore, rebuilding physical structures in their previous locations may contribute to re-entrenching divisions within the community. Participatory analysis with a wide range of community members can provide necessary information on where educational facilities can be established to ensure equitable access and education delivery to the whole community.
 - Address conflict sensitivities through curriculum (or curriculum revision) and teacher training to ensure that teachers are not fuelling conflict.

Tools and resources

- 📖 Wedge, J (2008) *Where peace begins: Education's role in conflict prevention and peace building*, Save the Children, London
- 📖 Sinclair, M, Davies L, Obura, A and Tibbitts, F (2008) *Learning to live together: design, monitoring and evaluation of education for life skills, human rights, citizenship and peace*, Germany and Geneva, GTZ in collaboration with International Bureau for Education/UNESCO
- 📖 USAID (2006) *Education and Fragility Assessment Tool*
Helps to identify the links between education and fragility in countries at risk of conflict.

i) Disaster Risk Reduction (DRR)

Additional guidance on links between DRR and emergency preparedness and contingency planning is set out in section 7.6.

Definitions	
Disaster reduction (or disaster risk reduction)	Systematic efforts to understand and reduce exposure to hazards, reduce physical and social vulnerability, and improve preparedness, coping and resilience
Resilience	As societies reduce risks and vulnerabilities, they develop resilience . This helps them to recover quickly from the impact of hazards.
Disaster impacts	Can include deaths, injuries, and destruction of property, environment, livelihoods, community and cultural heritage. Regarding the education sector, disasters threaten educational continuity and the safety and security of students and staff.

Key issues
<p>The goals of DRR in the education sector are therefore to plan for educational continuity and child protection and to strengthen education for disaster mitigation or prevention.</p> <p>With relation to education, disasters can have the following impacts:</p> <p><i>Physical impacts</i></p> <ul style="list-style-type: none">▪ on students and personnel occur when students and staff are killed or injured in schools that are unsafe or not built to withstand expected and recurring natural hazards. They may also be the result of man-made causes such as hazardous materials release, violent attacks, landmines and other threats. In earthquakes, non-structural as well as structural building elements and building contents can fall or collide and cause severe injury and death.▪ on school facilities occur when schools are damaged beyond repair or are unsafe, or even when they are out of use regularly, owing to flood, cold or heat. Students can then be denied continuous schooling, or have large numbers of school days cut. They may never be able to catch up and may drop out permanently or find all their future prospects and hopes dashed. Safe school facilities and plans for alternative sites as well as alternative education delivery methods can mitigate these impacts. <p><i>Economic impacts</i></p> <ul style="list-style-type: none">▪ affect school enrolment. Schools damaged beyond repair or unsafe require a level of reinvestment many times higher than the initial small

incremental cost of building safely. Death or injury of parents or caregivers, or parents' loss of income, forces school-age children to look after younger siblings, or take on new livelihood responsibilities. Loss of housing forces families to relocate, causing disruption to education. Delays in matriculation make it impossible for families to support students' education. Parents may not be able to afford the direct costs of schooling, including registration, school fees, tuition and examination fees, other informal fees and contributions, clothing, transport or materials, resulting in non-attendance.

Educational impacts

- on students occur where there are no plans for alternative locations and no contingency plans for educational continuity. Valuable instructional time is lost. Schools may be closed or quality of education may suffer because of a lack of administration or staff. Destruction of school or identity records can prevent appropriate credit, matriculation and education continuity. Inflexible procedures for examinations, admissions and scholarship applications can reduce options for students whose situation suddenly changes because of disaster. Lack of provisions for making up missed schooling can permanently affect learners. There may be a lack of training or commitment to maintain minimum standards for education in emergencies.

Psychosocial impacts

- on students and staff are most severe when school communities lack the vital knowledge of the hazards they face and how to reduce their vulnerability and the level of risk.

Strategies for disaster risk reduction programming

- ✓ Provide basic information to students and teachers about how to protect themselves proactively. The curriculum may not have prepared children and they may need to be provided with relevant information on disaster preparedness and responses.
- ✓ Avoid prolonged school closure.
- ✓ Provide psychosocial support to students and teachers through expressive activities and adjusted lesson structures accessible to students with reduced concentration.
- ✓ Engage the community in management of tasks. This requires cooperative efforts to assess local risks. It requires leadership to systematically reduce these risks and to ensure that natural hazards do not prevent children from attending school.
- Ensure the safety and structural integrity of school buildings.

Tools and resources

-  INEE and Global Facility for Disaster Recovery and Reduction (2009)

Guidance Notes on Safer School Construction

- 📖 INEE (2008) *INEE Minimum Standards Toolkit: Disaster Risk Reduction and Preparedness*
 - 📖 ADPC (2009) *Integrating Disaster Risk Reduction into School Curriculum: Mainstreaming Disaster Risk Reduction into Education*
 - 📖 Petal, M (2008) *Disaster Prevention for Schools Guidance for Education Sector Decision-Makers*, Geneva, UNISDR
- Prevention Web Educational Materials collection found at:
<http://www.preventionweb.net/english/professional/trainings-events/edu-materials/?pid:6&pih:2>

j) Inter-sectoral linkages

Definitions

Inter-sectoral linkages

This relates to interaction between two or more sectors (eg, education, health, food security/nutrition, shelter, protection). In the context of the education sector, these linkages are normally actions taken in partnership with other sectors outside the education sector.

Inter-sectoral strategies are based on a holistic approach to defining the needs and approaches to education, taking into account both education issues and issues in other sectors that may affect education preparedness, response and recovery, eg, hygiene, school feeding, school construction.

By taking account of inter-sectoral issues from the start, the risk of delays, constraints, confusion and duplication or waste of resources is reduced.

Key issues and strategies to address

Detailed guidance on inter-sectoral and inter-cluster linkages and strategies relevant to the education cluster and role of the Coordinator are given in Section 2.6.2.

k) Education under attack

Complementary guidance on coordination with military and peacekeeping forces is outlined in section 2.6.3.

Definitions	
International Humanitarian Law (IHL), (also known as the Law of Armed Conflict)	IHL comprises the rules created by treaty or custom that regulates the conduct of armed conflict and related matters, such as the treatment of prisoners, the wounded and civilians. Key treaties include the 1949 Geneva Conventions (GCs), especially GC IV (Protection of Civilians in Time of War) and the 1977 Additional Protocols (APs), especially AP II (Protection of Victims of Non-International Conflicts). IHL protects education of children during both international and non-international conflict and under occupation, or if separated, orphaned or evacuated, and that of internees. More generally, IHL protects civilians and civilian objects from attack if not associated with military activities, and from disproportionate collateral damage.
Human rights law (HRL)	See guidance on 'Human rights' above. Both IHL and HRL may be relevant to education in a given emergency situation.
Accountability	Accountability requires that there are consequences for violating international and national law. It can apply to individuals and to states or non-state groups.
Rome Statute of the International Criminal Court	The International Criminal Court deals specifically with war crimes, genocide and crimes against humanity. The Statute protects against systematic attacks on (or excessive collateral damage to) civilians and civilian objects, and child recruitment. It specifically protects certain buildings against intentional attacks, including education buildings.
Monitoring and Reporting Mechanism (MRM)	UN Security Council (SC) Resolution 1612 (2005) requested the UN to establish a Monitoring and Reporting Mechanism (MRM) to systematically collect reliable and timely information on six grave violations against children affected by armed conflict. The SC established a Working Group on Children and Armed Conflict which can hold violators accountable.
Reporting violations against children	UN Security Council (SC) Resolution 1882 (2009) serves to reinforce SCR 1612 (2005) in response to concerns about continued violation of applicable international law relating to the rights and protection of children in armed conflict. The

Resolution requested that the Secretary-General list, in the annex to reports on children and armed Conflict, all parties that i) contravene applicable international law in relation to children and armed conflict, ii) perpetrate rape and other grave sexual violence, or 3) kill and maim children during armed conflict.

Key issues

Attacks on schools, universities and other education institutions can occur during international or non-international conflict, or insecurity, and can include threats, injury, killings, abduction or other harm to students and staff, and/or damage to infrastructure. Agencies need good information on this to enable rapid response to restore access to education, as well as for purposes of accountability.

Monitoring and reporting of attacks on education requires the collaboration of national authorities, UN agencies, non-governmental organisations (NGOs) and others. Informants' identities should be kept confidential, where they are at risk. Countries listed by the Security Council for grave violations of children during armed conflict usually have a UN-led Task Force to collect and verify information on violations committed by armed forces and groups.

The Office of the Special Representative of the Secretary-General on Children and Armed Conflict compiles and submits this information to the Secretary-General, who submits reports for possible action to the Security Council Working Group on Children and Armed Conflict. Additional mechanisms are needed to report attacks on education other than primary and secondary schools, for example, on higher education or teacher colleges.




Strategies for education under attack programming

Strategies should address data collection, reporting, accountability, prevention and response:

- Education actors should collaborate with protection/human rights/humanitarian agencies (including concerned government entities) to collect data on violations at all levels of education, including higher education, and feed this into national and international databases, in a way that does not compromise the security of informants and agency staff. These violations should be reported for necessary action at national and international levels, through the MRM, legal action and other channels.
- Capacity-building may help to enable government and military judicial systems, as well as military training in IHL, to include protection of education from attack. Public awareness may be raised through schools and media.
- For civil conflicts, negotiations with both parties at community and/or national level should be considered, to develop codes of conduct making schools a safe sanctuary/a Zone of Peace.

- Physical protection may include providing transport/escorts for staff and students, community defence of schools, security guards, reinforcing buildings, on-campus housing for teachers, relocation of threatened students/staff/schools, and assisting endangered academics.
- Community protection may include action by school management committees (or security sub-committee) on security issues, volunteer guards and escorts, negotiation with potential attackers, and identifying trusted religious leaders to teach in or otherwise support schools.
- Adaptation of education provision to prevent attack may include home/community-based schools, accelerated learning/bridging programmes for older students, meeting psychosocial needs of students and teachers, renewal/enrichment of curriculum, including with safety/health messages and education for human rights, child rights, conflict resolution/peace, and humanitarian law.

Tools and resources

-  O'Malley, B. (2010) *Education under Attack: A Global Study on Targeted Political and Military Violence Against Education Staff, Students, Teachers, Union and Government Officials and Aid Workers*, UNESCO
-  Education International (2009) *Schools Shall be Safe Sanctuaries: A Guide to the Declaration by Education International*, Brussels, Education International
-  Save the Children (2009) *Policy Brief: Preventing Attacks on Schools*, London, Save the Children

4

Managing cluster coordination

4.1	Coordination essentials and common challenges
4.2	Collaborative leadership and partnership
4.3	Managing and chairing cluster meetings
4.4	Negotiation, consensus-building and conflict resolution
4.5	Developing team capacity

This chapter provides guidance on the practical skills needed by the Coordinator to undertake his/her role in:²⁰

- ensuring that education responses build on local capacities
- ensuring appropriate links with national and local authorities, state institutions, local civil society and other relevant actors (eg, peacekeeping forces) and ensuring appropriate coordination and information exchange with them
- ensuring inclusion of key humanitarian partners for the sector while respecting their respective mandates and programme priorities, and appropriate cross-cutting issues thematic groups or advisers
- ensuring appropriate coordination with all humanitarian partners (including national and international non-governmental organisations (NGOs), the International Red Cross/Red Crescent Movement, International Organization for Migration (IOM) and other international organisations), through establishing and maintaining appropriate sectoral coordination mechanisms, including working groups at the national and sub-national levels as required.

Key points

- Facilitate open and regular dialogue and information-sharing between cluster stakeholders, and ensure neutrality in the Coordinator role.
- Build on existing, effective coordination mechanisms, systems and tools.
- Make provision for translation, interpreting, and differing information management (IM) capacities among cluster partners.

²⁰ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

4.1 Coordination essentials and common challenges

Benefits of cluster coordination

- ✓ Draws on the strengths and comparative advantage of cluster partners.
- ✓ Provides a platform for dividing responsibilities and coverage of needs.
- ✓ Provides a mechanism for joint strategising and planning.
- ✓ Avoids multiplication of effort, gaps and overlaps in response activities.
- ✓ Maximises the use of available resources and is more cost-effective.
- ✓ Strengthens support for government and can facilitate participation.
- ✓ Reinforces advocacy efforts.
- ✓ Can facilitate use of shared approaches, tools and activities, and more comprehensive and consistent integration of cross-cutting issues.
- ✓ Can facilitate mutual learning, and building leadership, facilitation and planning capacities.
- ✓ Provides an opportunity for improved preparedness.
- ✓ Can facilitate greater inter-cluster coordination.

4.1.1 A staged approach to coordination

Coordination is about team work; therefore cluster partners should feel part of it. Without being too strict about the sequence, a staged approach to coordination can be taken.

As a start, ask partners to share information on:

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

As a next step, encourage partners to work together at:

- assessing needs, setting standards and mobilising external resources
- ensuring access to beneficiaries
- building local and national capacities, and training their own staff
- consistently and comprehensively integrating appropriate cross-cutting issues.

In a more advanced phase, cluster partners should be willing to share plans and resources through:

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

Key strategies for effective coordination

- ✓ **Be inclusive** – involve and encourage all key education actors, including national and local government authorities, and organisations.
- ✓ **Build vertical and horizontal links** – build relationships, network, communicate, and address any negative attitudes towards the cluster approach.
- ✓ **Complement and strengthen existing coordination structures**, standards and guidelines.
- ✓ **Respect differing mandates**, priorities, approaches and resources, and ensure that local knowledge is harnessed.
- ✓ **Act as an honest broker** and build trust through transparency and openness.
- ✓ **Share information and collaborate** in key coordination activities, eg, assessments, planning, standard setting, monitoring and review.

However, often there are challenges and barriers to coordination which the Education Cluster Coordinator may need to overcome,²¹ such as:


Common barriers to coordination	Tips to overcome them
<p>Competition: Partners contest the involvement, values or interests of others. Partners compete for access, resources and visibility.</p>	<p>Adopt a transparent, systematic process for prioritisation and allocation of resources. Develop shared policies and standards, taking into account the interests of all cluster partners. Ensure broad representation in cluster decision-making and working groups.</p>
<p>Neutrality: Partners feel their autonomy is threatened.</p>	<p>Seek shared objectives as part of a cluster strategy. Demonstrate how shared problem-solving need not compromise freedom of action. Respect the position of agencies whose involvement in coordinated activities is limited by their own mandates, eg, International Committee of the Red Cross and Red Crescent Societies (ICRC), Médecins Sans Frontières (MSF).</p>
<p>Cluster size: Excessive number of cluster participants inhibits decision-making and restricts usefulness of</p>	<p>Adopt a smaller steering group and technical working groups. Consider different media and forums for different activities, eg, information-sharing, decision-making,</p>

²¹ Adapted from B3 Associates and IFRC (2008) *Coordination Challenges for Clusters*

meetings.	problem-solving.
<p>Inadequate commitment: Decision-makers not willing to attend meetings. Inconsistent involvement.</p>	<p>Clearly define, and agree, roles and responsibilities with cluster partners. Establish and maintain personal contact. Notify partners of the purpose, agenda, decision to be taken, and action deadlines for meetings. Establish decentralised coordination mechanisms to facilitate local partner involvement. Establish an understanding of partner interests and needs – seek to provide information, resources and services that are of value to them.</p>
<p>Unilateral actions: Duplication and overlaps. Gaps in coverage of affected populations and needs.</p>	<p>Clearly define, and agree, roles and responsibilities with cluster partners. Actively engage all cluster representatives in decision-making and cluster coordination activities. Involve cluster partners in tackling the problem of poor commitment.</p>
<p>Poor leadership: Failure to act as an 'honest broker'. Personality clashes. Imposition of decisions without a transparent process of decision-making. Domination by certain cluster partners.</p>	<p>Adopt a collaborative leadership style and take care to act in a neutral manner. Establish and maintain personal contact. Ensure broad representation in cluster decision-making and working groups. Periodically evaluate satisfaction of cluster partners through informal feedback and the formal performance review process. Establish decentralised coordination mechanisms to facilitate local partner involvement.</p>
<p>Poor meeting management: Poor preparation. Inappropriate agenda. Poor chairmanship. Failure to follow up agreed actions.</p>	<p>Adopt standard notification, agenda and meeting minute templates to guide the organisation of meetings. Clearly define actions and follow up. Establish and adhere to clearly defined meeting start and finish times. Involve cluster partners, including government, in co-chairing to build capacity and share skills.</p>
<p>Poorly defined roles: Unclear cluster objectives. Inability to establish joint strategies or shared standards, tools or approaches.</p>	<p>When establishing the cluster, define a limited number of succinct cluster objectives that can be readily evaluated. Ensure that they are widely discussed, agreed and communicated. Linked to these, define and agree on roles and responsibilities with cluster partners. Establish an understanding of partner interests and needs – seek to provide information, resources and services that are of value to them. Use working groups to tackle joint strategies or</p>

	shared standards.
<p>Insufficient resources:</p> <p>Lack of time.</p> <p>Slow or inadequate mobilisation of human, material or financial resources.</p>	<p>Build on existing coordination processes and delegate coordination responsibilities.</p> <p>Streamline the use of meetings.</p> <p>Phase cluster response activities.</p> <p>Invest in effective information and knowledge management.</p> <p>Seek global cluster and external support in mobilising resources.</p>
<p>Inappropriate working practices:</p> <p>Failure to acknowledge language constraints, differing working practices, and types of knowledge.</p> <p>Too process-oriented.</p>	<p>Build on existing coordination mechanisms.</p> <p>Involve national and local organisations and draw on local expertise, eg, academic, research and professional institutions.</p> <p>Translate all key cluster information as required.</p> <p>Provide translation and interpreting in meetings.</p> <p>When registering contact information, include a field for language preference.</p> <p>Adapt information and knowledge management systems to accommodate local levels of IT capacity and expertise.</p>
<p>Poor performance:</p> <p>Lack of accountability (upward or downward)</p> <p>Cluster partners' failure to fulfil responsibilities, meet standards.</p>	<p>Establish guiding principles and standards for the cluster.</p> <p>Draw on authority of government partner.</p> <p>Monitor performance of all cluster partners against criteria that equally value differing forms of contribution.</p> <p>Name and shame.</p>
<p>Poor knowledge or information management:</p> <p>Poor-quality or delayed information.</p> <p>Failure to establish communication or information management strategies.</p>	<p>Seek global cluster and external support (international and local) in finding information management expertise if required.</p> <p>Build on the services provided by Office for the Coordination of Humanitarian Affairs (OCHA).</p> <p>Adapt information and knowledge management systems to accommodate local levels of IT capacity and expertise.</p> <p>Utilise the tips and tools outlined in Chapter 5.</p>

Additional resources – on the accompanying CD

 INEE (2006) *Strategies for inter-agency coordination within an Education Cluster*

➤ Informal website established by a network of Cluster Coordinators:
<http://clustercoordination.org/>

4.2 Collaborative leadership and partnership

4.2.1 A collaborative approach

While the Education Cluster Coordinator is responsible for coordinating the response of cluster partners to emergency education needs, this responsibility comes without the authority to enforce compliance. This demands an innovative approach to leadership – and a shift in mindset and practice from authoritative leadership to a collaborative approach; it requires a shift:

From...

- ✗ leading on the basis of line authority
- ✗ unilateral decision-making
- ✗ command and control
- ✗ implementing partners
- ✗ focus on agency interest
- ✗ being out in front

to...

- ✓ leading on the basis of trust, relationships, services
- ✓ shared decision-making and consensus management
- ✓ facilitate, network and enable
- ✓ equal partners
- ✓ focus on broader sector and emergency as a whole
- ✓ to facilitating and networking 'behind the scenes'

Some useful steps in seeking to achieve a collaborative approach include:

1. **Cultivating a shared vision** right from the start, even if it's vague (the Cluster's strategic response planning process can help to achieve this).
2. Taking care to involve the **right mix of stakeholders** and decision-makers.
3. **Sustaining the momentum** and keeping a focus on progress and results (reliable flow of accurate information and regular review of cluster plans and outcomes will help to achieve this).
4. **Engaging the perspectives** and addressing the needs of each stakeholder group in the work of the cluster.
5. Ensuring that each partner agency's individual and institutional **self-interests are served** by both the process and products of the collaboration, to the greatest extent possible.
6. **Not wasting time.** Meetings must be efficient and productive; management must be lean and driven. Consider alternatives to meetings.
7. **Developing clear roles and responsibilities** for cluster partners and rotating these roles regularly to facilitate involvement.
8. Securing commitment from partners that the **same people come to each meeting.**
9. Building a rapport and maintaining regular **contact with decision-makers** to ensure that decisions are made quickly.
10. All collaboration is personal – effective collaboration happens between people – so **maintain regular communication.**

4.2.2 Situational leadership styles

Tips in choosing the right decision-making process

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

Different situations often require different styles of leadership, particularly when decisions are needed quickly, there are strongly conflicting interests, or sensitivities are high. The Coordinator will need to assess each situation and choose an appropriate leadership style:²²

Directive	Participative	Delegative
Initiates task Directs others Decisive	Democratic Initiates process or discussion Involves others Facilitates building consensus and decision-making	Lets others take ownership of the task Group makes decisions Uses expertise of others

Coordinator control	Cluster partners' control
----------------------------	----------------------------------

When the Coordinator is **directive**, s/he initiates action, structures activities, motivates others, and gives feedback to participants. It is not about threatening and demanding.

²² Adapted from Clark, D. (1998) Leadership Style Survey

This may be appropriate in establishing the cluster when processes and timescales are being set, or when there is a sudden change in the security situation, or when time is short. However, it will only work if cluster partners are motivated and committed to a common goal.

The **participative** style gets results by leading discussions, asking questions to involve others, encouraging others to volunteer for responsibilities, confirming commitments, and asking for a vote to get a consensus decision or a majority decision.

This style is important in gaining commitment to cluster processes such as joint needs assessments, and in building trust. However, it is time-consuming, and not every decision needs to be democratic, so it is important to develop the flexibility to use the other styles appropriately.

The **delegative** style lets the group make decisions and encourages others to use their expertise, while the leader still maintains responsibility for the overall outcomes.

This style would be used in setting up working groups, allowing partners to use their specialist knowledge and experience. It is important to clearly define responsibilities, tasks and timelines. In moving towards early recovery, it will be increasingly important to engage this style of leadership.

An effective collaborative leader will use all three styles depending on:

- the urgency; how much time is available?
- the need for direction; is s/he the most appropriate lead?
- the basis of relationships; are they based on trust or authority?
- the maturity of the group; are they able to work together effectively?
- the nature and clarity of task; are the group able to take decisions?
- the level of motivation; are people willing to actively engage?
- are there established procedures which need to be followed?
- are there internal conflicts which need managed and controlled?

A self-assessment questionnaire is included in the 'Additional resources' listed at the end of this section. This can be used to assess a range of leadership styles.

4.2.3 Partnership in the cluster

Partnership is now the foundation of the humanitarian reform process. Its importance was reinforced in 2006 by the Global Humanitarian Platform (GHP), a complementary initiative aimed at facilitating dialogue and collaboration between UN

'Working together is an urgent life-and-death issue'

Global Humanitarian Platform,
2007

agencies, the International Red Cross and Red Crescent Movement and humanitarian NGOs (see section 1.1).

Successful application of the cluster approach will depend on all humanitarian actors working as **equal partners** in all aspects of the humanitarian response: from assessment, analysis and planning, to implementation, resource mobilisation and evaluation.

Definition: Partnerships were defined by the UN General Assembly in 2007 as “voluntary and collaborative relationships between various parties, both public and non-public, in which all participants agree to work together to achieve a common purpose or undertake a specific task and, as mutually agreed, to share risks and responsibilities, resources and benefits”.²³

The voluntary and collaborative nature of partnerships distinguishes them from commercial contractual relationships, which are governed by price and contractual conditions, rather than by trust and interest in common goals.

4.2.4 Principles of partnership

The following table outlines the Principles of Partnership agreed by the Global Humanitarian Platform in 2007. It sets out the actions the Coordinator can take to establish and maintain partnerships that embrace these principles:

Principles of Partnership	Success criteria and indicators ²⁴
<p>Equality</p> <p>Equality requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other’s mandates, obligations, independence and brand identity, and recognise each other’s constraints and commitments. Mutual respect must not preclude organisations from engaging in constructive dissent.</p>	<p><i>Success criteria:</i></p> <ul style="list-style-type: none"> ✓ Strategic and policy decisions take into account the views of all cluster stakeholders. ✓ The cluster offers open interaction and decision-making based on collaborative rather than hierarchical leadership. ✓ Strategic, goal-oriented multi-year partnerships are established. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> ▪ Well-attended, inclusive, results-oriented meetings. ▪ Adequate and appropriate representation and international, national and local NGOs.

²³ UNICEF (2009) *Mapping of UNICEF partnerships and collaborative relationships*,

²⁴ Adapted from SCHR (2008) *Principles of Partnership: Success criteria and indicators*,

<p>Transparency</p> <p>Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications and transparency, including financial transparency, increase the level of trust among organisations.</p>	<p><i>Success criteria:</i></p> <ul style="list-style-type: none"> ✓ Mechanisms for early consultation and exchange of information are established, well known and accepted by partners. ✓ Transparent and jointly governed systems for common funding are established. Allocation criteria are well understood and accepted by cluster partners. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> ▪ Regular and efficient consultation and information-sharing in the cluster. ▪ Partners are adequately represented in funding applications and allocations.
<p>Results-oriented approach</p> <p>Effective humanitarian action must be reality-based and action-oriented. This requires result-oriented coordination based on effective capabilities and concrete operational capacities.</p>	<p><i>Success criteria:</i></p> <ul style="list-style-type: none"> ✓ Effective exchange of information on needs, capacities, gaps and plans within the cluster and with external stakeholders. ✓ Crisis-affected persons are well informed about entitlements and services, and safe, effective mechanisms for feedback and complaint are in place. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> ▪ Priority needs are addressed, capacities shared, and overlaps minimised. ▪ Needs assessments include all stakeholder groups and reflect differing vulnerabilities and cross-cutting issues.
<p>Responsibility</p> <p>Humanitarian organisations have an obligation to each other to accomplish their task responsibly, with integrity and in a relevant and appropriate way. They must make sure they commit themselves to activities only when they have the means, competencies, skills and capacity to deliver on their commitments. Decisive and robust prevention of abuses committed by humanitarians must also be a constant effort.</p>	<p><i>Success criteria:</i></p> <ul style="list-style-type: none"> ✓ Frank exchange on unacceptable, inappropriate or wasteful response is encouraged, and corrective action is taken. ✓ Complaints mechanisms and systems for identifying, reporting and monitoring abuse are in place, with appropriate training provided. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> ▪ Actions to address poor performance, malpractice or abuse are recorded in lessons learned and best practice. ▪ Unsafe practices are addressed in response to complaints are subsequent investigations.

Complementarity	<i>Success criteria:</i>
<p>The diversity of the humanitarian community is an asset if we build on our comparative advantage and complement each other's contributions. Local capacity is one of the main assets to enhance and build on. It must be made an integral part in emergency response. Language and cultural barriers must be overcome.</p>	<ul style="list-style-type: none"> ✓ Coordination is organised on the basis of added value, comparative advantage and complementarity with full consideration of complementary national and local capacities. ✓ Partners do not speak 'on behalf' of others. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> ▪ Recognition and reflection of the diversity of cluster partners in cluster activities, responsibilities and decision-making. ▪ Comprehensive provision of translation and interpreting services as required. ▪ Active engagement of local capacities.

4.2.5 Establishing and maintaining partnerships

The Coordinator needs to consider various forms of humanitarian partnership: from close coordination and joint programming to looser associations based on the need to share information, avoid duplication and enhance complementarity.

Tips for promoting partnership in the cluster

- ✓ Adopt a collaborative leadership style and encourage teamwork.
- ✓ Make personal contact and maintain regular dialogue with cluster partners.
- ✓ Highlight common goals, interests and interdependencies among partners.
- ✓ Engage national and local actors as quickly as possible; they are crucial for accessing local networks, and re-establishing community services.
- ✓ Develop clear, simple Terms of Reference to promote effective collaboration, and clarify mutual responsibilities and expectations.
- ✓ Promote transparency and accountability through open decision-making and a performance appraisal and complaints mechanism for cluster partners.
- ✓ Facilitate opportunities for proactive partner involvement and influence, while ensuring equal partner representation.

Adapted from *Cluster Sector Leader Training: Partnerships in Clusters* 2007
<http://www.humanitarianreform.org/Default.aspx?tabid=421>

The 2007 evaluation of the cluster approach highlighted, in particular, NGO concerns about loss of neutrality and autonomy in partnering with the clusters, unwillingness to be accountable to UN agencies, and concerns about being treated as 'implementing partners' rather than equals. These and other challenges in establishing and sustaining partnerships within the cluster may include:

- × **competition** – for visibility and funding
- × maintaining trust, promoting equal power relations, and **avoiding conflicts-of-interest**, particularly if the Cluster Lead Agency (CLA) channels funding to cluster partners or attempts to influence priorities
- × balancing the need for participation and inclusiveness with the **need for fast and effective response**
- × achieving **broad participation and accountability** – not all cluster partners can or want to engage, or be held accountable, in the same way
- × **conflicting mandates, interests, priorities**, and lack of trust between cluster partners
- × **perceived duplication in coordination** among cluster partners
- × **involving national organisations** and civil society in cluster work and building their capacity;
- × **working with national authorities** where government institutions are weak or are party to a conflict situation.

Typical nature of cluster partner participation*

60% – engage in information-sharing through junior staff

30% – engage in decision-making such as standard-setting through senior staff

5–10% – take on responsibility for cluster tasks such as steering or working groups.

** Derived from Education Cluster Coordinator Training*

Guidance on engaging and maintaining relationships with different partner groups within the cluster can be found in section 2.5.

Additional resources – on the accompanying CD

- 📖 OCHA (2005) *Emergency Field Coordination Training Participant Handbook: Leadership Style Questionnaire and Guidance Notes*
- 📖 IASC (2007) *Cluster Sector Leadership Training: Leadership In Clusters*
- 📖 IASC (2007) *Cluster Sector Leadership Training: Partnership In Cluster*
- 📖 GHP (2008) *Principles of Partnership: Success Criteria and Indicators*
- www.globalhumanitarianplatform.org
Website for the Global Humanitarian Platform

4.3 Managing and chairing cluster meetings

4.3.1 Planning and preparation

Investing time in planning and preparing for meetings will maximise use of the time available, and improve the meeting outcomes.

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

The Coordinator is required to attend a wide variety of meetings: cluster coordination meetings, meetings with government, inter-cluster meetings.

In each meeting her/his role may differ:

As the chair, the role is to facilitate the meeting in such a way that the collective knowledge and experience of participants is tapped into, while keeping discussions in line with the meeting's objectives.

As a partner, the role is to prepare for and engage constructively in meetings, so that results can be accomplished.

4.3.2 Cluster coordination meetings

The quality of cluster coordination meetings will significantly affect continuing attendance of cluster partners and the ultimate effectiveness of coordinating the education sector response. Key learning points include:

Make meeting attendance worthwhile; **for many cluster partners it is a voluntary activity** and one of many that they are asked to perform!

General advice:

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

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

Meeting preparation:

- ✓ **Give advance notice of meetings** – maintain a meeting schedule on the OneResponse or alternative Education Cluster website, as appropriate (see section 5.3). Include time and dates, contact details, and current and past agendas and meeting minutes.
- ✓ **Rotate the chair** – even if the venue cannot be rotated, rotating the chair helps to facilitate broad engagement and keep agencies involved.
- ✓ **Offer to rotate the meeting venue** – this needs to be agreed in the initial meetings and can help to keep agencies involved. However, maintaining the same time, and place, also avoids confusion and time for those attending. The hosting agency may also be responsible for

Is the proposed venue appropriate for all cluster actors?

National and local agencies have experienced security restrictions, or felt uncomfortable attending meetings within UN compounds or in expensive hotels that are used mainly by expatriates.

chairing and/or producing the minutes, taking the burden off the Coordinator.

- ✓ **Prepare people in advance** – circulate notes from the previous meeting and a clear agenda. Use appropriate channels for circulation, eg, use of Google groups for partners with Internet access, but possibly hand delivery for government counterparts.
- ✓ **Engage and confirm attendance of decision-makers** – encourage their involvement in meetings through maintaining regular, personal contact. If they cannot attend, ensure that key decision-makers receive a brief (one-page) written or verbal update of the meeting's outcomes.
- ✓ **Display updated visual representation of who is doing what, where and when** in the meeting, eg, maps, charts or matrices.

Key tips for a meeting agenda

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

During the meeting:

- ✓ **Restrict introductions** to representatives from new agencies.
- ✓ **Minimise discussion of old agenda items or policy**; refer people to previous meeting notes or display core information on posters, eg, cluster strategy, principles.
- ✓ **Limit discussion of detailed or specialised issues** to separate committee or working group meetings.
- ✓ **Avoid going round the table for updates** from partners; use agency reporting and monitoring mechanisms for tracking agency activity and limit discussion in meetings to an overall sectoral summary.
- ✓ **Review action points at the end of meetings** rather than the beginning, as most issues will come up anyway during the course of the meeting; this avoids time wasted by discussing them twice.
- ✓ Remind people to **update the contacts list**.

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

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

Following the meeting:

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

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

4.3.3 Facilitating meetings

An effective facilitator:

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

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

Meeting challenges	Strategies to address them
Getting the people you need to attend	Send out agenda in advance, clarifying who needs to attend and the purpose, timing and detail for each agenda item. Maintain personal contact with decision-makers.
Keeping time	Indicate timings in the agenda. Appoint a time-keeper. Invest in consultation before the meetings so that decisions can be taken more easily.
Dealing with aggressive partners	Determine the seating arrangement: do not place aggressive partners opposite each other, and mix people up so that the same people do not always sit together. Display agreed cluster principles, policies, standards, etc, to diffuse old arguments. Ask people to refer to minutes for previous decisions.
Hidden or conflicting agendas	Send out agenda in advance, clarifying who needs to attend and the purpose, timing and detail for each agenda item. Refer issues outside this agenda to an alternative forum for discussion. Invest in consultation before the meetings so that decisions can be taken more easily.
Language barriers	Simultaneous interpreting and translation Translated agenda, meeting minutes or notes, cluster strategy, plans, principles, policies, standards.
Making meeting outcomes productive	Send minutes or notes from the previous meeting with the agenda. Adopt action-oriented meeting minutes or notes. Follow up on actions before the next meeting.
Remaining patient while keeping focused	Send out agenda in advance, clarifying who needs to attend and the purpose, timing and detail for each agenda item. Limit inclusion of discussion to those items on the agenda; allow for further discussion through working groups.
Funding meetings and attendance	Incorporate cluster coordination costs within pooled funding appeals. Clear policy on attendance costs, eg, no <i>per diems</i> or payments for attendance, policy on reimbursement of travel costs. Allow for providing refreshments.

Chairing or co-chairing the cluster coordination meeting is likely to be a major challenge – balancing the need to be seen as neutral, independent, a good listener and open, with the importance of achieving the tasks facing the cluster. The emphasis of the Coordinator role is on bringing discussions to a conclusion through focusing on the meeting process as much as on the content of the discussions themselves.

4.3.4 Alternatives to face-to-face meetings

Meetings place a significant demand on people’s time and attention. This time can be used wisely through using alternative means of interaction:

Purpose of interaction	Key issues to consider	Alternatives to meetings
Information-giving Information-gathering Problem-solving Decision-making Lobbying	Is the information clearly presented and easily understood without interaction? Who needs to input to the discussion or decision? What means do they have to do this? Who needs to be committed to the outcome? How can this commitment best be encouraged?	✓ Phone or Skype calls ✓ Written memos or reports ✓ Email or fax messages ✓ Text or instant messaging ✓ Teleconferencing ✓ Online discussion forum, eg, Google groups, website chat facility ✓ Video

Additional resources – on the accompanying CD

📖 IASC (2007) *Cluster Sector Leadership Training: Smarter Coordination Meetings*

➤ Excellent range of tools and techniques for use in meetings:

<http://www.seedsforchange.org.uk/free/tools.pdf>

4.4 Negotiation, consensus-building and conflict resolution

4.4.1 Negotiation skills within the cluster

The Coordinator will be involved in negotiating directly with other people or groups regarding issues such as strategic priorities of the cluster or the location of meetings, or facilitating negotiations between conflicting parties concerning, for example, division of responsibilities. Understanding the process and skills of negotiation will contribute to a successful outcome in either situation.

Before entering negotiations, verify that the following conditions apply:

- There are conflicting interests rather than a temporary difference of opinion.
- There is joint interest in achieving a settlement.
- More than one potential outcome is possible.
- Both parties are prepared to make concessions.

When required to negotiate directly, the following guidelines can assist the process:

i) Prepare options beforehand

Before entering into a negotiation, consider:

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

Also consider:

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

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

ii) Draw out the other's perspective

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

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

Use active listening to gauge the issues of greatest importance to the other party, and which they are most likely to compromise on.

iii) State your needs

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

iv) Don't argue

Negotiating is about finding solutions, don't waste time arguing. If you disagree with something, state your disagreement in a gentle but assertive way, and offer an alternative suggestion. A power struggle is unlikely to be productive and may harm longer-term relations.

v) Consider timing

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

- *a high degree of anger on either side*
- *preoccupation with other issues*
- *a high level of stress or fatigue*
- *inadequate time on either side.*

Schedule negotiations to avoid these times, as far as possible. If they arise during negotiations, a break may be taken, or negotiations rescheduled to a better time.

It is also worth noting that conflicts of interest – and the negotiations around them – can often lead to more effective and sustainable solutions, because they draw in a much wider range of views and possible solutions. Therefore they should not necessarily be seen as something to be avoided.

4.4.2 Consensus-building in clusters

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

Consensus-building is a useful process for encouraging participation and ownership, and can lead to groups creating innovative solutions to complex problems. However, it is only one form of decision-making and is not appropriate when decisions are needed very quickly or the options are limited.

It is time-consuming, requires equal input and commitment, and can lead to conflict if no consensus is agreed. A key skill, therefore, is in assessing when it is important and appropriate to use consensus-building to reach a decision.

Key tips for effective consensus-building

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

Steps towards building consensus

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

Testing for agreement

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

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

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

When is consensus-building most useful?	When should consensus-building not be used?
<ul style="list-style-type: none"> ✓ When partners have perspectives and information of value to the decision-making, prioritisation and planning process. ✓ Provided there is buy-in, which is crucial to commitment, ownership of decisions and follow-through. ✓ If the way forward is in doubt and/or solutions are ambiguous. ✓ If solutions require interdependent action by stakeholders. ✓ If power, information and implementation is fragmented among many stakeholders. ✓ If stakeholders hold conflicting views yet unity on major decisions is required to uphold standards. ✓ When good relationships among key stakeholders are needed in the future. ✓ Provided the group is relatively small (up to 20) and has mutual understanding. 	<ul style="list-style-type: none"> ✗ If the problem is not complex, or solutions are highly technical, or clearly obvious, or options are severely limited. ✗ If humanitarian standards and objectives are being compromised or threatened. ✗ When another decision-making process is more efficient and effective. ✗ If stakeholders' views or interests are extremely politicised or highly polarised. ✗ If decision-makers are not at the table. ✗ When the group has insufficient information. ✗ If there is insufficient time for a full exploration of all views and for consensus to be reached.

4.4.3 Conflict resolution

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

- awareness of problems and encouraging change
- better decisions and more creativity
- heightened interest and energy in the group
- increased cohesiveness and clearing the air.

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

Skills of resolving conflict

1. **Recognise symptoms:** overt symptoms include: anger, disengagement, being quiet, body language, cliques forming, and arguments.
Hidden symptoms include: low energy, non-attendance, lateness or leaving early, mistakes, not socialising.
2. **Tackle it early:** left alone, conflict grows and spreads.
3. **Identify the causes:** sources of conflict include:
 - *Strategies* (lack of clarity; no common vision)
 - *Systems* (methods of communicating)
 - *Structures* (division of responsibilities; physical barriers)
 - *Cluster* (differing values)
 - *Individuals* (personalities, styles of working)
4. **Focus on core issue or problem:** avoid previous disputes or personalising issues.
5. **Consider each point of view:** use active listening.
6. **Invite suggestions on the way forward:** focus on solutions and building consensus.
7. **Check agreement of all stakeholders:** check back that everyone accepts the resolution.

Clarify expectations

Experience from clusters has shown that conflicts are reduced or more quickly resolved when the cluster has a clear Work Plan and Terms of Reference to guide discussions.


Dealing with 'impasse'

An impasse occurs when key stakeholders are unable to perceive effective solutions to their dispute or differences. People feel stuck, frustrated, angry and disillusioned. They may dig their heels in deeper, adopting extreme or rigid positions, or withdraw from the cluster altogether. Whatever the reaction, an impasse can offer an opportunity to negotiate a solution to the conflict. Therefore, rather than avoiding or dreading it, an impasse should be viewed with calm, patience and respect. It can be viewed as an indication of getting closer to a 'breakthrough'.

Techniques for breaking an impasse

- ✓ Remind all stakeholders of the humanitarian consequences of failing to reach an agreement, and the potential damage to longer-term relationships and cooperation.
- ✓ Find out where people stand and how strongly they feel.
- ✓ Retrace progress and summarise areas of agreements and disagreement.
- ✓ Confer and invite suggestions – use probing questions.
- ✓ Gather further information or ‘evidence’.
- ✓ Build consensus in mixed small groups, such as sub- or working groups, then get representatives to report to the cluster steering group.
- ✓ Set a time limit and then suggest the issue goes to a majority vote.
- ✓ Meet with primary disputants and ask them ‘What could be changed to facilitate your support?’
- ✓ Bring disputing parties together at a separate time and facilitate conflict resolution and problem-solving.

Additional resources – on the accompanying CD

-  Education Cluster Coordinator Training (2009) *Handout: Conflict Resolution and Consensus Building*, Global Education Cluster
- Useful detailed guidelines on consensus-building:
<http://www.seedsforchange.org.uk/free/consensus.pdf>

4.5 Developing team capacity

4.5.1 Team development

For teams to become high performing it takes time; time for people to get to know each other and assess each other's strengths and weaknesses. Teams don't just happen, they develop. There are a range of models illustrating the stages of team development. While the names and stages may differ, each model indicates that:

- there is a developmental process with a number of stages
- the developmental process is not necessarily linear
- the time spent at each of the stages may vary between groups
- having passed through one stage, a group may subsequently regress to it again
- a group may never reach the final stage and become fully developed.

The diagram below combines Tuckman's stages of group development, and Blake and Mouton's 'Managerial Grid'.²⁵

New groups		Time			Effective groups
		→			
PHASE:	1	2	3	4	
RELATIONSHIP	DEPENDENCY	CONFLICT	COHESION	INTER-DEPENDENCE	
Behaviour:	(Forming) <i>- group look to leader for support</i>	(Storming) <i>- about leadership, power and authority</i>	(Norming) <i>- testing of common goals emerges</i>	(Performing) <i>- a real team; relationships working well</i>	
TASKS	ORIENTATION	ORGANISATION	DATA-FLOW	PROBLEM-SOLVING	
Behaviour:	<i>- what are we here to do? - what are our goals?</i>	<i>- of rules, procedures, structures, roles</i>	<i>information and ideas begin to be received and shared</i>	<i>- effective team, high performance of appropriate tasks</i>	

Using Tuckman's model (below), consideration can be given to the differing responsibilities of the Coordinator, the likely leadership style, and tasks for the cluster at each stage of team development.

²⁵ Blake, R R and J S Mouton (1964) *The Managerial Grid*, Houston, Gulf Publishing Co.; Tuckman, B W (1965) 'Developmental Sequence in Small Groups', *Psychological Bulletin*

Stages of team development	Education Cluster Coordinator role
Stage 1: Forming The under-developed team	<ul style="list-style-type: none"> ✓ Advocate for, and reassure cluster partners of the importance, and value, of their involvement in the cluster (see section 2.5). ✓ Outline roles, responsibilities and expectations of involvement in the cluster. ✓ Quickly establish systems to enable cluster partners to get acquainted, collaborate, and exchange information and resources.
Stage 2: Storming The developing team	<ul style="list-style-type: none"> ✓ Clarify cluster structure and decision-making mechanisms (see section 2.4). ✓ Define guiding policies (eg, standards), systems (eg, information management [IM]) and targets (eg, strategic response plan). ✓ Offer opportunities for proactive involvement. ✓ Ensure follow-up on agreed actions. ✓ Recognise and support the capacity-building needs of smaller partners as far as possible (eg, IM systems, orientation on Inter-agency Network for Education in Emergencies [INEE] Minimum Standards). ✓ Facilitate the conflict resolution through open dialogue.
Stage 3: Norming The developed team	<ul style="list-style-type: none"> ✓ Facilitate broad involvement in ongoing cluster planning, resource mobilisation, IM, policy-setting, M&E. ✓ Acknowledge and encourage partner contributions. ✓ Delegate and provide support to working groups. ✓ Coach cluster coordination team members, including government counterparts as appropriate.
Stage 4: Performing The mature team	<ul style="list-style-type: none"> ✓ Seek feedback on performance and facilitate exchange of lessons learned and good practice. ✓ Extend partnership opportunities and external relations. ✓ Promote leadership opportunities for cluster partners. Facilitate opportunities for capacity-building.

Additional resources – on the accompanying CD

- Further information on team development and learning styles models, and other leadership, training and professional development tools
<http://www.businessballs.com/tuckmanformingstormingnormingperforming.htm>

5

Information and knowledge management

5.1	Managing information and knowledge in emergencies
5.2	OCHA and Education Cluster IM/KM responsibilities
5.3	Education Cluster IM/KM products
5.4	Reviewing performance and capturing lessons learned

This chapter provides guidance on the information and knowledge management functions within the Education Cluster, setting out what they involve, and the specific tools and systems available to support them.

They relate to the following responsibilities, as set out in the Education Cluster Coordinator's ToR:²⁶

- Ensuring that information is shared among cluster partners and between sectors/clusters in order to improve planning, integration and implementation. This includes contributing to regular Office for the Coordination of Humanitarian Affairs (OCHA) situation reports, and taking an active part in OCHA coordination meetings.

However, the cluster is not only reliant on the effective management of information. Of equal importance is the identification and sharing of knowledge, and application of lessons learned among cluster partners. This knowledge management function is also a key part of the Coordinator's role.

Key points

- Only request and collect the information needed for immediate decision-making, as it rapidly becomes outdated.
- Keep information management (IM)/knowledge management (KM) systems and products as simple as possible.
- Make provision for the translation needs and differing IM capacities of cluster partners.
- Build on existing Education Management Information Systems (EMIS).
- Prioritise IM/KM as an integral part of emergency preparedness.

²⁶ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

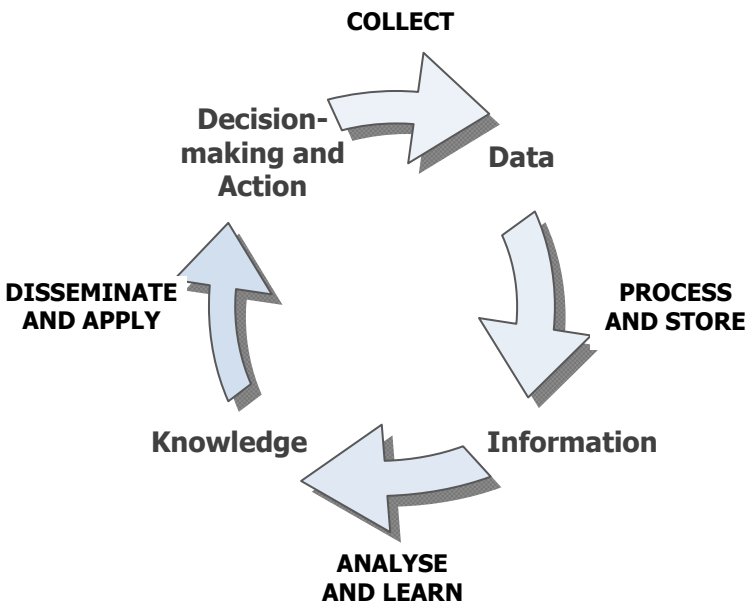
5.1 Managing information and knowledge in emergencies

5.1.1 Introducing information and knowledge management

Data about the emergency situation and needs of affected populations, and about the whereabouts and capacities of humanitarian response organisations, are crucial to effective decision-making in emergencies. This data needs to be 'organised' or processed to provide useful information, which in turn is interpreted or analysed and disseminated to ensure that the right information is available for the right people, at the right time to inform decision-making. This process of handling data and information is known as information management (IM).

However, in order to generate the right data, and critically analyse information to ensure the most appropriate actions are taken as a result, it is also important to draw on the collective interpretations, ideas and experiences of those involved in humanitarian action. Similarly, the knowledge gained from the experience in this emergency needs to be captured to inform learning in future emergencies. This process is known as knowledge management (KM).

Cycle of Information and Knowledge Management



What is information management?

Definition:²⁷

Information management (IM) is the design and application of tools, systems and structures to determine what information to share, with whom, for what purpose, and how.

Tips for managing information

- ✓ Only collect the data you need to guide immediate decision-making.
- ✓ Keep IM systems and tools as simple as possible.
- ✓ Involve sub-national level clusters and local and national partners in selection of data sets and development/adaptation of IM tools.
- ✓ Prioritise IM as part of emergency preparedness.
- ✓ Maximise capacity for IM by expanding partnerships.
- ✓ Preserve institutional operational memory through the active involvement of government and cluster partners.
- ✓ Build on IM systems within the education authorities.
- ✓ Use technologies that are appropriate to the context.
- ✓ Use open data formats and inter-operable technologies.
- ✓ Promote awareness of the importance of IM and training.
- ✓ Identify IM resource gaps and mobilise adequate resources.

See <http://www.reliefweb.int/symposium/> for complete details.

In the context of humanitarian emergencies IM provides an evidence-based, transparent basis for decision-making, and involves the collection, processing, analysis and dissemination of information. This cycle of IM should be guided by the principles of humanitarian information management and exchange in emergencies,²⁸ set out in the table below.

Information is the foundation on which decision-making for a coordinated and effective emergency education response is based.

²⁷ IASC (2007) *Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management*. Geneva: OCHA. p.1

²⁸ *ibid*

How does IM support effective humanitarian response in emergencies?

- ✓ It improves stakeholder capacity in undertaking analysis and decision-making through strengthened collection, processing, interpretation and dissemination of information at the *intra* and *inter*-cluster level.
- ✓ It helps to ensure that the relevant actors are working with the same or complementary information and baseline data, and that this information is as relevant, accurate and timely as possible. Properly collected and managed data will impair early recovery and emergency preparedness.
- ✓ It ensures that there is a comprehensive picture of the situation, allowing for complete and accurate analysis, rather than partial or piecemeal sets of data and information.

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

What is knowledge management?

Definitions:

Knowledge can be defined as familiarity gained by experience, eg, of a thing, person, fact.

Knowledge Management (KM)²⁹ comprises a range of strategies and practices (eg, systems and tools) used by an organisation to identify, share, and enable use of insights and experiences. Such insights and experiences comprise knowledge, either embodied in individuals or embedded in organisational processes or practice.

Within the context of the Education Cluster, KM is a critical part of the needs assessment, strategic response planning, monitoring and learning processes, including the identification, documentation, dissemination and use of the knowledge held by cluster stakeholders.

5.1.2 Information/knowledge management preparedness

The importance of establishing some IM/KM capacity and reaching agreement on common tools and standards before emergency strikes cannot be overstated. The acute post-emergency phase is not the time to start trying to agree information management requirements, standards and practices.

“The importance of preparedness activities cannot be overstated – where they occur, the success of needs assessments is far more likely.”

OCHA inter-cluster needs assessment meeting in 2009

A useful first step in preparing for IM/KM needs is to establish an Information/Knowledge Management Working Group within the cluster. Tasks that the group can address include:

Coordination

- Define ToR for the group and set priorities within an overall IM/KM strategy for the cluster.
- Agree on roles and responsibilities for information and knowledge management.
- Establish systems for information exchange.
- Compile and maintain an overview of available capacity and resources and identified gaps in the provision of emergency education, taking into account national education capacities.
- Identify suitable translation and interpreting services.
- Agree formats for inter-operability (IT, statistical).

²⁹ Abridged Wikipedia http://en.wikipedia.org/wiki/Knowledge_management

- Encourage agreement to standard IM formats and tools, eg, *Education Cluster Joint Needs Assessment Toolkit*.
- Define methods for data collection.
- Agree on methods and regularity for lesson-learning exercises and sharing of experiences.

Set standards

- Agree common standards in consultation with OCHA and other clusters (eg, geographical data, P-codes).
- Agree units of measurement (eg, community/school level, household/individual level).
- Define pre-crisis baseline data.
- Agree indicators, including proxy indicators,³⁰ taking into account national standards or guidelines as well as existing globally agreed standards such as the Inter-agency Network on Education in Emergencies (INEE) Minimum Standards (see section 3.1.3 for further details).
- Agree standard terminologies and definitions (eg, child, internally displaced person [IDP], school, affected population).
- Establish file-naming conventions.
- Agree age groupings (eg, child = 6 to 12 years).
- Agree categories for classification
- Consistently disaggregate information by sex and age in order to inform more accurate understanding of situations and, accordingly, a more accurate response.

These tasks are considered in more detail in the content of this chapter and the subsequent chapter (6) on needs assessments.

5.1.3 Tackling information challenges

There are likely to be challenges in all aspects of IM/KM, particularly when the communications infrastructure is weak.




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

³⁰ An indirect measure that approximates a phenomenon in the absence of a direct measure eg, housing conditions as a proxy indicator for Early Childhood Care and Development

Common challenges	Strategies for managing information
<ul style="list-style-type: none"> × Not knowing what information is needed in order to make a decision, or what data to prioritise 	<ul style="list-style-type: none"> × Adopt a structured approach to planning and decision-making so that information requirements are broken down. × Identify the data/information needed to facilitate immediate decision-making. × Consider the impact of decisions under consideration, eg, how many people will be affected. × Link selection of data to indicators or proxy indicators that will enable monitoring of cluster objectives or decisions.
<ul style="list-style-type: none"> × Constantly changing context (needs, gaps). 	<ul style="list-style-type: none"> × Limit requirements for information quantity: only work with information that you can and will use at that point in time. × Regular communication will help build networks and relationships, and gather up-to-date information.
<ul style="list-style-type: none"> × Difficulties or delays in data collection and release. 	<ul style="list-style-type: none"> × Keep demands for information simple and to a minimum, eg, ensure forms are easy to download and return, and easily and quickly completed. × Facilitate verbal reporting, particularly at sub-national level. × Give consideration to constraints such as access, security, sensitivities, time and cost. × Support the role of community-based surveillance mechanisms such as school attendance.
<ul style="list-style-type: none"> × Government reluctance to share information, owing to concerns over quality, accuracy, and not getting assistance 	<ul style="list-style-type: none"> × Provide guidelines on information quality. × Make it clear that late or poor information is likely to decrease opportunities for funding and support.
<ul style="list-style-type: none"> × Manipulation of information, eg, political, financial, cultural 	<ul style="list-style-type: none"> × Establish agreed standards for the accuracy and reliability of information, eg, need for triangulation, highlighting bias.
<ul style="list-style-type: none"> × Demands for information from a diverse range of actors 	<ul style="list-style-type: none"> × Adopt simple tools for gathering information: get cluster input to requirements and practicalities.
<ul style="list-style-type: none"> × IM clashes with other priority activities 	<ul style="list-style-type: none"> × Source administrative and IM/KM support. × Demonstrate the value of information sharing by creating quality products and services that benefit cluster members.

<ul style="list-style-type: none"> × Limited or lack of IM/KM skills 	<ul style="list-style-type: none"> × Devolve the processing and analysis of information through working and technical groups, eg, mapping capacities and resources. × Seek support from OCHA (IM focal point) or other cluster IM focal points in orienting and supporting the Education Cluster IM focal point to build their capacity and understanding of their role.
<ul style="list-style-type: none"> × Cluster partners fail to report or provide information when required 	<ul style="list-style-type: none"> × Fully explain the purpose and benefits of IM/KM to the cluster and individual partners who are failing to provide the information needed. × Facilitate updating of previous information rather than submitting new reports every time. × Providing information to cluster partners when they need it will help encourage the completion of updates. × Source administration support to follow-up late information.
<ul style="list-style-type: none"> × Poor or one-way information exchange between national and sub-national level clusters 	<ul style="list-style-type: none"> × Develop communication and IM systems that take sub-national level constraints into account, eg, internet access, operating software, time, language.
<ul style="list-style-type: none"> × Data is not always disaggregated by sex and age 	<ul style="list-style-type: none"> × Orient cluster partners on the need for disaggregated data and provide training if required. × Develop IM tools that prompt the need for disaggregated data.
<ul style="list-style-type: none"> × Mistakes are repeated 	<ul style="list-style-type: none"> × Facilitate the collection and sharing of experience and lessons learned to allow cluster partners to share good practice and learn from each other's experiences.

Additional resources – on the accompanying CD

-  Education Cluster Coordinator Training (2009) *Handout: Principles and best practice in Information Management*
-  Global Education Cluster (2009) *Draft Knowledge Management Strategy for the Education Cluster, Annex D: Education Cluster Handover Notes template*
-  IASC (2007) Cluster Sector Leader Training: *Information Management Tip Sheet*
- OCHA web portal providing information on all clusters and all disasters: <http://onerresponse.info/AboutUs/Pages/About%20Us.aspx>
- OCHA website supporting inter-agency access to IM tools and services: <http://www.humanitarianinfo.org/>

5.2 OCHA and Education Cluster IM/KM responsibilities

5.2.1 IM responsibilities at country level

An Inter-Agency Standing Committee (IASC) Guidance Note sets out the responsibilities of Cluster Lead Agencies (CLAs) and OCHA for managing information at country level. Broadly:

- The CLA(s) have responsibility for meeting the IM needs to ensure an effective **education sector response**.
- OCHA has responsibility for meeting the IM needs for an effective and coordinated **inter-cluster response**.

IM responsibilities of the CLA

a. Establish necessary IM systems and tools –

main responsibility of the CLA and Education Cluster Information Manager or IM focal point.

- ✓ This includes establishing effective mechanisms for communication, information exchange and sharing learning between the national and sub-national levels of the cluster.

In addition, the CLA has responsibility for:

- ✓ securing the financial and human resources needed to meet the IM and KM demands of the cluster
- ✓ identifying and recruiting appropriate IM/KM staff
- ✓ building and maintaining the relationships needed at global, national and local levels to facilitate effective and coordinated IM/KM.

b. Generate and share cluster-specific information –

responsibility of the Coordinator, Information Manager or IM focal point, and all cluster partners.

- ✓ Generate and share cluster-specific information, which will include:
 - cluster ToR and details of cluster partners and stakeholders
 - strategic response plan including objectives and indicators
 - details of who is doing what where, including maps
 - situation reports and progress updates
 - communications, eg, emails, letters, press releases
 - meeting outcomes
 - developing/adapting standard formats and tools
 - policy guidelines and technical guidance, eg, standards

- data sets, outcomes of needs assessments, and gap analysis
- plans, reviews and evaluations
- funding status of response plan and funding gaps
- lessons learned and good practice.
- ✓ Support the identification of pre-crisis and in-crisis baseline data, standards and indicators as appropriate to the context.
- ✓ Manage analysis and interpretation of needs assessment information.
- ✓ Facilitate collection, analysis and dissemination of cluster partner experience, lessons learned and good practice.

c. Contribute to inter-cluster IM coordination –

responsibility of the Coordinator, Information Manager or IM focal point.

- ✓ Coordination activities will include:
 - mobilising IM resources and capacities
 - participation in the OCHA-led information management network
 - contribution to inter-cluster coordination and information exchange led by OCHA
 - adhere to Global Education Cluster, inter-cluster, and government IM standards, eg, disaggregated (by sex and age) data requirements
 - generating and sharing up-to-date education-specific information within the cluster and with OCHA
 - ensuring adherence to data protection and confidentiality requirements in the use and storage of information
 - identification of education-specific information needs within the cluster, and for other clusters and stakeholders
 - influencing other key clusters to collect, use and manage education-related information, eg, school water and sanitation needs
 - working with education authorities to build on existing Education Management Information Systems and develop local IM capacity, including developing a plan for ongoing management and archive of cluster data, information, knowledge and resources
 - building and maintaining relationships at global, national and sub-national levels to facilitate effective and coordinated IM
 - facilitating training in IM for government and cluster partners.
- ✓ Evaluate the effectiveness of IM systems and tools in collaboration with OCHA and cluster partners, and document lessons learned.

IM responsibilities of OCHA

IM is one of the four main competencies in which OCHA supports inter-cluster coordination (see section 2.6 for further details of OCHA's role). It has the main responsibility of coordinating the flow of information between the clusters and the government authorities.

Full details of OCHA's IM responsibilities can be found in the IASC Guidance Note included in 'Additional resources' listed at the end of this section. In summary, its role is to:

a. Support coordinated information between clusters

- Provide general humanitarian and country information including sex- and age-disaggregated demographic data.
- Suggest and share databases, data sets, eg, P-Codes, map projections.
- Facilitate cross-cluster needs and gap analyses, eg, inter-cluster joint needs assessments
- Collect, disseminate and coordinate inter-cluster information, eg, Flash Appeal, Consolidated Appeals Process (CAP).
- Establish a country-specific inter-agency website platform to act as a portal for cluster-specific operational coordination, eg, One Response, Humanitarian Information Centre.
- Develop standardised information products, eg, contact directories, meeting schedules, Who, What, Where (3Ws), situation reports.
- Provide data on humanitarian funding requirements and contributions through the UN Financial Tracking Service (FTS).

b. Support operational analysis

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

c. Establish an Information Management Network

involving the IM focal points from all clusters.

5.2.2 Addressing IM capacity requirements at country level

Experience has shown that effective IM is critical to the education sector response and cannot be managed by the Coordinator alone. **The importance of a full-time Information Manager or IM Focal Point, working at national level within the cluster, cannot be overstated.** Furthermore, cluster stakeholders have recommended identification of IM focal points among cluster

partners at sub-national levels.³¹ Meeting the cluster’s IM human and financial resource requirements will need CLA support.

Even with dedicated IM support within the cluster, it is important to recognise that somebody with IM expertise cannot necessarily fulfil all of the information and knowledge management functions within the cluster, eg, analysis of education information. Additional expertise will need to be identified either among cluster partners, through the Education Cluster Unit (ECU) at global level, or externally through OCHA, the CLA(s), other clusters, or the private sector.

In addition, consideration should be given to a range of other IM/KM-related services that the cluster may need to draw on, depending on the nature and scale of the emergency, for example:

GIS or mapping specialists	Data entry and analysis staff	Translators and interpreters	Needs assessment experts	M&E specialist
Communications or media relations	Web designer/ developer	Database specialist	Knowledge management experts	Reports Officer

Finding funding for specialist capacities will have to be addressed as an integral part of funding the coordination function of the cluster. See section 8.2 for further details.

A dedicated Information Manager or IM Focal Point

Ideally deployed or identified at the same time as the Coordinator, an Information Manager or IM focal point is needed to take lead responsibility for the cluster’s IM needs, and represent the Education Cluster within the inter-agency Information Management Network.

An Information Manager or IM focal point plays a critical role in the early response, in adapting standardised IM tools and systems to the emergency context, collating data, maintaining the web portal and other information flows, training cluster partners (including government) in the use of IM tools, and explaining the importance of IM in cluster response planning and implementation.

IM in Mozambique

IM functioned effectively in Mozambique during the 2008 floods owing to a number of factors. The most significant was the presence of staff from both lead agencies dedicated to IM, for the duration of the response.

A detailed account of this case study is included in 'Additional resources' listed below.

³¹ Houghton, R,(2008) *Education Cluster: Country-level Lessons Learned Review*


It will also be important to identify someone with knowledge management expertise to support the Information Manager/IM focal point, if required, particularly during needs assessments and evaluation processes.

However, in some emergency contexts it may not be possible to recruit an Information Manager. In these situations an IM focal point will need to be identified among partner agencies within the cluster. Additional IM support may also be sourced through other clusters, the ECU, or external sources such as government, academic or research institutions, or the private sector. Ultimately the Coordinator will be required to undertake the IM function if there is no one else available.

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

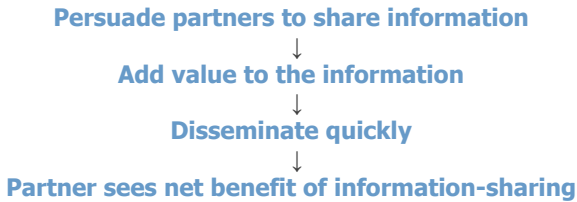
Building relationships at country level for effective IM

Relationships are crucial for effective IM. The greatest resources available to the Coordinator in generating the information and knowledge required to inform cluster decision-making are the individuals and institutions involved with the emergency response.

Sharing information and knowledge				
– degrees of sharing and coordination and what to aim for				
Degree of coordination :	low level  high level			
Joint needs assessments and monitoring	Each does own assessment – does not share information	Each does own assessment – and shares information	Each uses agreed tools – and shares information	Joint assessments and effective information exchange
Response planning and resource mobilisation	Information stored in agency files	Information influences individual agency decision-making	Information shared and used for joint planning	Common plans and joint budgets agreed on basis of shared information
Learning and good practice	Knowledge is retained by individuals but not recorded or shared within their agency	Knowledge is recorded and shared within individual agency and informs agency practice	Good practice and lessons learned are shared between agencies	Joint lessons learned exercises generate good practice and lessons learned which are used as the basis for joint planning

A culture of sharing can only be developed if requests for information by the cluster take partner capacities into account, and are matched by timely dissemination of relevant information to all cluster partners in an accessible and user-friendly format.

The model below illustrates the 'virtuous cycle of coordination'. This works on the basis of adding value to information so that partners and stakeholders see the benefit in sharing information and coordinating, and are encouraged to continue.



IM/KM capacity of cluster partners

IM may be a weakness for partners, leading to errors and inaccurate, insufficient or false data. Developing a strategy to improve cluster partners' IM capacity, and to support their IM/KM needs, is as important as developing the IM/KM tools themselves.

However good the clusters' tools, it is the data that makes them useful.

Building cluster partner capacity in IM/KM may be essential to ensuring effective management of information.

Actions to build IM capacity

The Information Manager/IM focal point, supported by the Coordinator, will need to:

- ✓ identify and address IM capacity-building needs of cluster partners, eg, through training, mentoring with more experienced or better-resourced organisations, sharing systems
- ✓ assist cluster partners to meet cluster information needs through minimising requirements, adopting simple tools, and providing timely, relevant information to meet their own coordination needs
- ✓ develop dissemination systems and national and sub-national level cluster communication structures that facilitate verbal or SMS feedback and accommodate field constraints in attending meetings, accessing the Internet and email, and writing lengthy reports or updates.

Government and cluster partners, including cluster staff, may need training on IM tools and systems, both in order to use them with confidence, and to adapt them as appropriate for their needs and the evolving situation. In addition, all cluster stakeholders need to be oriented on the importance and value of knowledge

exchange, and clearly understand their role in the collection and dissemination of data, information and knowledge. This can be made explicit in the cluster terms of reference.

In disaster-prone areas, it is critical to facilitate such training before the onset of an emergency. Unsurprisingly, a 2008 World Bank study of humanitarian IM systems found that “investments in disaster information management systems are far more likely to be effective if they are accomplished in advance”.

Additional resources – on the accompanying CD

- 📖 IASC (2008) *Operational Guidance on Responsibilities of Cluster/Sector Leads and OCHA in Information Management*, OCHA
- 📖 Education Cluster Coordinator Training (2009) *Handout: Case Study – Information Management in Mozambique Floods*

5.3 Education Cluster IM/KM products

5.3.1 Overview of IM and KM products

The Global Education Cluster and OCHA have developed a range of systems and tools to support the Information Manager/IM focal point and Coordinator in **generating and sharing cluster specific information**. The table below provides an overview of the types of information and knowledge needed by a range of cluster stakeholders and the products available to meet these needs.

Local adaptation of Education Cluster IM/KM products and services will always be needed to serve emergency-affected populations in the most appropriate way. Periodic assessment of tools and services will also measure their effectiveness in generating the information needed, and in appropriate use of knowledge acquired.

Cluster-specific information	IM/KM products	
Needs assessment	Education Cluster Joint Needs Assessment Toolkit	Covered in Chapter 6
Capacity assessment	OCHA 3W Education Cluster 3W (Tool 6 in Joint Needs Assessment Toolkit) Education Cluster Capacity Assessment and Preparedness Tool	Covered in Chapter 6
Strategic response planning	Strategic response plan Humanitarian Common Action Plan (OCHA)	Covered in Chapter 7
Situation and progress monitoring	Education Cluster Joint Needs Assessment Toolkit Strategic response plan (basis for monitoring cluster objectives and indicators)	Covered in Chapter 6
Contact information General communications, eg, emails, press releases, Meeting management	OCHA Contact Management Directory Website or portal (see text box in section 5.3.2 below) Yahoo or Google groups	section 5.3.2

Standard forms /templates Policy guidelines, standards and technical information	Website or portal , eg, Humanitarian reform or OneResponse for storage and dissemination Education Management Information System (EMIS)	section 5.3.2
Reports and updates	Education Cluster sit reps Humanitarian Sit Reps (OCHA)	section 5.3.3
Evaluations, reviews, lessons learned	Education Cluster Capacity Assessment and Preparedness Tool Website or portal Education Management Information System (EMIS) INEE, ECU at global level	section 5.4

5.3.2 Contacts and communications

Managing contact information

In many emergencies contact lists start as Excel spread sheets and then grow into more complex databases. To ensure consistent and up-to-date information, and avoid duplication of effort, it is advisable to use the Contact Management Directory function within the OCHA 3W database.

This is accessed in the same way as the OCHA 3W's application, through issue of a user name and password, and has similar advantages in overcoming the need for large amounts of data entry by the Coordinator or Information Manager/IM focal point, by facilitating direct data entry by cluster partners.

However, some provision will need to be made for collecting and updating contact information for national and local partners without direct or easy access to the Internet. Similarly, in emergencies where OCHA is not present or an OCHA-managed inter-agency web platform is not available, alternative arrangements for collecting, storing and updating contact information will be needed.

In some instances there may be security issues associated with the distribution of contact information and it is advisable to consult with the OCHA Head of Office or Humanitarian Coordinator (HC) for guidance.

Managing web-based information

Information and knowledge management products may be stored, disseminated and exchanged via an appropriate website, such as an OCHA-managed inter-agency web platform or an Education Cluster Google or Yahoo group.

OCHA OneResponse inter-agency web platform

OneResponse is a collaborative inter-agency website designed to enhance humanitarian coordination within the cluster approach,
<http://onerresponse.info/GlobalClusters/Pages/default.aspx>

Humanitarian Information Centres (HICs) also support the coordination of humanitarian assistance – particularly in chronic emergencies, through the provision of information products and services. HICs are being replaced by country-specific pages within the OneResponse web platform,
<http://www.humanitarianinfo.org/index.html>

Designed to support low bandwidth users, these platforms overcome some of the problems in enabling access to information for local cluster partners. In the longer term, provision should be made for moving stored information and knowledge products to an existing EMIS or similar national facility (see section 6.3 for details of EMIS).

For all web-based information:

- ✓ Consider confidentiality, security, timeliness, sensitivity and quality in the publication of web-based documents and images.
- ✓ Adopt clear naming conventions (metadata tags) to assist in describing, managing and locating information.
- ✓ Highlight new information and resources to draw attention.
- ✓ Maintain clear signposting of folders and documents, eg, folders for historical documents in chronological order, means of highlighting current versions and new information.
- ✓ Conform to agreed inter-cluster standards and protocols for shared websites.
- ✓ Designate responsibility for posting and managing web-based documents and resources, and managing the membership.

File naming

Adopting a user-friendly file-naming convention will help cluster stakeholders to more easily find the data, information and knowledge they need.

- ✓ Ensure file names are meaningful – avoid abbreviations.
- ✓ Put dates at the end of the name in the yy-mm-dd format.
- ✓ Put key elements of the file name at the start and the rest in a logical sequence.
- ✓ Put the version number at the very end.
- ✓ Use similar file names for related documents.
- ✓ Keep file names as short as possible.

Selection of appropriate means of communication and information exchange will be influenced by the emergency context, the nature of cluster partners, and personal preferences of the Coordinator.

Past cluster experience has highlighted advantages and disadvantages of different methods of communication:

Method of communication	Advantages	Disadvantages
Interactive website or platform , eg, OneResponse	<p>Accessible for all clusters. Cluster partners working in several sectors have one source of information.</p> <p>Facilitates OCHA's role in coordinating information.</p> <p>Facilitates inter-cluster collaboration, eg, procurement, cross-cutting interventions.</p>	<p>Some partners will be unable to access information.</p> <p>May have limited use at field level where detailed coordination is needed once interventions begin.</p>
Email lists	<p>Quick, enables information-sharing with large numbers of people.</p> <p>Does not require direct contact. Likely to reach most partners, including government.</p> <p>Use of a mailing list server enables information to be targeted at the right people and puts some responsibility on the end-user for subscribing to the list.</p>	<p>Reliant on Internet access</p> <p>Email lists quickly become outdated and very long.</p> <p>Needs to be administered to limit what is being sent and to whom.</p> <p>Can overload users with information that is not always relevant.</p>
Google or Yahoo groups	<p>Good alternative to meetings; enables sharing and storing information, and facilitates non real-time critical discussion within the cluster.</p> <p>Useful central platform if no inter-agency web platform available.</p>	<p>Limited membership size will exclude some partners.</p> <p>High turnover of actors means a lot of administration is needed.</p> <p>Reliant on reasonably good Internet access.</p> <p>May not be acceptable in environments with strong government control.</p> <p>Local cluster partners may be excluded owing to unfamiliarity with discussion groups, or with the language adopted for online discussions (some</p>

		groups have a translation facility).
Telephone contact	Reaches national and local partners. Enables immediate exchange of information, discussion, decision-making. Can be used in most environments.	May be expensive or unreliable. Some local cluster partners may not have direct access to a phone. Can be time-consuming. More difficult to delegate to other cluster staff or partners.
Hand-delivered messages	Reaches national and local partners. Familiar method of communication at community level. Easily translated.	Slow, expensive and time-consuming. Not interactive – need a mechanism to allow people to respond.
Public meetings, eg, in schools	Potential to reach national and local partners if easily accessible. Familiar method of communication at community level. Easily translated.	Time-consuming In early response, when information changes very quickly, it can be hard to capture this through meetings. Can be dominated by powerful interests, strong personalities.
Posters	Reaches national and local partners. Easily translated. Useful for communicating standards, strategies, etc.	Slow – not suitable for daily information exchange. Not interactive – need a mechanism to allow people to respond.
Media (local newspapers, local radio, TV)	Useful for sharing public information, engaging community interest, and lobbying. Easily translated and can reach a wide range of people.	Expensive and can be slow and time-consuming to arrange. Care needed in use of language and information being shared (as reports can be read and re-interpreted by anyone). Cluster has no control over what is ultimately reported. Not interactive.

5.3.3 Reporting

Reporting by the Coordinator and cluster partners is required for:

- **coordination** – so stakeholders inside and outside the education sector are aware of coverage, resource availability, progress and results
- **predictability** – so that the HC/RC and CLA(s) are aware of situational developments, progress and gaps
- **accountability and transparency** – to the affected population, government, donors and cluster partners, for funding, progress and effectiveness of education interventions
- **advocacy and public information** – to mobilise resources and raise awareness of key issues
- **learning** – to share performance outcomes and good practice.

Using a Situation Report as the core report and the basis for other reporting can help to streamline reporting requirements. A Situation Report can also be useful in capturing up-to-date *situational analysis* for use in advocacy and public information efforts.

Avoid asking for information that is not needed. Cluster partners may already have onerous reporting requirements to their own organisations, the communities they support, the host government and to their own donors.

Reporting responsibilities within the cluster

Regular reporting between the Coordinator and cluster partners, between national and sub-national levels within the cluster, and between the Coordinator and the CLA(s) is essential.

Reporting to the Humanitarian Cluster Team (HCT) is generally undertaken by the Head(s) of Education CLA(s). The Coordinator will need to facilitate regular collation, analysis and reporting on the education situation and collective progress and outcomes. As a minimum, in the immediate response there must be a mechanism for reporting on rapid joint needs assessments, and receiving and circulating individual cluster partner reports (see section 6.3).

The Coordinator is also responsible for reporting to the CLA(s) regarding its ability to fulfil the cluster obligations, including that of provider of last resort (PoLR).

The format for this reporting, and reporting directly to the HC/RC, will depend on the particular context and individuals involved, eg, verbal reports, situation reports, or other formats. Government staff and other humanitarian actors will also have limited time to access reports and extract the necessary information.

The principle reports that may be required include:

Report	Purpose	Produced by	For
Education Cluster sit reps /Humanitarian sit reps	Updates of the emergency situation and its impact on education. Communicate education and cross-cutting needs and priorities, collective progress, results, and constraints.	Coordinator/IM focal point	All cluster partners and input to Humanitarian Situation Report
Education Cluster needs assessment, 'Who, What, Where' (3W) and monitoring reports	Updates of the local emergency situation. Communicate education and cross-cutting needs, capacities, gaps and priorities, collective progress, outcomes, resource allocations, and constraints.	Coordinator/IM focal point	Cluster partners, OCHA, government partners, affected communities
Funding, financial and narrative reports	Inform donors of cost, progress, outcome and impact of funded interventions.	Coordinator	Cluster partners, OCHA, other clusters
Education Cluster reports to the CLA	Updates on cluster coordination, implementation, and constraints in relation to the CLA responsibilities.	Coordinator	CLA, HC/RC
Notes or minutes from cluster coordination meetings and sub-/working group meetings	Record key issues discussed, decisions, actions, responsibilities and deadlines agreed and delegated.	Minute-taker and meeting chair	Cluster partners

Disseminating reports to others

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

- ✓ Upload reports to the OCHA inter-agency web platform.
- ✓ Retain historical reports on the website, using clear, chronological archive folders.
- ✓ Circulate reports electronically, ensuring that they are accessible with the most basic operating systems and older versions of software.
- ✓ Facilitate access to hard copies for organisations with unreliable or no access to email or the Internet.
- ✓ Facilitate cluster partner or stakeholder (including affected communities) meetings or workshops to discuss findings.

- ✓ Produce summarised details of key information for public dissemination through notice boards, radio and press updates.

Inter-cluster reporting

Input to Humanitarian Situation Report (see text box below) is also required, using a standard **Situation Report Input Form** developed by OCHA. It is useful to schedule cluster reporting to feed into this process.

Humanitarian Situation Reports

The Humanitarian Situation Report is a concise public document intended to support the coordination of humanitarian response in an acute crisis. It pulls together information from all of the clusters to provide a snapshot of current needs, response and gaps in a given emergency.

The Humanitarian Situation Report should avoid mentioning the achievements of specific partners and refer to the response of the education sector as a whole. This will avoid perceived favouritism and competition among partners.

The clusters, sectors and cross-cutting areas included will reflect the structure of the humanitarian response in any given emergency.

- **Process:** The OCHA reports officer and Education CLA identify a reporting focal point and agree a reporting schedule.
- **Frequency:** Varies depending on the situation. May start as daily reporting, and then move to every second or third day.
- **Contents** (5 sections):
 - Humanitarian needs
 - Humanitarian response
 - Gaps and constraints
 - Numbers and sources
 - Cross-cutting issues
- **Length:** As short as possible. All together, the content of sections C, D and E for the Education Cluster should not exceed 200 words.

Templates and detailed guidelines are included in 'Additional resources' listed at the end of this section.

Writing reports

Where a reporting format is provided, use it. This saves time that would be wasted in providing unnecessary information, or follow-up information that is requested later. Introducing minute- and note-taking at all cluster meetings (national, sub-national and working groups) will assist in ensuring the views of different stakeholders are recorded and represented.

How to ensure that reporting is useful and reports are read

When reporting for a diverse range of stakeholders, consider the following points in effectively getting information across:

- ✓ **Keep reporting simple, relevant, timely** and to a minimum.
- ✓ **Clearly outline key information** and recommendations.
- ✓ **Use information that is reported** to the cluster, or don't ask for it.
- ✓ **Report outcomes and impact**, not just activities undertaken.
- ✓ **Report progress as a proportion of overall need.**
- ✓ **Avoid use of acronyms and abbreviations** and technical and specialist terminologies and concepts.
- ✓ **Maximise the use of visual imagery** while maintaining small file sizes wherever possible, eg, maps, photos, diagrams and drawings.
- ✓ **Proofread** for spelling, grammar, page-numbering and presentation.
- ✓ **Translate reports and use appropriate language** for local actors, communities.
- ✓ Give **upward and downward reporting** equal priority.
- ✓ **Follow up late reporting** with cluster partners.
- ✓ **Circulate reports widely**; post on the web site, circulate electronically and in hard copy as required.
- ✓ Put in place a **mechanism for dealing with complaints** from cluster partners who disagree with the contents of reporting.

Additional resources – on the accompanying CD

- 📖 Education Cluster Padang (2009) *Sample Education Cluster Sit rep*
- 📖 OCHA (2009) *Humanitarian Situation Report*
- 📖 OCHA (2009) *Cluster Situation Report – Input Form*
- Wide range of OCHA IM templates and best practices examples:
<http://onerresponse.info/resources/imtoolbox/Pages/default.aspx>

5.4 Reviewing performance and capturing lessons learned

5.4.1 Reviewing Education Cluster performance

The process of reviewing cluster performance will involve the collaborative effort of global and national level cluster partners, including government. The ECU plays a role in supporting the facilitation of performance review, and in ensuring that good practice and lessons learned are shared with cluster partners and other stakeholders globally.

Country-level review and lessons learned

The purpose of a cluster performance review is to link overall effectiveness of the education in emergencies response with cluster performance including outputs (coverage of needs, quality of delivery) and coordination processes.

This is important in:

- ✓ understanding the impact of utilisation of the cluster approach on the progress and outcomes of the emergency education response
- ✓ giving people from the different stakeholder groups an opportunity to reflect on how well they are working together and whether the cluster is working effectively for them
- ✓ finding ways to improve cluster performance, and sharing ideas and learning around good and bad practice with others.

Cluster partners should play an active role both in defining the process and terms of reference for a review, and in contributing to the review process itself. The review can be undertaken through:

1. **a lessons learned exercise** – this generates knowledge from the experience of cluster stakeholders in managing and participating in the cluster. This knowledge is compiled and disseminated following the exercise and can be used to make modifications and improvements in cluster operations, and in other similar cluster contexts.
2. **a real-time performance review** – which generates knowledge in the same way, but this knowledge is fed back to the review participants during the course of the evaluation field work itself.

Reviews are organised through the ECU and facilitated by an external consultant, ECU staff member, or Global Education Cluster agency.

Performance indicators

The ultimate success of the cluster approach and country-level clusters will be judged primarily on the extent to which education needs identified in major emergencies are met in a predictable, timely and effective manner, in line with agreed standards.

Indicators should be developed around:

- partnership and inclusion
- preparedness and planning
- coverage
- advocacy and resource mobilisation
- capacity-building
- quality of response.

Suggested indicators for an 'effective cluster' were put together by participants involved in the Education Cluster 'Country-level Lessons Learned Review' in 2008³².

Many of the weaknesses highlighted in the review are also characteristic of other clusters, and reflect the constraints of the wider humanitarian reform process, particularly in relation to the ambitious timescale for institutional change, and limited availability of resources to support this change process. Key concerns include:

Areas of weakness	Lessons learned
Coordination and partnership	Partnerships with national and local partners, particularly government authorities, are critical. Improve horizontal linkages with existing emergency coordination mechanisms and other clusters for consistency in standards, attention to cross-cutting issues, and efficiency in use of resources. Strengthen vertical (intra-cluster) linkages between national and sub-national levels to facilitate closer communication and improved IM.
Cluster leadership	Agree clear ToR for country-level CLA arrangements and for cluster partners, to avoid delays and misunderstanding in the acute response phase. Ensure clear separation of cluster coordination and agency roles in the CLA(s).
Preparedness and	Pay greater attention to preparedness and DRR

³² Houghton, R,(2008) *Education Cluster: Country-level Lessons Learned Review*, Annex 3

disaster risk reduction (DRR)	measures, and in particular local capacity-building. Ensure effective linkage between the Education Cluster, cluster partners, and other cluster contingency plans, and timely capacity assessments, agreement of roles and responsibilities, commissioning of IM systems, and pre-positioning stocks.
Capacity-building	Address gaps in understanding about the cluster approach and education in emergencies among cluster partners, including government, and particularly at sub-national level. Advocate for senior-level buy-in and support for the cluster within CLA(s).
Information/knowledge management	Advocate for dedicated IM/KM capacity including focal points identified at sub-national level. Address cluster partner weaknesses in IM through capacity-building and utilisation of simple tools. Improve evidence-based needs analysis and resource mobilisation.
Funding	Advocate for greater institutional support and funding commitments for cluster coordination by CLA(s) at country level. CLA support is also needed in mobilising resources and advocating for education in emergencies as a life-saving/sustaining response.
Quality and accountability	Adopt clear, up-to-date work plans with aims, objectives and indicators agreed by the cluster, and a focus on monitoring outcomes as well as outputs to promote accountability. Clarify institutional accountabilities within the cluster and CLA ToRs.

Generating lessons learned

There are a number of ways that the cluster can generate lessons learned, eg, through periodic feedback surveys, real-time performance reviews, or lessons learned workshops

The nature of the exercise will be determined by timing, competing priorities and availability of cluster partners to participate. Effort should be made to make the process as 'light' and quick as possible, reducing the burden on cluster partners.

Whichever mechanism is chosen, the purpose should be to respond collectively to the following key questions:

- What worked?
- What didn't work?
- And what should we do differently next time?

Focus on recommendations that are concrete, actionable and realistic; and clearly indicate who is responsible within the cluster to follow up, and by when.

Take time to consider who should participate in the lesson-learning exercise. Try to be as inclusive as possible, bearing in mind that a larger group may affect the willingness of participants to be open and candid with their feedback. Only involve those who have been directly engaged in the work of the cluster. The results of the exercise can be shared with a wider audience, but generating lessons learned is more productively done with a smaller, more focused group.

Education Cluster performance – lessons learned

The 2008 country-level lessons learned exercise also identified a number of 'success criteria' that were considered important by cluster stakeholders in ensuring the effectiveness and success of a cluster. The nature of clusters clearly varies from one context and emergency to another. However, these criteria are seen as applicable to any context, and are reinforced in learning from other clusters, and implementation of the cluster approach as a whole:

- ✓ strong strategic vision in CLA(s) combined with seniority of involvement
- ✓ strong buy-in to the cluster approach and a clear understanding of the added value it can bring
- ✓ effective coordination with government structures, with government being encouraged to take a lead role where appropriate
- ✓ commitment by all partners to ongoing and integrated cluster coordination in disaster risk reduction, preparedness and recovery work
- ✓ joint preparedness and contingency planning (inter- and intra-cluster collaboration)
- ✓ a clear delineation of roles and responsibilities within the cluster at all levels
- ✓ dedicated cluster coordination, and a small staff team or dedicated staff specifically working on cluster issues within each cluster partner agency
- ✓ Dedicated cluster funding.

5.4.2 Sharing good practice and lessons learned

Who to share learning with

Country-level stakeholders	Global-level stakeholders
<ul style="list-style-type: none"> ▪ National and local government authorities ▪ CLA(s) and cross-cutting issues focal points ▪ Cluster partners ▪ Other clusters and cross-cutting issues thematic groups ▪ OCHA and the HC/RC ▪ Donors 	<ul style="list-style-type: none"> ▪ Education Cluster Unit ▪ Education Cluster Working Group ▪ INEE ▪ Humanitarian Reform Support Unit ▪ Other global clusters ▪ CLA(s) Head Office(s)

How learning can be shared

Generating and capturing knowledge about cluster good practice and lessons learned is not enough. A significant weakness in humanitarian action is in passing learning on to others, so that this knowledge can be applied elsewhere. Different versions of good practice and lessons learned reports may need to be produced for different audiences, with varying levels of detail.

The HC/RC and OCHA can support the dissemination of learning at country level through the HCT and inter-agency web platform, while the ECU and INEE can support dissemination at global level. IRIN News and ReliefWeb also provide a useful forum for sharing learning with other humanitarian actors. Individual cluster partners, and in particular the CLA(s), may also facilitate dissemination regionally and within similar country contexts.

Case studies have been documented from the Kenya and Chad Education Clusters, and testing of the Education Cluster capacity-mapping tools in Ethiopia, Afghanistan and the Philippines provides additional useful learning.

Additional resources – on accompanying CD

- 📖 NGOs and the Humanitarian Reform project (2009) *Synthesis Report, Review of the Engagement of NGOs with the Humanitarian Reform Process*
- INEE: Extensive database of publications, evaluations and resources
<http://www.ineesite.org/index.php/resources/>

6

Assessing and monitoring the education situation

6.1	Involvement in joint needs assessment processes
6.2	Pre-crisis preparedness for joint needs assessments
6.3	Rapid assessment of education and cross-cutting issues and needs
6.4	Comprehensive joint education needs assessments
6.5	Mapping available capacities
6.6	Ongoing monitoring and review

This chapter provides specific guidance on the needs and capacity assessment processes, and ongoing monitoring and review. It builds on the basic guidance about information management (IM) and knowledge management (KM) outlined in Chapter 5.

The chapter relates specifically to the following responsibilities as set out in the Education Cluster Coordinator ToR:³³

- Ensuring that needs are identified and that cluster activities address the identified needs, fill gaps and prevent overlap and duplication.

Key points

- Promote joint needs assessment within the cluster and facilitate the sharing of assessment information between cluster partners and with other clusters and education sector stakeholders.
- Ensure that processes and tools for gathering, analysing and disseminating assessment information are appropriate to the local context.
- Mobilise IM/KM support as needed to effectively manage cluster assessment and learning processes.
- Make provision for ongoing monitoring and review of the education situation and assessment of cluster performance.

³³ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

6.1 Involvement in joint needs assessment processes

6.1.1 Overview of joint emergency needs assessments

Definition:

Joint needs assessments refer to multi-stakeholder and/or multi-sector processes of collecting, analysing and interpreting data to assess needs and inform decisions in humanitarian and early recovery strategy and response.

Objective:

The main objective in joint needs assessments is the production of accurate, agreed needs assessment reports that can be acted upon following an emergency.

Why 'joint'?

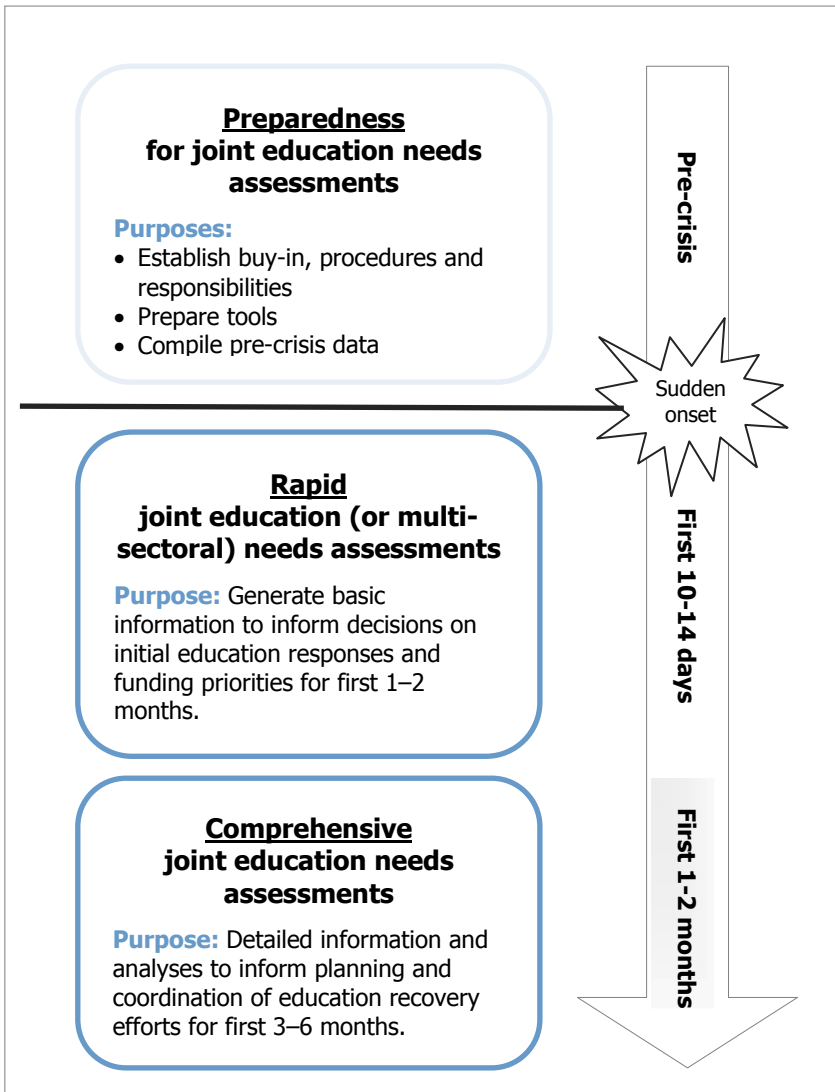
More coordinated or harmonised needs assessment practices across sectors and agencies are needed to maximise their usefulness while minimising their 'footprint', ie, the time, energy and resources required. The table below lists some of the key shortcomings of needs assessments to date, and strategies for addressing them.

Common shortcomings	Coordination strategies
Assessments do not produce the data required to address information needs.	Design and conduct assessments that meet a wider range of information needs.
Information from various assessments is not comparable.	Standardise assessment methods, indicators, tools and formats for communicating findings to donors and other key audiences.
Assessments are too time-consuming and collect more information than needed.	Define and collect only the minimum, most essential and relevant information.
Assessments are inefficient and the quality and credibility of information are unreliable.	Combine efforts across agencies to make optimal use of limited expertise and assessment resources, and to cross-check and verify data for reliability.
Duplication and over-assessment of certain populations or issues by multiple agencies.	Put in place coordinated, complementary assessment arrangements within the cluster and with other sectors/clusters.

Conducting joint or common needs assessments is an important way of putting into practice many of the 'coordination strategies' listed in the table above.

6.1.2 Types of joint emergency needs assessments

Timing and sequencing of joint needs assessments



As illustrated in the above diagram, the key moments at which the CLA, Coordinator and cluster partners need to engage in emergency needs assessments are defined as:

- **Preparedness and contingency planning for needs assessments** conducted before or between major emergencies
- **Rapid joint needs assessments** conducted within the first 72 hours to two weeks after the onset of emergency, and sometimes as part of a multi-sectoral process
- **Comprehensive joint needs assessments** conducted from one month from the onset of an emergency onwards, or as needed, for example, during chronic crises.

'Models' and recommendations for joint needs assessments³⁴

In line with global efforts to harmonise needs assessments, where possible and appropriate, national and sub-national clusters should do the following:

Take part in multi-sectoral needs assessments, wherein agencies across several clusters/sectors jointly conduct a single multi-sectoral assessment using a core set of agreed indicators. This option is especially appropriate during the immediate relief phase of an emergency when rapid needs assessments seek to obtain only the most essential information for each sector. Relevant multi-sectoral assessments in which clusters are encouraged to engage include:

- Protection Cluster-led needs assessments
- Joint Assessment Missions (JAMs), typically organised by UN High Commissioner for Refugees (UNHCR), World Food Programme (WFP)
- Office for the Coordination of Humanitarian Affairs- (OCHA-) led inter-cluster rapid needs assessments.
- Post-Disaster Needs Assessments (PDNAs) or Early Recovery/Post-Conflict Needs Assessments (PCNAs), typically organised by the Early Recovery cluster.

Organise joint needs assessments within the cluster, wherein cluster partners either:

- carry out their own separate but coordinated assessments using agreed core indicators (including sex- and age-disaggregated data); or
- use one agreed survey tool (which makes clear provision for sex- and age-disaggregated data collection) and pool resources for data collection, data entry, analysis and report-writing.

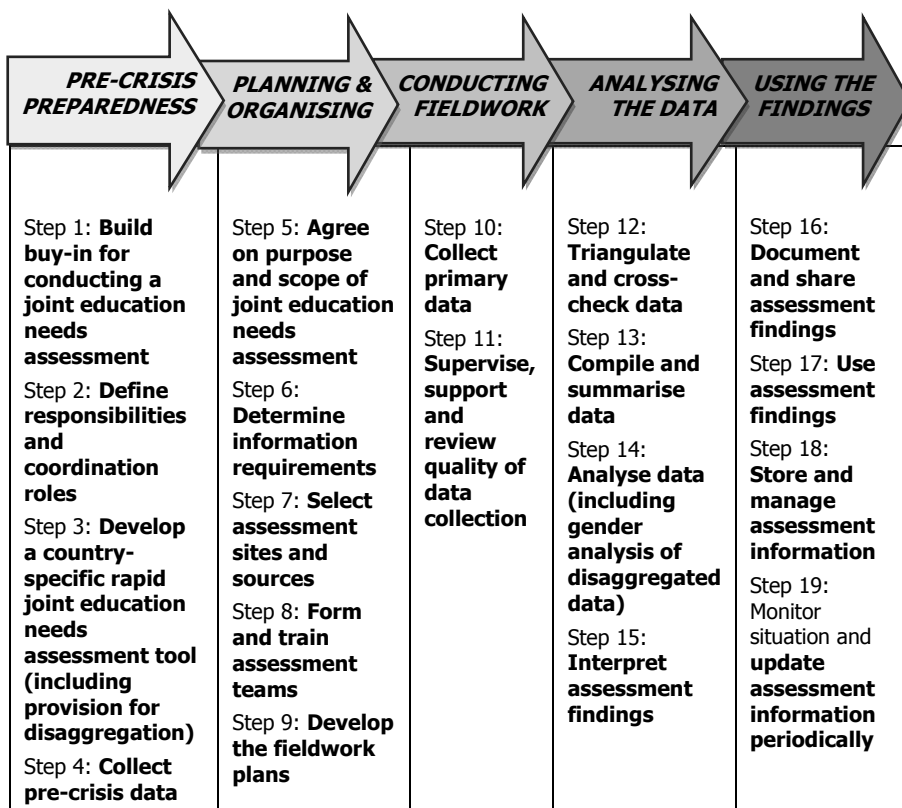
Meta-analysis of the assessment outcomes will need to be facilitated by the Coordinator to inform cluster decision-making, and the results communicated to

³⁴ IASC 73rd Working Group Meeting, 'Harmonization and Consolidation of Needs Assessments', 18–20 March 2009, Washington DC

the Cluster Lead Agency (CLA) and OCHA. This option may be necessary in cases where multi-sectoral needs assessments are not being conducted, or where more detailed education needs assessment is required, as is often the case during the later stages of emergency response.

6.1.3 Role of the Coordinator in joint needs assessments

The Coordinator, with support from an Information Manager/IM focal point and resource person(s) with KM expertise, plays a critical role in ensuring that timely, effective and coherent joint education needs assessments are undertaken. Their responsibilities during the main stages of joint needs assessments are:



Additional resources – on the accompanying CD

- 📖 *PDNA/RF Fast Facts Guidance Sheet*, October 2009
 - 📖 IASC (2002) *Guidelines for Gender-based Violence Interventions in Humanitarian Settings*, Action Sheet 2.1: 'Conduct a coordinated rapid situational analysis'
 - 📖 IASC Child Protection Working Group of the Protection Cluster Working Group (2009) *Interagency First Phase Child Protection Assessment Resource Kit*
 - 📖 IASC Protection Cluster Working Group, Early Recovery Cluster Working Group (2008) *Protection of Conflict-Induced IDPs: Assessment for Action*, Part 2: 'Participatory Assessment Guidance Note'
-
- ReliefWeb - Web portal facilitating information exchange for humanitarian agencies:
<http://www.reliefweb.int>
 - OCHA One Response web portal supporting information on all clusters and all disasters:
<http://oneresponse.info/AboutUs/Pages/About%20Us.aspx>
 - OCHA Humanitarian Information Centre (HIC) website supporting inter-agency access to IM tools and services at global and country level:
<http://www.humanitarianinfo.org/>
 - IRIN News: website providing humanitarian news and analysis:
<http://www.irinnews.org/>

6.2 Pre-crisis preparedness for joint needs assessments

6.2.1 Education Cluster preparedness

Significant steps can be taken by the Coordinator, prior to a rapid-onset emergency or deterioration in an existing chronic emergency, in preparing the cluster for the demands of rapid joint needs assessments.

Before embarking on the development of system and tools, or collection of data, it will be important to get the commitment of existing cluster partners and source the necessary human and financial resources.

- ✓ Build buy-in among cluster partners and key actors from other clusters/sectors to conduct joint needs assessments, and put in place coordinated assessment arrangements. Include participation in joint needs assessments in the Education Cluster ToR (see section 2.5).
- ✓ Identify sources of needs assessment and IM/KM expertise, either among cluster partners, or from external sources such as OCHA, other clusters, private sector or the Education Cluster Unit (ECU). If necessary, advocate for dedicated IM support for the cluster (see section 5.2 for further details).
- ✓ Lead the development of a plan for a needs assessment by the cluster, including agreement on content, methodologies and responsibilities, and procedures for data collection, analysis and use. Determine where data will be processed and how often, eg, at sub-national or national level, continuously, weekly.
- ✓ Take stock of existing needs assessment practice following previous emergencies in the country and seek to learn lessons from past experiences.
- ✓ Build capacity in needs assessment practice amongst cluster agencies and other partners, through training and information-sharing.

6.2.2 Agreement on common standards and tools

Use of common data sets, standards, and indicators helps to ensure that needs assessments, monitoring and reporting across government, OCHA, and the different clusters is aligned as far as possible. Furthermore, within individual clusters data can be readily collated, analysed and disseminated as useful information for all stakeholders. Consider what

Common location data

Using the names of affected villages or districts can lead to confusion and error because of variations in spelling, boundaries or place names. P-codes or GPS coordinates can overcome these problems, provided cluster partners are properly briefed on how to use them.

Detailed guidance on P-codes is included in the 'Additional resources' listed below.

common variables will be used to enable processing and comparison of data, eg, locations, P-codes, gender, age, data source.

The Inter-agency Network for Education in Emergencies (INEE) Minimum Standards (see section 3.1.3) provide the basis for agreement on pre-crisis standards and indicators for education to be applied in an emergency situation. Where possible, it is important to build on national standards to maximise the relevance and sustainability of systems and tools, and facilitate ongoing use of data, information, and knowledge generated.

Education Cluster Joint Needs Assessment Toolkit

This toolkit provides a common platform for rapid and comprehensive joint education needs assessments. It draws on the INEE Minimum Standards as a guiding framework for ensuring that the needs assessment process considers all aspects of education in emergencies.

Education Cluster Joint Needs Assessment Toolkit

Part I provides **step-by-step guidance** on designing, planning and implementing rapid and comprehensive joint education needs assessments.

Part II provides three **modules to guide data collection**. Each module sets out critical 'domains' (set out in section 6.3.2) that need to be considered by the Coordinator and cluster partners in designing and conducting a joint education needs assessment and ongoing monitoring. Assessment questions, suggested indicators, and possible sources for primary and secondary data are provided for each domain.

Part III provides a series of **tools and templates** that can be readily adapted to support a joint needs assessment or monitoring and review process.

Part IV provides **supplementary notes, references**, and links to other best practice assessment tools.

It is important, however, that the Coordinator and cluster partners take the time needed to examine the tool and adapt it to meet the needs of the specific context. Otherwise there is a risk that the toolkit will be used as is, in an effort to rapidly gather data, missing vital issues or concerns that could have been incorporated, had time been taken for joint reflection and adaptation of the tool.

Even given the need for adaptation, or where a pre-existing needs assessment tool has been selected, the toolkit still provides a useful basis for dialogue and agreement with cluster partners on the inclusion, exclusion, adaptation or substitution of assessment questions, as appropriate to the country and emergency context.

Similarly, whatever tool is selected, field assessment teams will need to be fully oriented on use of the tools to ensure that everyone has a common understanding of the questions being asked, and how to collect and report the data (see section 6.3.2 for further guidance on field assessment teams).

6.2.3 Agreement to pre-crisis data

Data preparedness

Definition: **Data preparedness** refers to a minimum set of information standards, tools, sources, actors and forums that are in place to enable effective and immediate IM in the event of an emergency.³⁵ It allows the cluster and its partners to begin managing and using information immediately following an emergency in an efficient and coordinated way.

Countries with ongoing emergencies are more likely to have some level of data preparedness, but it is of key importance in countries prone to natural disasters or with a high risk of future crisis. IM systems and tools developed during an emergency can also contribute to improved data preparedness for any future disaster.

The degree of data preparedness has a direct impact on the effectiveness of rapid joint needs assessments as they rely on shared agreement on pre-crisis and in-crisis baseline data, and common assessment tools and standards.

Collection of pre-crisis data

Types of data

Pre-crisis data – provides a measure of the situation or ‘normal’ conditions before the emergency.

In-crisis data – provides a measure of the situation and conditions at different stages of the emergency. In-crisis baseline data facilitates monitoring of the evolving emergency situation, and of progress, changes and impact of the education response.

Secondary data – is data collected through secondary sources including assessments, reports and evaluations undertaken by others, or testimony from those who have seen the affected area. Secondary data may include both pre-crisis and in-crisis data and collection can begin immediately. Most secondary data is gathered at global and national level, and predominantly from government, UN and in-country non-governmental organisation (NGO) sources.

It is important to record metadata (*data about the data*) in relation to secondary data, including who (source), what, where, when, how, units of measurement, reliability, permissions.

Primary data – is data collected directly from emergency-affected populations, or within affected areas, using a variety of methods including, but not limited to, surveys, observation, focus groups and consultation with key informants. Primary data may include pre-crisis and in-crisis data based on local knowledge of the situation before and after the emergency.

There is greater control over the quality and importance of primary data; however, it is often more difficult and time-consuming to collect.

³⁵ IASC *Humanitarian Early Warning System Contingency Planning Toolkit, Data Preparedness*, PowerPoint, undated

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

The **role of the Coordinator** is to coordinate the collection and management of key pre-crisis data, and facilitate a thorough process of analysis to guide contingency planning and preparedness measures. This will include incorporating information drawn from 'Who is doing What, Where' (3W) data and capacity-mapping undertaken within the cluster during 'normal' operations, ie, pre-emergency (see section 6.5 for details of capacity-mapping).

There are two **'types' of pre-crisis data** relevant to the cluster. The first is generic data which is relevant to all clusters and normally provided by the government, Humanitarian Coordinator(HC)/Resident Coordinator (RC), or OCHA. Examples include P-codes and demographic data. The second is education-specific data, eg, enrolment rates, attendance rates, perceptions of safety in getting to and from school. A comprehensive list of potentially relevant pre-crisis data is provided within Tool 7 of the *Education Cluster Joint Needs Assessment Toolkit*.

The main **sources for pre-crisis secondary data**, as illustrated in the table below, are Education Management Information Systems (EMIS), education authority data on schools, national statistics agencies, and other national, regional or global databases such as DevInfo. In addition, pre-crisis data may already have been compiled using the Education Cluster Capacity Assessment and Preparedness Tool (see section 6.5 for details). Useful websites for pre-crisis data are listed under 'Additional resources' at the end of this section.

Sample format for compiling pre-crisis data from multiple sources

Indicator	UN sources		Government sources				NGO sources		Other	
	Dev Info	UNESCO	National Statistics Agency		EMIS					
	M	F	M	F	M	F	M	F	M	F
Enrolment rate (m/f)										
Attendance rate (m/f)										

Analysis of pre-crisis data and agreement to pre-crisis baseline data and indicators

Pre-crisis baseline data and indicators need to be agreed by cluster partners to provide a measure of the minimum conditions or standards that the humanitarian response should be trying to restore at the very least. They should facilitate:

- immediate assessment of the nature and scale of the emergency
- identification of appropriate objectives and indicators, including proxy indicators
- comparison with similar country contexts or similar emergencies.

A matrix, such as the model shown above, can be used to support the analysis of pre-crisis data, and in selection of appropriate baselines and indicators. Using statistical analysis or average values (mean, median), measures for each standard can be agreed and adopted, eg, a pre-crisis baseline primary school attendance rate of 75% for boys and 52% for girls.

In some contexts it may be difficult to attain these baselines, for example, in situations involving refugees where the population of concern is in a different country, and therefore gathering data on their pre-crisis situation may not be possible.

Additional resources – on the accompanying CD

 OCHA, *What are P-codes?*

Web-based mapping and GIS guidance:

- Relief Map Centre for humanitarian profile and location maps:
<http://www.reliefweb.int/rw/rwb.nsf/doc114?OpenForm>
- GeoNet – access to integrated spatial data for any location (interactive maps, GIS data sets, satellite imagery):
<http://geonetwork.OCHA.org/geonetwork/srv/en/main.home>

Web-based sources of secondary data:

- Millennium Development Goals and other sector indicators
<http://www.devinfo.info/emergencyinfo/>
- World Bank database of education statistics:
<http://www.worldbank.org/education/edstats>
- UNICEF indicators on child survival, development, protection and education:
http://www.unicef.org/statistics/index_24302.html
- UNESCO Institute for Statistics:
http://www.uis.unesco.org/ev.php?URL_ID=3753&URL_DO=DO_TOPIC&URL_SECTION=201
- The Education Policy and Data Center (EPDC):
<http://epdc.org/>

6.3 Rapid assessment of education and cross-cutting issues and needs

6.3.1 Rapid joint needs assessments

Purpose:

Rapid joint needs assessments generate basic information to inform decision-making and prioritisation for the initial response (1–2 months) after a crisis. Rapid needs assessments aim to provide information to answer the following questions:

- ✓ ***What happened?*** Describe the type of emergency.
- ✓ ***Where did it happen?*** The geographical areas affected by the disaster and their environmental conditions.
- ✓ ***Who/what was affected?*** Which are the most affected vulnerable segments of the population that should be prioritised for assistance?
- ✓ ***What was the impact?*** The number of people affected and their demographic characteristics. How are they affected?
- ✓ ***What resources already exist?*** What resources and capacities are present in the country and affected areas? How were they affected?
- ✓ ***What are the humanitarian needs, gaps, and priorities?*** What humanitarian needs have not yet been met? What are the gaps? What are the priorities for humanitarian assistance?
- ✓ ***Whether and how to intervene?*** Recommendations that define and establish the priorities for action and resources necessary for the immediate response.

Timing:

Typically within the first 72 hours to two weeks after the onset of emergency. Initial findings from rapid joint needs assessments will feed into the **Flash Appeal**, which is produced seven to ten days after the emergency onset (see section 8.2).

For a rapid, multi-cluster/sector needs assessment:

Availability, capacity and the need to act swiftly often determine the line-up of multi-cluster/sector assessment teams, led normally by the HC/RC and OCHA. The cluster should **identify an education representative** to participate in the design of the multi-sectoral assessment tools and the analysis of the data. The chosen representative should be experienced, dedicated solely to this effort and given support and training, when possible. The short guide in the *Education Cluster Joint Needs Assessment Toolkit* will be a useful resource in informing this process.

6.3.2 Key steps to take in rapid joint education needs assessments

1. **Planning and organising the assessment**
 Agree on the assessment scope and design (1–2 days)
 Form and train assessment teams (1–3 days)
2. **Conducting field work** (2–3 days)
3. **Analysing assessment data** (1–2 days)
4. **Using assessment findings** (ongoing)

Step 1. Planning and organising the assessment

a) *Agree on the assessment scope and design (1–2 days)*

Determine the purpose and scope of the needs assessment

Give consideration to the:

- emergency context, extent of damage, security and access considerations
- time frame, geographical coverage (area of impact), weather conditions
- logistics, available capacity and resources (human and financial)
- assessment format and methodologies, plans of OCHA and other clusters.

Define information requirements

The type of information needed falls into four broad categories:

Categories of humanitarian information ³⁶	
<p>Situational awareness: Up-to-date information about the situation on the ground and the conditions, needs and locations of affected populations.</p> <ul style="list-style-type: none"> ▪ What is the humanitarian situation? ▪ What are the severity indicators? ▪ Who is affected, how many, and where are they? ▪ What are the conditions and needs of the affected populations? ▪ What is the assessment of damage to infrastructure, eg, schools, roads? ▪ What is the security situation? 	<p>Operational/Programmatic: Up-to-date information needed to plan and implement the cluster response.</p> <ul style="list-style-type: none"> ▪ What are the logistical considerations and who has logistics capacity? ▪ Who's doing What Where (3W)? ▪ How can the host government be supported in its response? ▪ What are the resource needs of the cluster partners? ▪ What capacities and resources are available among cluster partners

³⁶ Adapted from Global Education Cluster (2009) *Draft KM Strategy*, Annex B

	and the affected populations to support the education response, eg, education kits, education in emergencies experts, teachers?
<p>Background: Most recent information about the history, geography, population, politics, economy, infrastructure, social organisation and culture of the country. Baseline data to compare the emergency situation with previous normal conditions.</p> <ul style="list-style-type: none"> ▪ What is the disaggregated population (by location, sex, ethnicity, religion, age including school age)? ▪ What is the geography? ▪ What is the history of disasters and predominant hazards? ▪ What are the most recent annual baseline health indicators? ▪ What are the annual economic indicators? ▪ What EMIS data exists such as enrolment rates, gender parity index and number of schools? 	<p>Analysis: Interpretation of information in context, and related to other thematic information.</p> <ul style="list-style-type: none"> ▪ What are the causes and contributing factors of the emergency? ▪ What are the constraints to providing assistance? (insecurity, inaccessibility, government interference) ▪ How are international organisations accepted, and how effective has assistance been in the past? ▪ What are the potential future impacts of the emergency? ▪ What are the options and recommendations for action?

- ✓ Limit the proposed information to be collected to the most essential by cross-checking that it:
 - is **relevant** for decision-making of the cluster.
 - is **consistent** with standard measurements/indicators used by government and by OCHA to facilitate inter-cluster coordination.
 - **does not duplicate** information collected by other agencies/clusters.
 - can be **collected by a non-specialist**, ie, excludes technical questions that would need to be asked by an education specialist
 - is **rapid**. A maximum of 10 questions are suggested for a rapid joint education needs assessment, and 3–5 for a rapid multi-sectoral needs assessment.
 - can be **collected and reported at the levels** of community/schools or learning spaces. Individual-level information should be kept to a minimum.
 - takes account of **priority cross-cutting issues**.
 - can be **easily compiled** into summary findings, either qualitative or quantitative.

- ✓ Review pre-crisis and in-crisis secondary data. This should provide basic understanding of the most affected areas and groups, and the key information gaps to address through the rapid needs assessment.
- ✓ Use the **Education Information Needs Matrix** (see table below) within the *Education Cluster Joint Need Assessment Toolkit* to identify the broad issues that need to be considered. For each issue, or domain, the toolkit provides sample assessment questions, indicators and sample data collection tools to adapt and use.
- ✓ Adapt or develop an appropriate rapid joint needs assessment tool based on guidance in the *Education Cluster Joint Needs Assessment Toolkit*, the country and emergency context, and the specific information requirements agreed within the cluster. See section 6.2.2 for further details of the toolkit.
- ✓ Determine the appropriate language(s) for assessment tools, data collection by field assessment team members, reporting.
- ✓ Consider the need for specialist assessments, eg, to assess school damage and rehabilitation requirements. Develop/adapt assessment questions/guidelines that may be used by non-specialists with the support of external experts as required. See the sample OCHA inter-agency rapid assessment tool from Iraq included in the 'Additional resources' at the end of this section, which may be adapted for assessment of the condition of school buildings.

Summary of Education Information Needs Matrix		
Core Domains³⁷	Cross-cutting Domains	Inter-cluster Domains
<ul style="list-style-type: none"> - Access and Learning Environment - Teaching and Learning - Teachers and Other Education Personnel - Education Policy and Coordination - Community Participation 	<ul style="list-style-type: none"> - Gender - Child Protection/ Psychosocial - Early Childhood Care and Development - Youth - Rights - Inclusive Education - HIV and AIDS - Conflict Mitigation - Disaster Risk Reduction 	<ul style="list-style-type: none"> - Protection/Child Protection - Water, Sanitation and Hygiene - Health - Shelter - Camp Coordination and Camp Management - Early Recovery

Select assessment sites and data sources

The following criteria can be considered in selecting an appropriate spread of sites for needs assessment and comparison:

³⁷ The core domains are drawn from the INEE Minimum Standards for Education in Emergencies, Chronic Crises and Early Reconstruction.

- locations of perceived greatest need (aim for two-thirds to three-quarters of assessment sites in this category)
- locations of medium need
- unaffected locations (aim for 10% of assessment sites in this category) to provide a basis for comparison if secondary information is considered insufficient for this
- a range of locations representative of different affected groups, eg, pastoralists, agriculturalists, urban dwellers, internally displaced persons (IDPs), refugees, host communities
- a focus on under-assessed areas.

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

Develop the rapid joint needs assessment field work plans

A field work plan is useful in determining resource requirements, facilitating coordination, and allocating responsibility for the practical arrangements associated with a rapid joint assessment exercise, including:

- allocating assessment teams to specific locations
- specifying individual sites, eg, location, GPS coordinates, and sequence of visits
- determining means of travel, time allowed, and field work time at each location
- agreeing the frequency and form of reporting
- determining arrangements and equipment for eating, drinking, sleeping
- determining access, security, and communications arrangements
- considering IT capacities, Internet access, mobile telephone coverage, language barriers, and translation or interpreting requirements.

b) Form and train rapid joint needs assessment teams (1–3 days)

Field teams, a team leader and two to four members need to be organised and trained to carry out data collection and initial analysis for each site to be assessed. To gain inter-agency buy-in, it will be important to ensure as broad a representation of education stakeholders as possible. Typically a rapid joint education needs assessment will be composed of all or some of the following members:

- Coordinator(s) (from UNICEF, Save the Children or other designated CLA)
- government representative
- NGO representatives (international and national if possible)
- UN agency representatives working in education
- Knowledge management/assessment specialist.

The skills and knowledge base needed within the team are:

- expertise or experience from within the education authorities
- knowledge of the affected area (eg, typology, geography)
- local language skills
- knowledge about the security risks
- good communication and interpersonal skills
- experience of rapid data collection (crucial in the first phase)
- information management skills (ability to collect, process and manage it)
- good organisation and focus
- balance in terms of gender to ensure access to both men and women, and a good understanding of gender issues in the needs assessment
- range of sector expertise and previous emergency experience, age, agency representation
- basic grasp of the importance of key cross-cutting issues, such as: gender; disaster risk reduction; conflict prevention; and HIV and AIDS.

Step 2. Conducting field work

a) Collection of primary data

Joint rapid needs assessments are typically conducted under extreme time pressures, with limited accessibility to affected sites and populations, and unstable, rapidly evolving conditions on the ground, often including population movements.

Given these constraints, rapid needs assessments often involve a quantitative community-level assessment, coupled with use of household level data from secondary sources such as the CLA(s), government, cluster partners, or other clusters.

How to get data from sub-national to national level as quickly as possible

Use mobile phones, SMS, or palm top computers, to enable easier, timely data collection and analysis. Field assessment teams can then focus on data collection, and the Coordinator and cluster partners can expand the capacity for data analysis through sharing responsibilities.

For quantitative community-level assessments, the following assessment methods and sources are recommended:

Sampling approach	Data collection methods	Sources
Purposeful sampling: Select representative locations and informants on the basis of defined criteria and/or judgement of assessment teams	Key informant interviews Observations	Community leaders, local education officials, principals, teachers, and representatives from active organisations Affected sites and schools/learning spaces

These methodologies can also be supplemented by focus group discussions which can reduce the size of the assessment survey by enabling:

- capture of qualitative data
- measurement of household-level information
- verification of quantitative data
- capture of feelings, opinions and intentions, offering alternative strategies for immediate action.

b) Managing the quality of data collection

The Coordinator has overall responsibility for ensuring that there is adequate support and supervision during data collection process, and for overseeing procedures for reviewing and assuring the quality data collected. In the event that s/he is part of a field assessment team, and particularly if there are several teams, somebody else within the national-level cluster will need to take this overall coordinating role.

The following list provides pointers to good practice in data collection:

Informed consent: provide respondents with full disclosure of what information is being gathered, why, and how it will be used. Give respondents the opportunity to opt out of the assessment, or of giving individual responses.

Sensitivity: investigate in advance, and respect sensitivities to gender (eg, the need for same-sex interviewers), vulnerabilities or other culture-specific practices. Pre-test questions with community members in advance and provide guidance during training on how to collect primary data in sensitive settings, eg, conflict-affected populations. Respect the privacy and confidentiality of respondents at all times.

Consistency: use agreed tools, standards and indicators to collect and record data to ensure consistency and facilitate comparison between data.

Openness: be prepared to have assumptions about the situation challenged, and be open to conflicting opinions. Try to establish the issues that are most important to the people affected by the emergency.

Documentation: record observations, questions, reflections or areas needing clarification in the form of notes, to be attached to the formal assessment survey tool. Conduct daily debriefing of the field assessment team members to address and record any challenges and refocus activities for the following day.

Urgent action procedures: provide field assessment teams with clear procedures on what to do in the event of an unexpected event, eg, distress to a respondent or unrest resulting from some part of the assessment survey or activity. Tool 8 in the Education Joint Needs Assessment Toolkit includes a sample 'Urgent Action Report'.

Challenges in data collection	Suggested strategies to address them
Too much secondary data available	<ul style="list-style-type: none"> ✓ Re-examine agreed information requirements. If appropriate, narrow them down. ✓ Screen data for: <ul style="list-style-type: none"> <i>Importance</i> – prioritise data from sources/locations of greatest relevance to the cluster. <i>Timeliness</i> – prioritise most recent data. <i>Quality</i> – look for evidence of reliability in the data collection process, eg, verification, referencing, data trail.
No secondary data available	<ul style="list-style-type: none"> ✓ Increase efforts for collaborative assessment with government and other clusters. ✓ Support others in their assessment efforts and try to facilitate inclusion of core education concerns in other joint needs assessment exercises. ✓ Expand the reach of primary data collection to include additional locations/groups and minimise risks of bias. ✓ Extend the process of primary data collection to accommodate additional sources, and ensure verification and triangulation. ✓ Support government and national/local organisations in the management and analysis of data and information that they have.
Difficulty in accessing sources of primary data	<ul style="list-style-type: none"> ✓ Increase efforts for collaborative assessment with government and other clusters. ✓ Support others in their assessment efforts and try to facilitate inclusion of core education concerns in other joint needs assessment exercises. ✓ Review information requirements to optimise the data/information that may be gained through secondary sources. ✓ Be strategic in the identification of sources/sites for primary data collection based on the information requirements that can only be met through primary sources.
Limited capacity for	<ul style="list-style-type: none"> ✓ Ask for what you want, eg, summarised statistics rather than

processing and analysis of data	<p>raw data.</p> <ul style="list-style-type: none"> ✓ Minimise the units of measurement, eg, limit to school/community levels. ✓ Minimise the volume of data to be analysed, by limiting the number of assessment questions and adopting the use of focus group discussions. ✓ Consider options for outsourcing and optimise collaboration with government, OCHA, other clusters for support.
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Step 3. Analysing assessment data

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

a) *Triangulate and cross-check data*

Characteristics of reliable data

- triangulated (data checked from at least three different sources)
- use same units of measurement
- evidence of a data trail
- neutrality of assessor and data source
- up-to-date
- un-biased survey questions.

Compare and verify important findings and identify and reconcile and significant inconsistencies across:

- sources, eg, by comparing information from different respondents, and primary data with secondary information
- methods, eg, by comparing observations made in the field with information provided by key informants
- data collectors, eg, by discussing findings with members of other clusters who assessed the same sites.

Within the cluster it may be possible to allocate responsibility for verification of data from different locations among cluster partners.

b) *Compile and summarise data*

Produce manageable information that will enable rapid analysis.

Assessment data should be summarised:

within sites to identify key education needs and issues pertinent to a particular location

across sites, to determine priority sites for response, and the overall scale of response required.

Quantitative data, eg, from school questionnaires or key informant interviews, can be compiled using tally sheets or summary tables. Qualitative data analysis matrices can be used for compiling narrative data, eg, from focus group discussions. Examples of these tools can be found in the *Education Cluster Joint Needs Assessment Toolkit*.

The importance of standardisation

Compiling data will be impossible if standard units of measurement, terminologies, standards and indicators are not used.

A useful training exercise involves asking participants to compile the data from 3–4 assessment forms where different units of measurement (eg, household and school levels), or different definitions for child (eg, 0–12, 6–12, 6–18) have been used.

c) *Analyse data*

Three types of analysis are suggested in order to effectively plan, coordinate and conduct advocacy for an education response.

Type of analysis	Objectives	Methodology
Needs Analysis	Determine what emergency has had on education, and which locations and population groups have been most severely affected	<p>Compare in-crisis and comparable pre-crisis baseline data to determine which education domains, issues and/or indicators have been most negatively affected. In chronic emergencies, making this comparison may not be relevant or feasible.</p> <p>Use an agreed weighting system to identify the most critical issues, eg, where children or young people are at risk of injury or attack.</p> <p>Make comparisons across sites to determine which locations and groups have been most severely affected, and the numbers of people involved.</p> <p>Use a standard 'traffic light' system to indicate the relative severity of the emergency impact on different education issues, locations and affected groups.</p>

Capacity Analysis	Determine the existing resources and capacities that key education stakeholders have to fulfil the types and amounts of needs identified	Combine data on government, cluster partner and community capacities, on the basis of common variables used in the assessment (eg, location, education issues). Determine: <ul style="list-style-type: none"> - where they are working - type of programme/activities, eg, related to INEE information needs matrix (set out in section 6.3.2) - number of beneficiaries - level of resourcing - capacity limitations (eg, lack of staff or funds).
Gap Analysis	Determine the gaps in geographic coverage and the priority education interventions that require external assistance	Using a matrix, compare the identified priority needs with the existing presence, activities and capacities of cluster partners. Where priority needs are not being or cannot be addressed by existing partners, highlight the gaps that require additional interventions.

Data analysis can be done through simple matrices or a relational database such as the data collection and reporting tools developed by the Water, Sanitation, Hygiene (WASH) Cluster. The methodology adopted will depend on the volume and complexity of data gathered and the IM capacity among government and cluster staff and partners.

Geographical Information Systems (GIS)

GIS support a wide range of analytical activities, eg, damage assessments, gap analysis, response strategies, contingency planning.

When spatial information is combined with data from assessments or situation monitoring, it is possible to produce practical and comprehensive maps, charts and images, quickly highlighting duplication, gaps, risks and priorities for action. However, this technology relies on comprehensive use of GPS coordinates and/or P-codes as part of cluster information management.

As with data collection, GIS activities should be closely coordinated with OCHA and other clusters to minimise duplication and they should adhere to agreed global and national data standards.

Decisions will also be needed by the Coordinator and Information manager/IM focal point as to how data is best presented. This can be in the form of

geographic analysis, eg, using Geographical Information Systems (GIS) and mapping techniques, statistical tables, graphs and figures, or analytical narrative.

d) Interpret assessment findings

Interpretation is about highlighting important information and knowledge that cannot easily be captured in assessment forms, eg, making judgements about priority issues based on previous experience in the same area, or with the same communities. Assessment reports need to clarify which findings are based on facts and observation, and which are based on judgement or interpretation by the analysts.

Interpretation of assessment findings should be done by people who are knowledgeable about the context of the emergency and experienced in education in emergencies.

Step 4. Using needs assessment findings

a) Document and share assessment findings

One of the biggest shortcomings of rapid joint needs assessments is that by the time findings are written up and shared, the situation has changed and the data is out of date. This can be mitigated by identifying capacities within the cluster to support the Coordinator with report writing. See further guidance on report writing in section 5.3.3.

Key assessment findings should be documented and communicated as they become available through the following types of reports:

Report	Timing	Purpose	Key content
Verbal field reports	Daily during field work, or as important information comes to light	Enable communication between field and national teams to troubleshoot field work and inform initial decisions.	<ul style="list-style-type: none"> - Progress and constraints to field work - Initial findings, including urgent actions required
Sire summary reports	At the end of field work at each site	Ensure sharing of assessment findings within the cluster for real-time analysis of and response to problems and priorities for each side.	For each site: <ul style="list-style-type: none"> - summarized data - priority needs - interpretation of findings - recommended responses

Executive brief/ assessment summary reports	2-3 days after data collection is complete	Provide preliminary information needed to make initial decisions on programming, funding allocation, and targeting (eg, as part of Flash Appeals)	2-3 pages on: <ul style="list-style-type: none"> - impact of the crisis on education locations and groups most affected - priority responses
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The following good practices for assessment reporting should be followed:

- ✓ Keep reports brief so that recipients can read and respond swiftly.
- ✓ Outline the assessment methodology, clearly highlighting any assumptions and limitations.
- ✓ Ensure recommendations are specific, justified by evidence, and prioritised.
- ✓ Disseminate findings promptly and widely, including to government, CLA(s), cluster partners, OCHA, other clusters, sub-national clusters and affected communities, and make available through email, hard copy and web-based copies for public access.
- ✓ Ensure translation of findings where appropriate.
- ✓ Monitor consistency in the use of terminology, standards and indicators.
- ✓ Clearly identify the status (eg, draft, agreed), source, date, contact name, and a disclaimer if required.

b) *Use assessment findings*

Collectively reflect on findings with cluster partners to:

- ✓ build agreement on priority recommendations for inclusion in appeals
- ✓ feed into strategic cluster response planning, particularly in defining the overarching cluster objectives and indicators
- ✓ identify actions required by individual agencies and other clusters
- ✓ define key points for advocacy regarding the education response
- ✓ determine the information gaps to research through further assessments.

c) *Store and manage assessment information*

Inter-agency web platforms such as OneResponse (see Section 5.3.2 for further details) provide a helpful mechanism for the storage and dissemination of assessment information.

However, ideally the cluster should build on an existing Education Management Information System (EMIS) or similar, where available, to facilitate continuity in local access to, and use of, the information and products stored. In cases where a functioning EMIS is not in place, emphasis should be given to fully involving a focal point from the Ministry of Education at the most appropriate level from the early stages of information management, in order to build local capacity and appropriate local IM systems. Guidance for linking with an EMIS are included in the UNESCO/IIEP, *Guidebook for planning education in emergencies and reconstruction*, Chapter 34, listed in 'Additional resources' below.

Education Management Information Systems (EMIS)

Where possible, emergency assessment data, and data from an existing EMIS, should be coordinated. This ensures that education authorities are informed, via the EMIS, about who is affected by the emergency, and the ways in which they are affected.





Similarly, this process of working through an existing system will assist in systematising assessment data needs in preparation for future emergencies.

Any new IM systems should be developed to facilitate management of immediate education needs, and longer-term reconstruction and development of the education system.

d) Update assessment information

It is critical that the rapid joint needs assessment is not seen as a one-off event but forms the basis for an ongoing process of monitoring and reporting on changes in the emergency situation and the nature of education needs and capacities. The Coordinator will play a key role in ensuring that this ongoing process is built into strategic response planning and emergency preparedness and contingency planning activities within the cluster.

Additional resources – on the accompanying CD

-  Education Cluster (2009) *Joint Education Needs Assessment Toolkit*
-  UNESCO IIEP (2006) *Guidebook for planning education in emergencies and reconstruction*, Chapter 28: 'Assessment of needs and resources'; Chapter 34: 'Data collection and education management information systems (EMIS)'
-  UNICEF (2006) *Education in Emergencies: A Resource Toolkit*, Section 1.3: 'Rapid Education Assessment'
-  OCHA *Inter-agency rapid assessment form*, Iraq
Provides a useful model for assessing damage to education infrastructure, eg, school buildings, by non-construction specialists
- Guidance on using Excel or Access to manage data:
<http://office.microsoft.com/en-ca/help/HA010429181033.aspx>

6.4 Comprehensive joint education needs assessments

Purpose:

Produce detailed information and analyses to inform planning and coordination of early (3–6 months) education recovery efforts and funding priorities. Comprehensive joint education needs assessments should answer a wider and deeper range of questions than the limited number in a rapid needs assessment. The assessment should also be conducted with greater accuracy and using more rigorous methods.

Timing:

From one month from the onset of an emergency onwards, or as needed, for example, during chronic crises.

- In sudden-onset emergencies, initial findings from comprehensive joint education needs assessments should feed into revised Flash Appeals, which are produced four weeks after the emergency onset (see section 8.2).
- In large-scale emergencies, detailed findings should be used to inform Consolidated Appeals Processes (CAPs), which are initiated approximately six months after the emergency onset (Section 8.2).
- In cases of chronic crisis, comprehensive joint education needs assessments should be timed, where possible, to feed into Consolidated Humanitarian Action Plans (CHAPs), which are compiled annually in November.

Key actions to take:

1. Agree on the assessment scope and design (up to 7 days).
2. Form and train assessment teams (3–5 days).
3. Collect data in the field (7–10 days).
4. Compile and analyse data (7–10 days).
5. Document, communicate and use findings (from one month onward).

Planning and conducting a comprehensive joint education needs assessment follows the same process as for a rapid needs assessment. The main differences between the two types of assessments are:

Scope: Comprehensive assessments can investigate a wider range of education and cross-cutting issues (see summary of the 'Information Needs Matrix' above for details). They also tend to cover a larger number of sites and groups than rapid assessments.

Approach: Comprehensive education needs assessments may be designed and conducted jointly by cluster partners. More often, however, comprehensive

assessments involve coordinating the data collection and analysis being done by individual agencies and organising it into a coherent report.

Methods: Comprehensive assessments are typically conducted under less severe time constraints, with relative stability and accessibility to sites and groups. This allows for use of sampling and data collection methods listed below, which can produce more reliable, representative, disaggregated information.

Sampling approach	Data collection methods	Sources
Representative sampling: choose sites and respondents in a way that enables findings to be reliably generalised to the broader population	Surveys of schools/learning spaces	School administrators, and (head) teachers
	Key informant interviews	Community leaders, local education officials, and active organisations
	Focus group discussions	Teachers, parents/community members, children and young people
	Observations	Schools, classrooms and teachers

Analysis: More thorough analysis is possible and expected when conducting comprehensive needs assessments.

Documentation: Reports from comprehensive, joint education needs assessments should include greater detail than rapid assessment reports, including more extensive explanation of the findings (eg, by comparing them with other relevant studies) and greater detail on the methodology.

Where feasible, it is useful to document the needs assessment process itself, to capture challenges and lessons learned for future work, learning within other clusters, and to feed into wider cluster knowledge management processes through the Education Cluster Unit (ECU).

6.5 Mapping available capacities

6.5.1 Purpose and types of capacity analysis

Capacity analysis is an integral part of any needs assessment. It is done to determine the existing resources and capacities of key education actors and other stakeholders to fulfil the types and amounts of needs identified through the needs assessment. The data from capacity analyses can assist the Coordinator and cluster partners to identify and address gaps and duplication in coverage among education actors.

Capacity analysis should bring together three main types of information that reflect key sources of capacity for an education response:

Humanitarian agencies: Information on **Who does What Where (When)** (referred to as the 3W or 4W) is typically gathered and maintained during the preparedness and response phases. In order for 3W data to be useful for determining coverage and identifying gaps, it must be up to date and reflect the capacities of all major education stakeholders, not only those agencies that are actively involved in the cluster. For this reason, updated 3W data, including any additional detail needed for the affected sites, should be collected as part of any needs assessment following an emergency.

Important 3W information to capture for each agency is:

- where they are working
- type of programmes or activities, including specific areas of expertise, eg, Early Childhood Care and Development (ECCD), gender, Disaster Risk Reduction (DRR)
- number of beneficiaries
- start and end dates of programmes
- whether or not the programmes are/will be funded
- any limitations to their capacity (eg, lack of staff or funds).

Government: The resources and capacities of education authorities are rarely reflected in 3W databases, yet are critical to planning the education response in an emergency. In principle, government should be an active partner within the cluster at national and sub-national level. Because this has been a challenge in some contexts, it is important for joint education needs assessments to explore the nature and extent to which education authority capacities have been affected by an emergency.

This might include:

- **human capacities:** key officials/staff in place or appointed (eg, to replace those lost)

- **operational capacities:** usable office space, essential communication infrastructure, transport facilities, essential school supplies
- **institutional capacities:** functioning systems to pay teachers, or supervise school staff.

Community: Primary data collection should generate information on capacities and coping mechanisms within communities to support education after an emergency. For example, are there functioning community education committees, or efforts by families to organise classes in their homes? Understanding this is an essential starting point for planning education responses that build on and strengthen community-based initiatives and capacities.

Joint education needs assessment teams should look across these three groups of stakeholders to analyse the following aspects of capacity:

- **Geographically:** Where are education interventions or existing capacities in place to respond to education needs? Where are there none or few (under-served areas)? Where is there duplication or overlap in coverage that may require redistributing efforts or resources?
- **Inclusion:** The needs of which groups are currently, or can be, met by cluster partners? Which are not? For example, children aged 6–12, young people.
- **Technically:** What technical capacities in education in emergencies are well covered by existing cluster partners? Which are not? For example, teacher training, addressing gender-based violence (GBV) occurring in schools, establishing child-friendly spaces.

6.5.2 Capacity-mapping tools

OCHA Who does What Where (3W)

When collecting and compiling 3W data it is generally recommended to use the standard OCHA 3W application to enable the data to be easily compiled and reports generated using OCHA's 3W database. See http://www.humanitarianinfo.org/IMToolBox/web/02_SP.html for current examples.

In countries where OCHA has established an interactive inter-agency web platform, the Coordinator, Information Manager/IM focal point and cluster partners can input data directly into the OCHA 3W database and thereby generate 3W maps, reports, contact lists, and geo-referenced data for additional map production if required. Guidelines on using the database and samples of the products generated are included in the 'Additional resources' listed at the end of this section.

The format for OCHA's 3W database is not always well suited, however, to a cluster whose partners may prefer to adopt school locations as the common variable between data sets, rather than GPS coordinates or P-codes.

Furthermore, use of the OCHA tools can be time-consuming and it demands a level of IT capacity that may be lacking among some cluster partners. This is an issue that will need to be considered by the Coordinator and Information Manager/IM focal when establishing the cluster.

Alternative capacity mapping tools

Alternatively, a cluster application or template can be adopted for gathering data on the 3Ws. If a database application such as MS Access is not feasible, it is advisable to develop the cluster template in MS Excel to enable easier completion by partners, and management and analysis of the data within the cluster. Selection of an appropriate application will depend on a number of factors, including the nature and amount of data, and the complexity of interrogation needed for effective analysis. See: <http://office.microsoft.com/en-ca/help/HA010429181033.aspx> for further guidance.

For those cluster partners without the software or skills for these applications, an additional paper-based reporting template may be required. Tool 6 within the *Education Cluster Joint Needs Assessment Toolkit* provides a template that can be readily adapted. Data collected through MS Word tables or hard-copy forms will require additional data entry capacity within the cluster, potentially at sub-national and national levels. If this approach is adopted, allowance will need to be made for sourcing and financing additional staff or volunteers.

Education Cluster Capacity Assessment and Preparedness tools

The ECU has developed a three-part country-level capacity mapping toolkit. It aims to guide clusters through a process of assessing the operating environmental capacity and the organisational and individual capacities of cluster partners, culminating in the development of a Capacity Development and Preparedness Action Plan.

Tool	Purpose
Tool 1: The Humanitarian and Education Sector Capacities Tool	To understand the education context within which any response will take place
Tool 2: The Organisation CV	To map the standing capacity of organisations to mount emergency education interventions
Tool 3: The Organisation Capacity Self-Assessment Tool	To identify the biggest capacity gaps among education actors. Also to assist individual agencies in establishing where their own capacities/capacity gaps are

The mapping tools are much more in-depth than the basic 3W tool, in order to assess capacity needs in terms of preparedness, funding, staffing levels and experience, and available resources.

These tools are **designed for use prior to an emergency onset** during normal cluster operations, and particularly in ongoing emergency settings or in countries at high risk of natural disasters where there may be a sudden-onset emergency.

They can be used as part of the cluster's annual planning process, but include comprehensive information about in-country education agency and sector capacity. Where available, this represents a significant resource for the Coordinator in coordinating the cluster response. The tools provide:

- a level of baseline data
- a basis for making comparison across different parts of the country, and pre- and post-emergency situations
- an indication of existing education response capacity, in terms of data, people and resources.

The capacity assessment process involves:

- setting up a Workshop Planning group within the cluster
- completion of the three assessment tools
- analysis of the assessment data collected
- organisation of a Capacity Assessment and Preparedness workshop to verify results of the assessment process
- formulating the Capacity Development and Preparedness Action Plan.

The tools were developed in Afghanistan and the Philippines in 2009, and the complete capacity assessment and preparedness process was subsequently trialed by the Ethiopia Education Cluster.

Additional resources – on the accompanying CD

 OCHA *Who does What Where (3W) User Manual*

6.6 Ongoing monitoring and review

6.6.1 Overview of monitoring education interventions

Purpose:

Ongoing monitoring by the cluster is required to:

- track changes in the emergency situation and evolving needs
- assess the progress and impacts of the cluster response
- facilitate upward and downward accountability to stakeholders
- promote and highlight achievements and lessons learned to inform ongoing decision-making and future cluster interventions.

Challenges and benefits of joint monitoring:

As with needs assessments, there are numerous **benefits** to conducting monitoring activities in a coordinated fashion across cluster partners:

- ✓ Improves the effectiveness of the cluster response, as ability to see 'the wider picture' enhances decision-making and prioritisation.
- ✓ Saves money and resources.
- ✓ Provides stronger evidence for reporting to donors and supporters.
- ✓ Provides a sound basis for advocacy and mobilising further resources.

However, a number of **obstacles** are often faced in establishing joint monitoring mechanisms, including:

- Implementing agencies may already have onerous requirements regarding monitoring and reporting to their own donors and organisations.
- Joint monitoring may be perceived as having limit value by some agencies, particularly if it involves them in gathering data not directly relevant to their own programmes.
- Partners may lack time, skills or resources to be able to conduct effective joint monitoring.

Given these challenges, significant effort may be required by the Coordinator to build commitment and agreement on use of common monitoring tools/frameworks. **Approaches** to this that have been successful include:

- building on existing monitoring tools in use by individual agencies
- highlighting 'what's in it for them' (draw on the benefits listed above)
- establishing a dedicated working group for coordinated monitoring.

Role of the Coordinator in monitoring

- ✓ ensuring adequate, coordinated monitoring mechanisms are in place across all cluster partners
- ✓ monitoring the implementation and impact of cluster strategic response plans
- ✓ soliciting the necessary technical support (eg, IM support) and financial provisions for monitoring activities.

6.6.2 Forms of monitoring and review

As with education needs assessments and strategic response planning, the INEE Minimum Standards provide a holistic inter-agency tool that can be used to support the development of tools and approaches for monitoring and review.

Follow-up assessments

Joint education needs assessments should not be seen as one-off exercises. Data collected from initial assessments may not always be completely accurate and reliable. For instance, following completion of a rapid needs assessment, qualified teachers may have returned to the affected area. Also, given the rapidly changing conditions that characterise most emergencies, assessment of the emergency conditions should not be limited to the initial phases. It is essential to conduct follow-up assessments to fill gaps in understanding and adapt the education response accordingly.

Situational monitoring

Repeat joint education needs assessments can serve to monitor, and identify changes in, the overall situation. However, in some cases this may be achieved more cost-effectively through pre-existing monitoring mechanisms. For example, it will not always be possible to bring together all cluster partners to conduct joint follow-up assessments several months into an emergency.

As an alternative, standard measurements should be agreed within the cluster for individual agencies to use as part of the monitoring and evaluation of their own programmes. Data on common indicators can then be regularly (eg, every six months) compiled and analysed to measure and report on the changes to the education situation to which all cluster partners have contributed. This would enable the Coordinator and cluster partners to be more accountable for the results, thereby better fulfilling one of the key functions of the cluster's role.

Examples of education-related indicators for use in situational monitoring include:

- proportion of schools within reasonable distance of learners (as per national standard)

- major risks faced by boys, girls, and teachers while travelling to and at schools/learning spaces
- estimated proportion of boys, girls in the affected community not participating in school
- estimated average attendance of students (M/F/total)
- key skills or knowledge relevant to the emergency context are being taught in affected schools, eg, landmine awareness
- proportion of teachers (M/F) no longer able to come or no longer coming to work as a result of the emergency/crisis
- estimated average attendance of teachers (M/F/total)
- student-to-teacher (M/F/total) ratio
- ratio of female-to-male teachers.

Progress monitoring

Progress monitoring is used to track the outcomes and progress of the **overall education in emergencies response**. Data from initial education needs assessments can serve as part of the baseline for follow-up assessments. However, additional baseline data is often needed for a more specific set of indicators relevant to specific education programmes and for the particular target populations.

Examples of education outcome indicators to track through progress-monitoring are:

- net attendance rate (M/F/total)
- proportion of learning spaces housed in temporary facilities
- proportion of learning spaces/schools with reliable access to clean drinking water
- pupil-to-textbook ratio
- proportion of schools/learning spaces with skills-based education on crisis-related health and protection topics
- proportion of schools/learning spaces with functioning school management committee(SMC)/parent-teacher association (PTA) or other committee with parent involvement.

Joint reviews/evaluations

Periodic joint review of the cluster plans and performance are critical as a 'check' on the objectives and progress of the education response. This requires analysis of both situation monitoring and progress-monitoring data. In addition, periodic review of the effectiveness of the cluster itself is recommended, to determine its performance in facilitating a more predictable, coordinated and effective education response. Further details on cluster performance can be found in section 5.4.

Provided cluster partners and affected community representatives are actively involved, joint reviews can also serve to strengthen team working and

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

Key questions to guide a joint review:

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

Additional resources – on the accompanying CD

- 📖 Emergency Capacity-building Project (2007) *Impact Measurement and Accountability in Emergencies: The Good Enough Guide*

7

Development of cluster plans

7.1	Responding to context
7.2	Strategic response planning
7.3	Developing a strategic response plan
7.4	Education component of the Common Humanitarian Action Plan
7.5	Linking emergency response and early recovery
7.6	Emergency preparedness and contingency planning

This chapter provides the Education Cluster Coordinator with guidance on using information generated from the needs assessment, capacity-mapping, and gap analysis processes, to generate appropriate plans for guiding the Education Cluster response. It relates specifically to responsibilities³⁸ in:

- leading the strategic development of the cluster including development of strategies, work plans, coordination of response activities and taking into account the cross-cutting issues
- supporting sector-wide contingency planning including support to the development and application of sector-wide emergency preparedness plans and capacity-building of cluster partners.

Key points

- Strategic response plans should complement and build on the government's own response plans/efforts, wherever possible.
- Use the Inter-agency Network for Education in Emergencies (INEE) Minimum Standards and overarching principles for education in emergencies as a framework to ensure that strategic response plans address all necessary components of education.
- Strategic response plans should be simple and flexible, as they will need to be regularly updated in response to the changing situation.
- Strategic response plans must be agreed by all cluster partners and should reflect cluster priorities including priority cross-cutting issues and response objectives, mutual roles and commitments, response strategies, an overall timeline and proposals for transition and handover.

³⁸ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

7.1 Responding to context

Tips for responding to context

- ✓ Responding to context requires a good appreciation of the country context prior to an emergency, in addition to an understanding of the context of the emergency itself.
- ✓ When considering the context and impact of the emergency, it is important to appreciate how this varies over different phases of the emergency (acute, response, recovery), and at different levels, eg, individual, community and society.
- ✓ Similarly, gather information about the context from as diverse and wide a range of sources as possible, to limit the risk of bias.
- ✓ Develop a comprehensive understanding of the emergency context, and any particular challenges it presents for the education sector.
- ✓ Seek relevant advice on political sensitivities and security issues (especially in conflict-affected countries) and take due consideration of these factors in planning the cluster response.
- ✓ Carefully gauge the capacity of government and cluster partners in planning the education response, and identify needs for specialist expertise as early as possible, to enable appropriate response strategies, eg, distance education, community mobilisation.

7.1.1 Emergency contexts

UNESCO/IIEP has developed specific training materials designed to provide government and cluster partners with a concise outline and descriptions of different types of emergencies, and their impacts on education. The content of this section is based on these materials.³⁹

Complex emergencies

A complex emergency is a crisis caused by conflict, often armed and nearly always political. Complex emergencies tend to ebb and flow and are characterised by intermittent periods of major and then minor violence. Different phases of complex emergencies can be divided into **acute conflict**, **chronic instability**, and **post-war restoration**. In practice, the phases are likely to overlap and are not necessarily chronological.

³⁹ <http://www.iiep.unesco.org/fr/developper-les-capacites/technical-assistance/approach-to-work/capacity-development.html>

Complex emergencies and impact on education

Level of impact	Acute conflict	Chronic instability	Post-war restoration
Personal	<ul style="list-style-type: none"> • Children witness or directly experience violence • Displacement uproots children and families • Future seems uncertain • Children witness or directly experience sexual abuse 	<ul style="list-style-type: none"> • Low morale within family • Repeated displacement causes loss of possessions • Conflict shapes prejudices • Future offers little hope • Cases of sexual abuse put children, especially girls, at risk of HIV and other sexually transmitted infections 	<ul style="list-style-type: none"> • Families reunited but livelihoods weak • Homes rebuilt if resources permit and people return to communities but primary/secondary education may be lacking or weak • Bereavement over loss • Expectations exceed possibilities of new reality • Reduced capacity for reconstruction due to poor health/diseases
System	<ul style="list-style-type: none"> • Government incapacitated to manage school system • School buildings destroyed • Curriculum and learning aids looted or destroyed • Paralysed systems not operating in new context • UN or host government runs education 	<ul style="list-style-type: none"> • Absence of effective government system • Lack of trained teachers • Repeated destruction of schools and materials • Language of instruction becomes political • No widespread recognition of education alternatives • Difficulty in achieving sustainability 	<ul style="list-style-type: none"> • Focus on physical reconstruction of schools, neglect of other issues • Rapid means for training teachers necessary • Curriculum revisions required to fit new context but skills and resources lacking • Schools continue/return to pre-conflict use of traditional teaching methodologies like rote learning
Society	<ul style="list-style-type: none"> • Populations move 	<ul style="list-style-type: none"> • Erosion of 	<ul style="list-style-type: none"> • Large influx of

	<p>in large numbers to a concentrated area</p> <ul style="list-style-type: none"> • High level of physical danger • Loss of livelihoods • Community reluctant to invest in services 	<p>positive cultural practices and identity</p> <ul style="list-style-type: none"> • Breakdown of social networks caring for children • Challenges of integration for displaced people and former combatants • Erosion of society's core values 	<p>aid creates dependency</p> <ul style="list-style-type: none"> • Social status affected by role within conflict • Cultural activity needs to be revitalised • New skills necessary in building society
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Children's rights to education during conflict are endorsed in a number of international protocols including the UN Security Council Resolutions 1612 (2005) and 1882 (2009).

Strategies for enabling access to education during and after armed conflict

While conflict situations may seriously inhibit the opportunities for gaining access to affected areas and populations, there are a number of strategies that can be considered by the Coordinator and cluster partners to ensure a basic level of access to education for children affected by conflict.

✓ **Physical protection**

transport, escorts, security guards, reinforcing buildings, on-campus housing of staff, relocation of threatened students, staff and schools, assisting endangered academics, negotiation with both sides to designate schools as zones of peace

✓ **Community protection**

school management committees/security sub-committees provide volunteer guards, escorts, negotiate with potential attackers, community involvement in curricula content and school governance

✓ **Adaptation of education provision**

- home/community-based schools
- accelerated learning/bridging programmes for older students
- distance and open learning programmes
- meet psychosocial needs of staff and students
- enrich curriculum with safety and health messages, and education for human rights, conflict resolution, humanitarian law

- alternative venues for education to reduce the risk of schools being targeted
- peace and reconciliation promotion.
- ✓ **Other approaches**
 - community engagement in the protection and defence of schools
 - engagement with non-state entities to support them in their humanitarian activities
 - advocacy and international pressure on the part of the international community.

Further guidance on each of these approaches is provided in the notes on *Approaches to Ensuring Access to Education during and after Armed Conflict* included in the 'Additional resources' listed at the end of this section.

Natural disasters

Natural disasters that devastate communities range from earthquakes to floods, hurricanes to drought, and include blizzards, landslides and cyclones. While natural disasters occur all over the world, certain locations are at greater risk, due to their geography, increasing environmental degradation, or high levels of poverty which render them more vulnerable to the impact of natural disasters and less able to cope with the effects. Repeated disasters in economically impoverished areas therefore multiply the effects of a natural disaster. The problems that arise in the initial devastation phase of a natural disaster are different from those in the recovery and reconstruction stage.

Natural disasters and impact on education

Level of Impact	Initial Devastation	Recovery and Reconstruction
Personal	<ul style="list-style-type: none"> • Children witness or directly experience mass destruction of life and property • Homes destroyed; displacement uproots children and families • Many children separated from family • Children fear repeated disasters • Children may be affected psychologically, either by their own personal experiences or indirectly through stresses placed on their families and communities • Family focus on loss and little hope for future 	<ul style="list-style-type: none"> • Families reunited but livelihood impaired • Homes rebuilt and people return to communities but education facilities diminished • Bereavement over loss • Continued fear of impending disaster

System	<ul style="list-style-type: none"> • Government overwhelmed with immediate needs of population, limited or no support to schools • Disaster makes access difficult and movement of teachers and staff impossible • School infrastructure can be destroyed • Homeless and displaced people sometimes use schools as shelter • Possible lack of teachers • System for paying teachers breaks down • Curriculum and learning aids destroyed 	<ul style="list-style-type: none"> • Focus on reconstruction of schools rather than teacher training, content of education • Lack of appropriate curriculum content • Low-quality teaching as schools reopen • Need for training teachers on disaster preparedness and environmental care • Displacement creates large class sizes and shifts burden on to existing schools • Low levels of emergency aid for education leave schools in a poor state of repair
Society	<ul style="list-style-type: none"> • Populations move in large numbers to a concentrated area • Level of physical danger of disaster remains high • Loss of livelihoods • Damage to roads and infrastructure slows immediate response 	<ul style="list-style-type: none"> • Populations remain displaced for economic reasons or fear of repeat disaster • Poverty slows reconstruction, leaving physical damage continuously visible • Funding tapers off shortly after disaster • New skills necessary in building society

7.1.2 Population groups affected by emergencies⁴⁰

Refugees

Refugee population needs are not officially covered by the cluster approach, although in many countries agencies and actors working to serve refugee needs, including UN High Commissioner for Refugees (UNHCR), participate in cluster coordination planning and activities.

Particular challenges include the following:

- Refugee families have suffered unforeseen displacement and sometimes traumatic circumstances. Many families are keen to admit their children into

⁴⁰ Adapted from UNESCO/IIEP (2006) *Guidebook for Planning Education in Emergencies and Reconstruction*

school but some are traumatised, and others too preoccupied with subsistence problems to do this.

- The host government may refuse or be unable to admit refugee children to local schools. However, even when refugee children are admitted into local schools, there may be access problems. For example, local schools may be already overcrowded, especially in urban areas; the refugee population may be too large; teachers may not speak the same language/the languages of instruction may be different; the curriculum may be different. In these conditions, separate schools are needed for refugee children, especially at primary level.
- Access to education is generally greatest for refugees when they live in camps or settlements (rather than scattered among the host populations). UNHCR has the mandate to support education for refugees, as a contribution to a durable solution to their problems.
- Humanitarian agencies often do not allocate large budgets to secondary or tertiary education, and cannot afford expensive scholarships for refugees. For this reason, it is often cheaper to support separate schools for refugees.

Internally displaced persons (IDPs)

Particular challenges include the following:

- As with refugees, IDP families have suffered forced displacement and sometimes traumatic circumstances. Many families are keen to admit their children into school but some are traumatised, and others too preoccupied with subsistence problems to do this.
- Security concerns are usually considerable, both for the IDPs and for agencies that would like to support education programmes. The local population or government may not welcome IDPs.
- In countries with multiple languages, IDP children and young people may be unable to integrate into local schools if they do not know the language used there.
- IDP camps and settlements may not receive attention from national or international authorities or organisations for some time after an emergency has occurred. Therefore, access to schooling may be delayed.
- Usually there are fewer resources for IDP education – both from the international community and from the government.
- For IDPs in reasonably secure situations, education authorities generally try to provide education in existing schools. This puts an extra burden on local schools if enrolment increases substantially. For large IDP camps or settlements, additional schools will be needed.

Returnees and non-migrants

Returnees – refugees or IDPs who have made the journey back to their home country or area.

Particular challenges include the following:

- Some returnees may not want to return to their original home areas for reasons of safety and security. This may concentrate the number of students into fewer areas of return, leading to pressure on facilities in those areas.
- Some returnees discover that schools in their home areas have been badly damaged or destroyed during the emergency.
- Returnee families may not have the resources to pay for their children's education. In some cases, the international community may be present and providing resources for targeted specifically to returnees, which is bad practice since local communities may resent it.
- Both returnee families and those who never migrated may have lived through years of poverty due to war and insecurity. Consequently, they may find it difficult to support their children in school or provide resources to re-establish or operate schools.

Non-migrants – Part of an emergency-affected population may not be able or may not wish to leave their homes during conflict or insecurity. This could include those who are too poor, old or sick to migrate. People may be trapped by warfare.

Particular challenges include the following:

- Access to education may be completely cut off for reasons of security, the flight of local teachers, lack of school materials, or the lack of resources to sustain education in the community.
- Administration of the national school system is extremely difficult in areas of conflict and insecurity.

Resentment may occur if agencies give particular assistance or preferable treatment to refugees, IDPs or returnees. Those who 'stayed behind' may feel they carried the brunt of the burden of the emergency.

Additional resources – on the accompanying CD

- 📖 UNICEF and Save the Children (2009) *Approaches to Ensuring Access to Education during and after Armed Conflict*, handout from *Education in Emergencies Training, Facilitators' Guide*

7.2 Strategic response planning process

7.2.1 Purpose of strategic response planning

The purpose of strategic response planning is to enable a coordinated, evidence-based and predictable approach to Education Cluster action. The need for a clear strategy to guide the cluster response is underlined in the INEE Foundational Minimum Standards Category: Analysis.

INEE Foundational Minimum Standards Category: Analysis **Standard 2: response strategy**

Key indicators

- Disaggregated baseline data are collected systematically at the start of a programme.
- Education response strategies reflect a clear understanding of the overall data.
- Valid benchmarks and indicators are identified to monitor the impacts of the educational response on children, young people and the whole community.
- Information collected from the initial assessment is updated with new data that informs ongoing programme development.
- Education response strategies prioritise the safety and wellbeing of all children and young people, including those who are vulnerable or have special education needs.
- Education response strategies progressively meet the needs of emergency-affected populations for inclusive and quality education, and serve to strengthen national education programmes.

The planning process should address the responsibilities of the CLA in:

- ✓ identification of gaps, and updating agreed response strategies and action plans for the cluster, and ensuring that these are adequately reflected in overall country strategies, such as the Common Humanitarian Action Plan (CHAP);
- ✓ drawing lessons learned from past activities and revising strategies accordingly
- ✓ developing an exit or transition strategy for the cluster.

The **transition strategy** for the cluster should be an area of focus at the time of cluster establishment. It should NOT be left until later.

Ideally the cluster will have a clearly defined working relationship with any existing Education Sector Working Group, at the time the cluster is established. Plans for cluster transition should be made in collaboration with this group.

A strategic response plan is the planning tool used to define the strategic direction for the cluster response. Key components include:

- overview of education sector needs analysis and agreed priorities
- response objectives
- response strategies
- indicators
- timeline
- strategy for monitoring and updating (refer to section 6.6).

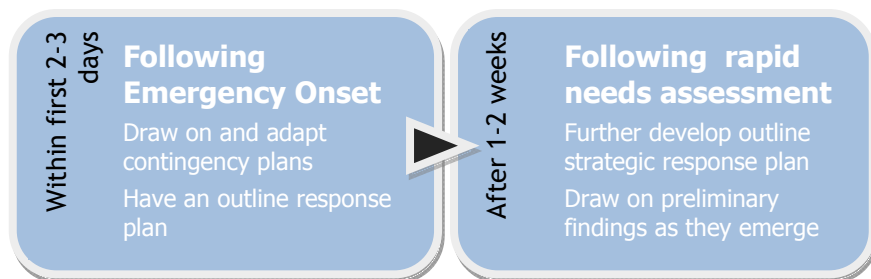
Response strategies set out the specific methods or approaches taken to address agreed priorities and objectives in the cluster. They define the role and responsibilities of key actors, and indicate the capacities available in undertaking the strategy.

In large-scale emergencies with a large number of cluster partners, there may be a need for a broader overall strategic framework to guide not only prioritisation and activity planning, but also programmatic and operational aspects of the cluster, such as agreed principles, policies and standards (see section 3.1). These would be incorporated in a single strategy document.

However, there is no specific requirement for the Coordinator to incorporate this level of detail unless either the complexity of the situation or the needs of cluster partners render it necessary. Whatever form of plan is developed, it must be developed in collaboration with the relevant education authorities and aligned with appropriate national strategies, eg, national development plans, sector-wide approaches, poverty reduction strategy papers, national disaster management plans or the Common Humanitarian Action Plan.

7.2.2 Timing of response planning

In some emergency contexts, objectives and response strategies to address critical life-threatening needs may need to be defined in the first few days, in the absence of reliable assessment data. Similarly, an overview of the cluster's response plans may be needed for the Flash Appeal within one week of emergency onset. Likely stages in response planning for a large-scale emergency are set out as follows:



a) **Following emergency onset** (within first 2–3 days)

(Refer to section 6.3 for details of joint rapid needs assessments.)

The Coordinator will need to draw up a basic response plan, based on a Humanitarian Coordinator (HC)/Resident Coordinator (RC) and Humanitarian Country Team (HCT) 'common assessment of needs' (if available). This should be done in collaboration with government and cluster partners to guide subsequent rapid needs assessment planning and assist in guiding the cluster response priorities over the first three to four weeks.

- Draw on and adapt contingency plans drawn up as part of emergency preparedness, where available.
- Draw on available secondary data:
 - pre-crisis data gathered from cluster partners can help to verify key issues (ie, gender considerations, available capacities)
 - findings from rapid needs assessments of other clusters
 - media reports.
- Have an outline response plan before getting embroiled in planning for assessments.
- Use the outline response plan to provide cluster partners with a guiding framework for indicators and standards, and as the basis for submitting the cluster proposals for a Flash Appeal or Central Emergency Response Fund (CERF) funding (see section 8.2 for further details on funding mechanisms).

At this stage, information will be limited and may be unsubstantiated but nevertheless will help to ensure a focus on critical life-threatening issues. In one to two pages, set out the main findings of the preliminary assessment(s), including:

- the overall aim of the Education Cluster response
- the main problems identified, assumptions being made, and overall objectives for addressing the problems
- the main priority needs and broad strategies to be adopted

- an outline indication of the main actors
- details of any gaps, where known.

b) Following rapid needs assessment (after 1–2 weeks)

The outline response plan, created in the first week, can be further developed to guide the forthcoming three- to six-month period. Section 7.3 outlines different stages in this process. In practice, the process will involve combined stages, with constant review and revision.

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

The latter stages of response planning may run alongside a more comprehensive assessment process, drawing on preliminary qualitative findings as they emerge (see section 6.4). The strategic response plan generated will need continuous updating and modification in response to the changing situation, emerging needs, and the outcome of ongoing activities.

7.2.3 Who should be involved in the response planning process?

Ideally, the relevant education authorities, in conjunction with the Coordinator and cluster partners, will lead the planning process. If there are a large number of cluster partners, it may be prudent for the Coordinator to establish a smaller working group to collaborate with government representatives on initial drafts of the plan. This will enable faster and more effective decision-making; however, it is critical to ensure that all other cluster partners are properly consulted and kept fully informed.

In addition, ideally there should be **equal representation of those affected** by the strategic response plan, as there is of those implementing or resourcing the plan. This includes affected students, teachers and community members. For more guidance see INEE Foundational Minimum Standards Category: Community Participation.

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

- ✓ consider community capacities for filling gaps
- ✓ facilitate and support community proposals for addressing agreed cluster priorities

- ✓ identify an active role that affected community members can play in establishing realistic indicators and monitoring them (see sections 6.6 and 7.3)
- ✓ choose a balance of men and women of different ages and ethnicities to participate in the planning process.

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

7.2.4 Challenges in strategic response planning

Common challenges	Strategies for addressing
<ul style="list-style-type: none"> ✗ Plans become outdated and are of limited use. 	<ul style="list-style-type: none"> ✓ Take into account changes to context and the longer-term perspective. ✗ Update plans regularly with cluster partner participation.
<ul style="list-style-type: none"> ✗ Plans become driven by cluster partner projects, rather than overarching cluster objectives. 	<ul style="list-style-type: none"> ✗ Develop cluster objectives based on INEE Minimum Standards categories and advocate for cluster partner projects to link to these common objectives. ✓ Keep it simple: keep priorities and objectives to a minimum.
<ul style="list-style-type: none"> ✗ Plans are unrealistic, with too many activities, which cannot be achieved within the time frame or in the local context. 	<ul style="list-style-type: none"> ✓ Plan around available and confirmed capacities and resources. ✓ Avoid being over-ambitious; it is easier to scale up activities over time. ✓ Adopt a phased or incremental plan in the immediate response.
<ul style="list-style-type: none"> ✗ Plans are inaccurate owing to inadequate or ineffective investigation, verification and analysis of data. 	<ul style="list-style-type: none"> ✗ Check and regularly review planning assumptions and preliminary data sets. ✗ Review plans regularly with receipt of new assessment data. ✗ Adopt a thorough and systematic approach to needs assessments and Information Management (IM) (see Chapters 5 and 6).
<ul style="list-style-type: none"> ✗ Plans are not accepted or 'owned' by cluster partners, or affected communities, owing to inadequate consultation and communication. 	<ul style="list-style-type: none"> ✗ Involve affected community members, or groups representing them, in the planning process. ✗ Share plans through sub-national level meetings or at school parent–teacher association (PTA) meetings.

<ul style="list-style-type: none"> × Plans are seen as biased in favour of the Cluster Lead Agency (CLA) or more powerful cluster partners because of inadequate stakeholder representation. 	<ul style="list-style-type: none"> × Engage a smaller working group with a broad representation of cluster partners in drafting the plan. × Ensure robust systems are in place for objective determination of cluster priorities and allocation of responsibilities/response activities.
<ul style="list-style-type: none"> × Plans are not understood because they use inappropriate language or terminologies, or lack relevance to the context. 	<ul style="list-style-type: none"> × Clearly relate plans to the country and emergency context. × Use simple language and agreed-upon terminologies.

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

Additional resources – on the accompanying CD

<http://onerresponse.info/resources/imtoolbox/Pages/default.aspx>

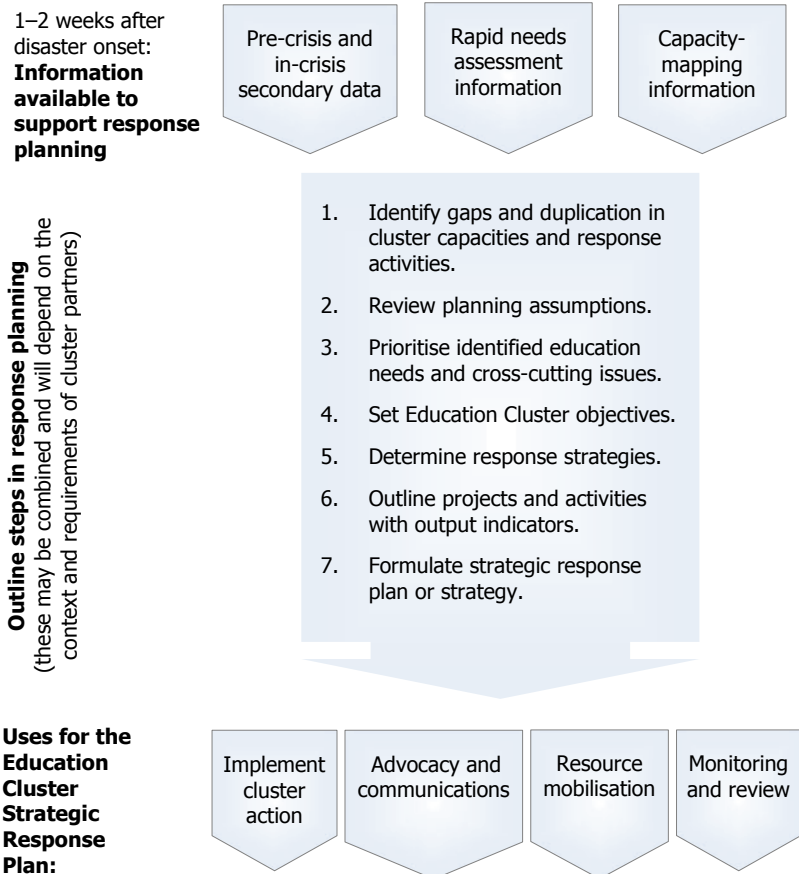
➤ Details of strategic planning resources from the Emergency Shelter Cluster:

<http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=304>

7.3 Developing a strategic response plan

There are no standard templates or specific requirements for strategic response planning in the Education Cluster; however, the following section sets out steps which can assist in ensuring that a systematic process is followed. As a minimum the Coordinator, together with government and cluster partners, needs to ensure that there is shared agreement to the overarching cluster objectives, priorities for the education response, and coverage of needs among cluster partners.

7.3.1 Overview of response planning steps



The Coordinator role is to:

- ✓ agree on and lead the strategic response planning process with government and cluster partners and relevant stakeholders
- ✓ advocate with cluster partners to fill identified gaps
- ✓ ensure that agreed objectives and response strategies address the overarching principles for education in emergencies and INEE Minimum Standards or equivalent national standards
- ✓ facilitate the process of agreeing implementation strategies and the allocation of responsibilities across cluster partners
- ✓ advocate for mobilising resources to address gaps and capacity shortfalls through the HCT, CLA(s), other clusters, government agencies, private sector, media
- ✓ ensure that previous contingency plans are taken into account, and that emergency preparedness and measures for transition are built into the planning process
- ✓ remember that in the case of critical gaps in humanitarian needs that cannot be met by cluster partners, it may be necessary to approach the CLA(s) as the Provider of Last Resort (PoLR) (see section 2.2).

7.3.2 Key steps in strategic response planning

Step 1: Identify gaps and duplication in cluster capacities and response activities

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

Ensure that the initial objectives are realistic and focus on life-threatening and life-sustaining humanitarian needs while capitalising on any opportunities that may exist to initiate recovery straight away.

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

In order to identify gaps:

- Overlay assessment and capacity-mapping information.
- Present the findings in visual form to help interpretation, eg, maps.

- Match relevant needs to the 'focus' of cluster partners in each locality, eg, agencies mandated to work with particular groups, or with particular expertise or capacities, such as sexual and other forms of gender-based violence (SGBV) or teacher training.
- In locations that appear to be 'covered', ensure that the implementing agencies have the necessary financial, human and material resources to meet the scale of anticipated needs.

Step 2: Review planning assumptions

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

Some planning assumptions may be based on information provided by others outside the cluster, eg, size of the affected population(s), or proportions of men, women and children affected. Additional assumptions may be made around cluster capacity and the suitability of technical solutions or methodologies, eg, on the basis of previous experience or similar contexts. Errors commonly occur in making assumptions about:

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

Keep assumptions as accurate as possible, because inaccuracies will limit the effectiveness and impact of cluster action. Assumptions should be reviewed as part of the ongoing cluster monitoring and review process (see section 6.6).

Step 3: Prioritise identified education needs

The purpose of prioritisation is to **ensure that Education Cluster action is focused on the most pressing needs for the greatest number of affected people**, while targeting particular needs of the most vulnerable (eg, children affected by HIV/AIDS, orphans, girls, boys or girls forced to fight, unaccompanied minors, marginalised ethnic groups, or children with disabilities).

On the basis of the preliminary assessment findings:

- ✓ Focus on the immediate needs, and the most vulnerable.
- ✓ Focus on needs which can be addressed within the means available.
- ✓ Consider the underlying socio-economic situation (eg, entrenched ethnic tension, low-level civil or political unrest) and assess the impact of potential scenarios and the longer-term perspective.
- ✓ Consider the differing priorities of boys, girls, young people.

- ✓ Where feasible, prioritise needs that promote early recovery, emergency preparedness and local capacity-building.
- ✓ Consider opportunities for tackling cross-cutting concerns, eg, conflict mitigation, gender discrimination in school attendance and participation, gender-based violence in schools, including sexual exploitation and abuse, addressing protection concerns.
- ✓ Review and adjust existing national disaster or crisis management and contingency plans, as appropriate, for the identified priorities.

How to prioritise

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

The Coordinator will need to determine a **transparent method for prioritisation** that is **acceptable to all cluster partners**. Otherwise, cluster partners are unlikely to work to the objectives drawn from it. Whether prioritisation can be done for the overall response, or location by location, will depend on the context and type of emergency.

- Record the main problems and needs in a framework to assist in systematic prioritisation.
- Establish any major population movements, including where people have come from, and their current location.
- Rank the needs in order of severity, on the basis of between three and five critical issues (eg, children affected by HIV/AIDS, orphans, girls, boys or girls forced to fight, unaccompanied minors, marginalised ethnic groups, or children with disabilities):
 - What is the impact on children and young people in terms of their education and learning if this problem is not addressed?
 - What proportion of the total affected population(s) and most vulnerable groups is affected by this problem?
 - What are the current coping strategies and forms of assistance, and how long can these be sustained?
 - What are the anticipated threats and risks over the coming months, and how will these affect the problem identified?
 - Are the resources and means (eg, transport) available (or in the pipeline) to address this problem or need?
- Consider the costs and resources required for addressing each problem. A simple cost-benefit analysis can be used, taking the total estimated cost for addressing each problem and the total number of people that would be assisted.
- Compare the outcomes, and select priorities accordingly.

Step 4: Set cluster objectives

Objectives can be defined as 'expected outcomes' or results. In the context of the Education Cluster, the Coordinator, together with government and cluster partners, will need to identify wider or 'overall objectives'. These represent the purpose that individual projects undertaken by cluster partners will be seeking to address.

Objectives must:

- ✓ be **SMART** = **S**pecific + **M**easurable + **A**chievable + **R**ealistic + **T**ime-bound
- ✓ address the priority problems and needs identified, with specific attention to life-threatening and life-sustaining issues
- ✓ be tailored to particular stages or aspects of the response within the planning period
- ✓ take account of context, security and access, resource availability, local capacity-building and early recovery, and prioritised cross-cutting concerns
- ✓ relate to community needs and interests, rather than external operational goals.

The **INEE Minimum Standards** provide the overarching standards framework for the Education Cluster, and should be used to assist the cluster in defining objectives, and selecting appropriate outcome indicators, on the basis of the relevant education issues that need to be addressed. Refer to section 3.1.4 for full details.

Step 5: Determine response strategies

Response strategies are the methods or approaches taken to address the agreed education priority needs and achieve the cluster objectives.

Explore the options

Explore a number of alternative response strategies in relation to each of the prioritised needs and problems. This will need to be done rapidly, so keep the response options to a minimum.

Focus on what is feasible and appropriate

Derive response strategies from consideration of the context and constraints to implementation, and from an examination of alternative uses of resources and capacities.

Tips for defining appropriate response strategies

- ✓ Ensure that final response strategies can address the priority problems and needs within the required time frame.
- ✓ Check that strategies are feasible, eg, the necessary financial, human and material resources are available, all physical and security constraints can be overcome, and that they are politically and culturally acceptable.
- ✓ Adopt strategies that are appropriate to context, build on local structures, and enhance local capacities wherever possible.

Cautionary notes

The suitability of response strategies may be very short-lived in the early cluster response.

- ✗ Lack of time or information may prevent deeper analysis of the causes of problems and needs resulting from a crisis.
- ✗ Subsequent short-term actions can lead to more serious long-term problems in ongoing service provision, eg, re-establishing schools and learning centres, protecting the right to education, etc.
- ✗ Similarly, limited consultation or verification of information can lead to inequitable support and conflict at community level.
- ✗ The situation on the ground can change rapidly and dramatically, particularly in complex emergencies.

Such risks can be mitigated.

- ✓ Review and revise response strategies regularly as new information unfolds.
- ✓ Consult continuously about the effectiveness of Education action and new developments in the crisis.
- ✓ Consider the longer-term perspective.

Step 6: Outline projects and activities with output indicators

Once the cluster objectives and response strategies are defined, it will be possible to match projects and activities, in different locations, and for different phases of the cluster response, to this framework. In some cases these may relate to cluster partner projects that have already been planned or started. However, it is vital that the planning process is driven by agreed priorities and objectives for the cluster response, and not by available capacities and planned projects of cluster partners.

This may demand a process of negotiation with cluster partners, particularly if duplicated projects need to be changed, or re-located, or some cluster partners may be asked to take on activities in locations or areas of education activity they had not originally planned. However, achieving this degree of coordination will help ensure that the cluster covers priority needs in the most systematic way.

In order to ensure that the projects and activities identified by the cluster will produce results that contribute directly to attaining the cluster objectives, it is advisable to identify SMART output indicators.

Output indicators

Quantitative ways of measuring or qualitative ways of judging timed production of outputs.

An example of output indicators:

For an earthquake-related emergency where one of the cluster objectives is to “provide access to at least 10 hours’ basic education per week for 200,000 children (5–13 years) and young people (14–16 years), over a 3–6 month period”, through a strategy of renovating and/or establishing temporary schools.

- *% of children 5–12 years old (M/F) and young people 13–18 years old (M/F) in earthquake-affected areas attending school/learning environments*
- *% of school/learning spaces meet earthquake-resistant construction standards*
- *% of school/learning spaces with adequate learning materials*
- *of teachers (M/F) with minimum qualifications (eg, 10 or more full days of teacher training).*

Step 7: Formulate the strategic response plan

The strategic response plan brings together all the stages outlined above. It will also feed into national-level humanitarian response planning (see section 7.4).

- ✓ Draft a concise plan (maximum four pages) for the first 3–6 months, outlining:
 - overall goal
 - priority problems/needs to be addressed, with specific objectives for each
 - the response strategies to be adopted, with links to relevant education in emergencies principles and standards, and national strategy documents
 - the allocation of responsibilities and resources (ie, stating specifically who is doing what, where, and with what material and financial resources)
 - specific measures for emergency preparedness and transition planning

- measures for monitoring and updating the plan.
- ✓ Within the plan, highlight: any assumptions made; unmet needs, especially those of vulnerable groups or at different levels of education; resource gaps; and opportunities for local capacity-building and early recovery.
- ✓ Disseminate the plan widely among cluster partners (donors, other clusters and affected communities), and ensure plans are clear and easy to translate or explain.

How can response plans be used?

Implementation and monitoring and review of education programming (see sections 5.4 and 6.6)

- ✓ The proposed response strategies, and details of cluster partner coverage/activities, provide the basis for guiding the implementation of cluster action.
- ✓ The objectives and indicators, defined during the response planning process, provide an effective framework for monitoring cluster progress, outcomes and impact.

Mobilising resources (see section 8.2)

- ✓ Successful funding appeals are dependent on providing a robust analysis of the emergency situation, including the principal and emerging problems, their causes, and appropriate strategies being used to address them. Donors will also expect to see plans aligned with government and broader humanitarian response strategies.
- ✓ The cluster strategic response plan should also provide the detail needed for the education component of the Common Humanitarian Action Plan (CHAP). See further details in section 7.4
- ✓ Inadequate analysis, or documentation of needs and subsequent priorities, can lead to wasted resources as new and existing cluster partners commit time, funding and materials to problems or locations that are not a priority, leaving other gaps unfilled.

Communication and advocacy (see section 8.1)

- ✓ Analysis and evidence documented within the Education Cluster Strategic Response Plan will assist in quickly developing early advocacy and external communications without the need for separate assessments and research.

Additional resources – on the accompanying CD

 UNESCO (2009) *Education Indicators Technical Guidelines*

➤ Guidance on developing indicators:
<http://www.smartindicators.org>

7.4 Education Component of the Common Humanitarian Response Plan

7.4.1 The Common Humanitarian Action Plan

The Common Humanitarian Action Plan (CHAP) is an overall strategic plan for humanitarian response in a given country, covering all relevant sectors. It constitutes the core of the Consolidated Appeals Process (CAP – see section 8.2 for full details of all pooled funding mechanisms) but can also serve as a reference for organisations that decide not to participate in such an appeal.

A CHAP includes the following sections:

Section	What goes in it
Context	An analysis of the context and humanitarian consequences (humanitarian needs and risks, taking account of the capacities and vulnerabilities of different affected population groups)
Scenarios	Best, worst and most likely scenarios
Strategic priorities	Including clear statements of longer-term objectives
Goals, and prioritised plans for each sector	All sectors include their plans in the overall CHAP/CAP
Monitoring and review	A framework for monitoring and review of the humanitarian situation and sector plans

The HCT under the leadership of the HC/RC develops the CHAP. Other key stakeholders in humanitarian action should be consulted, in particular the host government and donors.

Steps in development of the CHAP

- The Coordinator coordinates and submits information in the CAP format about all ongoing or planned projects within the cluster, drawn from a planning process similar to the one outlined in this section. This information should include projects already funded by other donors, as this helps to highlight funding shortfalls and to reinforce advocacy messages.
- The HC/RC, in consultation with government representatives and donors, leads a one-month consultation exercise with the HCT (or CAP sub-group) to consider detailed assessments, priorities and appropriate strategies for a longer-term response. Selected projects from different clusters form the basis for the Common Humanitarian Action Plan (CHAP).

- The document is launched globally near the end of each year to enhance advocacy and resource mobilisation. An update, known as the Mid-Year Review, is presented to donors the following July.
- Donors generally fund appealing organisations directly, in response to project proposals listed in the Appeal. Non-governmental organisation (NGO) projects can be listed separately, rather than under the umbrella of a UN agency (eg, UNICEF), which can help to overcome funding delays and NGO concerns about autonomy.

7.4.2 The education strategy for the CHAP/CAP

A CHAP should normally include:

- ✓ priority education needs and risks
- ✓ corresponding education strategy, with no more than five objectives for the education sector and no more than five key education indicators for measuring progress towards objectives
- ✓ list of the organisations that will contribute to this education strategy, and an outline or chart showing the complementarity between proposed activities
- ✓ brief explanation of how the cluster/sector group will monitor implementation and the achievement of objectives; the implications if the education strategy is not implemented.

The strategy must be evidence-based and clearly linked to one or more of the agreed overall strategic humanitarian priorities, and include the main organisations working in the education sector.

Individual projects must be reviewed and agreed upon by cluster partners, and support the defined education response strategy.

Sample criteria for project selection⁴¹

Strategy: the project addresses priority areas in the agreed education strategic response plan and will help to achieve agreed cluster objectives, using agreed activity-level response strategies.

Organisational capacity: the appealing organisation has the technical expertise in-country, capacity and mandate to implement the project, or can mobilise this operational capacity as required.

Population: the project targets one or more of the priority vulnerable population groups identified by the HCT.

Geographical area: the project will be implemented in a region that is considered to be a priority for humanitarian education action.

⁴¹ Adapted from IASC, (2004) *Guidance for CAP Project Selection and Prioritisation*,

Timing: the project can make a measurable impact in the time frame of the appeal (usually one year).

Other context-specific criteria: eg, projects that promote gender equality, mitigate conflict, focus on HIV/AIDS (where this is a major concern) or disaster preparedness, and help to build local capacity.

Additional resources – on the accompanying CD

 IASC (2008) *Technical Guidelines for Consolidated Appeals*

7.5 Linking emergency response and early recovery

Linking emergency response and early recovery is essential in ensuring that there is adequate focus on longer-term education needs and the sustainability of interventions undertaken as part of the initial education in emergencies response.

Within the cluster approach, the CLA(s) through the Coordinator is responsible for ensuring the necessary shift in programming as priorities move from emergency response to longer-term recovery and development. In order to do this, the Coordinator, in collaboration with government and cluster partners, needs to include early recovery strategies and procedures for phasing out or handing over cluster activities as an integral part of strategic response planning.

Alongside these planning provisions, strong linkages should be established between humanitarian and development actors within the education sector. A key link will be the relationship between the Education Cluster and any existing Education Sector Working Group, or similar sectoral coordination mechanism.

Early recovery strategies will only be effective if they provide the necessary support to government and other national and local partners from the outset of the response, in order to build up their capacity to continue work that has already started. In addition, they should address ongoing needs for emergency preparedness and other disaster risk reduction measures, and facilitate strong linkages between humanitarian and development actions, as appropriate

7.5.1 Making the transition from emergency response to recovery

At the end of the emergency response phase, some clusters, such as emergency telecommunications, will be terminated and some, such as emergency shelter, will merge into the early recovery cluster. Others, such as health, education and water, sanitation, hygiene (WASH) will be go through transition into the recovery, reconstruction and longer-term development phases. Strategies for transition or phasing-out need to be included as an integral part of strategic response planning, along with benchmarks for transition or handover, and measurable indicators.

Phasing-out or transition

A phase-out or exit strategy is primarily a process of moving from emergency relief or response to recovery and development, addressing a change in the roles of the UN agencies and other humanitarian organisations in the country.⁴²

⁴² From IASC (1997) *Exit Strategy For Humanitarian Actors In The Context Of Complex Emergencies*

Care may be needed in use of the term 'exit strategy' in some contexts, as this can cause concern, particularly among government partners and affected communities. Terms such as 'transition' or 'handing over' may be more appropriate. IASC provides guidelines for the 'Exit Strategy for Humanitarian Actors in the Context of Complex Emergencies', which are included in the 'Additional resources' listed at the end of this section.

Also important to bear in mind are the challenges presented by some clusters becoming dormant while others remain active. In some circumstances it may be necessary to find alternative sources of capacity to support the cluster, eg, for WASH or shelter. Or there may be a requirement to take over certain aspects of activity that were previously being undertaken by others, eg, hygiene promotion.

The requirements for cluster phase-out or transition will depend on the nature, scale and anticipated duration of the emergency. Plans for this process of merging or handing over should be undertaken with the full participation of the HC/RC and government partners, and a broad indication of the anticipated process should be outlined within the cluster's strategic response plan. The models outlined in section 2.4.1 illustrate how the Education Cluster can work towards merging with an existing education coordination mechanism over time.

The strategic response plan will also need to reflect the phase-out and transition plans of key cluster partners, to ensure that particular locations or themes are not suddenly left without coverage of ongoing needs, or preparedness, response, or recovery interventions. Gathering initial cluster partner data and ongoing capacity-mapping (see sections 2.5 and 6.5) will facilitate collection and monitoring of project start and completion dates. Phase-out or transition will normally take place once early recovery activities are well established.

7.5.2 Early recovery

Early recovery is a multi-dimensional process that is organised differently from sector-based groupings. As a common concern it cannot be limited to the work of one cluster. Most of the other clusters on the ground – such as nutrition, health and protection – need to systematically plan and implement early recovery interventions within the context of their own specific areas of work.

The Office for the Coordination of Humanitarian Affairs (OCHA) therefore advocates establishment of a network of early recovery focal points in each cluster, to work together on the integration, mainstreaming and coordination of early recovery issues.

Recovery programming works to restore services, livelihood opportunities and governance capacity. It needs to be an integral part of the initial response efforts.

The Coordinator is responsible for identifying a suitable early recovery focal point for the Education Cluster, if required.

Early recovery measures help to stabilise affected areas as national and local institutions resume provision of basic services and governance functions, such as security, local administration and justice. Furthermore, they promote the psychological recovery of affected persons and restore community dignity and livelihoods.

7.5.3 Linking education and early recovery

Tips to promote early recovery in education

- ✓ Prioritise community self-help projects and approaches in response planning.
- ✓ Mobilise resources and inputs, which can facilitate long-term development, eg, rehabilitation of schools, Disaster Risk Reduction (DRR) measures in schools.
- ✓ Promote government and community responsibility for education programme design, coordination, implementation and monitoring, to maximise ownership and build local capacities.
- ✓ Raise awareness about hazards and what students and community members can do to reduce them.

There are strong links between education in emergencies and early recovery. The resumption of education activity, whether formal or non-formal, is a step towards early recovery for individual learners, disaster-affected communities and societies. This is reflected in the purpose of the INEE Minimum Standards, which are intended to guide, not only the initial response to education needs, but also the need for ongoing support to education through to recovery and reconstruction.

Education as a priority in early recovery.

In 2007, the Tsunami Evaluation Commission found that in Aceh over one-third of Acehese identified their children's education as the most urgent priority, more important than permanent shelter, and even livelihood support/acquisition.

A summary of the report can be found at:

http://www.alnap.org/pool/files/Syn_Report_Sum.pdf

Furthermore, many of the themes within education in emergencies in turn support early recovery, and support other clusters in their attempts to progress towards recovery and reconstruction. For example:

- mine awareness education
- child protection and psychosocial support
- conflict mitigation and peace-building
- vocational training.

The following example from Bangladesh outlines a strategy of incorporating early recovery and contingency planning into pre-existing national coordination mechanisms. It is a good example of how to work within existing mechanisms to ensure sustainable approaches to both early recovery and coordination.

Linking relief and recovery in Bangladesh

Prior to Cyclone Sidr in 2007 an existing education coordination mechanism, made up of the Ministry of Education and national education NGOs, called the Education Local Consultative Group (LCG) existed in Bangladesh. Education in emergencies stakeholders, including UNICEF, agreed that rather than developing a parallel structure it would be more appropriate to create an education in emergencies sub-group within the LCG. This group could then take on concerns that were specific to education in emergencies. A Sector-Wide Approach (SWAP) plan was also in existence, providing guidance on the medium- to longer-term plans for the education sector.

When the cyclone hit in 2007, 496 school buildings were destroyed and a further 2,110 were damaged. The education in emergencies sub-group advocated to the Ministry of Education that the SWAP should include education in emergencies as a focus area. This would allow for consideration of funding and implementing important emergency response and recovery activities within the education sector, when needed. Since then, the government, in coordination with relevant actors, has been able to respond quickly to natural disasters.

This example draws from the strength of the education in emergencies sub-group in considering medium- and longer-term education interventions in collaboration with the larger education sector coordination group. It also gives the members of the Education LCG the opportunity to gain experience in emergency planning and management as partners within the Education Cluster, to ensure preparedness for potential future emergencies, while linking them to early recovery and development planning.

Example provided by Hassan Mohammed/UNICEF Bangladesh, 2009

The following strategies should be considered as part of the cluster's strategic response planning process, including what resources will be needed as well as how to plan for the transition. Additional guidance is provided in the early recovery cluster *Early Recovery Guidance Note*, 2008 which is included in the 'Additional resources' listed at the end of this section.

Cluster strategies to support early recovery

- ✓ Efforts in long-term reconstruction should be factored into emergency response planning in order to address the need for longer-term

rehabilitation through dialogue and agreement between relevant humanitarian and development organisations.

- ✓ As the scale of the emergency reduces, explore how education activities can promote a return to normal schooling.
- ✓ Re-establish access to education services, including formal and non-formal education.
- ✓ If constructing temporary school buildings that cannot later be absorbed into national education systems in situ, adopt the use of construction materials and technologies that can be readily re-sited, re-used, and dismantled in the longer term.
- ✓ Mitigate conflict and reduce future disaster risks through active community participation, peace and citizenship education, disaster risk reduction and contingency planning.
- ✓ Support community-driven education-related projects by funding and promoting partnerships with local organisations.
- ✓ Engage national, provincial and local government, and traditional authorities in planning and decision-making at all levels.
- ✓ Promote community-based approaches in cluster programming.
- ✓ Strengthen community organisational capacity and rights-based awareness through training and recruitment of community mobilisers.
- ✓ Ensure the learning environment is free from dangers that may cause harm to learners.
- ✓ Develop training programmes for teachers, learners and the community to promote safety, security and protection.

PHILIPPINES: Principal-led school building programme

In the Philippines, the Department of Education (DepED) adopted the Principal-Led School Building Programme approach, wherein principals or school heads take charge of the implementation management of the repair and/or construction. Assessment, design and inspection functions are provided by the DepED engineers, who also assist the Principal during the procurement processes. The Parent Teacher & Community Association (PTCA) and other stakeholders in the community are responsible for auditing all procurements. With support from AusAid, 40 classrooms were retrofitted to resist typhoons, using this approach. Complementing the retrofitting works, training is provided to teachers, students and staff, and disaster management is integrated into the school curriculum.

Source: <http://www.adpc.net/v2007/Programs/DMS/PROGRAMS/Mainstreaming%20DRR/Downloads/Philippines.pdf>

Additional resources – on the accompanying CD

- 📖 CWGER (2008) *Guidance on Early Recovery*
- 📖 Global Early Recovery Cluster (2008) *Early Recovery – Compilation of Tools and Resources*
 - Overview of resources and links to further information on early recovery
 - Link to the Early Recovery Cluster:
<http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=80>
 - INEE Technical kit on education in emergencies and early recovery:
<http://www.ineeserver.org/qsd/library.dll/inee/1.10.0000>

7.6 Emergency preparedness and contingency planning

7.6.1 Reducing disaster risk

Disasters occur as a result of natural hazards such as earthquakes or flooding, or man-made hazards such as conflict or industrial accidents. However, not all hazards result in disaster.

A disaster only occurs when a society or community is overtly affected by a hazard; that is, the event overwhelms their capacity to cope. The occurrence of disasters is directly linked to a society or community's vulnerability to a particular hazard, and different societies, communities, groups and individuals may be more vulnerable to certain sorts of hazards than others.

Vulnerability may be related to, and increased by, economic, social, cultural, institutional, political, psychological or environmental factors. Whatever the driver, it is generally the weakest groups in society that are most badly affected, eg, the very young, the very old including widows, unaccompanied children, single-female-headed households, single, unaccompanied women, marginalised groups, and people with disabilities. Assessing and understanding hazards and vulnerabilities is critical to effective emergency intervention.

Key definitions ⁴³	
Disaster (or 'emergency' in the context of this Handbook)	A "serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceed the ability of the affected community or society to cope using its own resources".
Natural hazards	"Natural process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage" if we do not take measures to prevent these impacts.
Risk	The product of hazards over which there is no control, and vulnerabilities and capacities over which control can be exercised.
Vulnerability	The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard. A school is said to be 'at-risk' or 'vulnerable' when it is exposed to known hazards and is likely to be adversely affected by the impact of those hazards if and when they occur.
Retrofit	The reinforcement or upgrading of existing structures to become more resistant and resilient to the damaging effects of hazards, eg, school buildings.

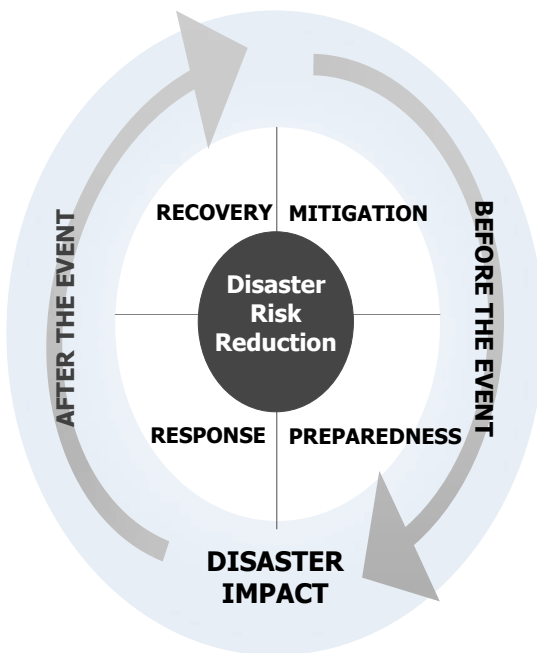
⁴³ Cited from the United Nations International Strategy for Disaster Reduction Terminology which "aims to promote common understanding and common usage of disaster risk reduction concepts" (UNISDR, 2009).

Disaster Risk Reduction (DRR)

Definition: **Disaster Risk Reduction** is the concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

Disaster reduction or disaster risk reduction involves the development and use of policies, strategies and practices which aim to minimise vulnerabilities and disaster risks throughout the disaster cycle. Disaster risk reduction needs to take place at all levels.

The disaster cycle⁴⁴



Mitigation –

process of lessening the adverse impacts of hazards and related disasters.

Preparedness –

knowledge and capacities developed by government, communities, cluster partners to reduce vulnerability and anticipate, respond to, and recover from, the impacts of hazards and related disasters.

Response –

provision of emergency services during or immediately after a disaster in order to save lives, address/reduce vulnerability, and meet basic needs of the people affected.

Recovery –

Restoration and improvement where appropriate, of living conditions of disaster-affected communities, including efforts to reduce physical, economic, environmental and social vulnerability and other disaster risk factors.

⁴⁴ Adapted from J Twigg, *Disaster Risk Reduction*, Good Practice Review No. 9, Humanitarian Practice Network, Overseas Development Institute, 2004

In the **context of education**, disasters affect the continuity of education through damage to infrastructure and barriers to access and learning, including pre-existing gender barriers. The goals of DRR⁴⁵ are therefore to:

- ✓ create safe learning environments with safe construction and retrofitting
- ✓ maintain safe learning environments through school disaster management
- ✓ protect access to education through educational continuity planning
- ✓ promote formal/informal disaster prevention and preparedness education
- ✓ promote schools as centres for community risk reduction.

Strategies to reduce disaster risks in education are detailed in section 3.3.2. The Coordinator, in collaboration with government and cluster partners, plays a key role in DRR through:

- ✓ involving education authorities, teachers, affected community members, and students in all aspects of cluster planning
- ✓ facilitating systematic analysis of potential natural and man-made hazards as part of emergency preparedness and contingency planning
- ✓ identifying and mitigating the risk of hazards in emergency preparedness and strategic response planning, eg, in building design
- ✓ prioritising awareness and understanding of vulnerability and disaster risks, eg, through hygiene promotion, HIV and AIDS, gender-based violence, including sexual violence and exploitation and abuse, and mines awareness training
- ✓ promoting long-term measures to reduce the impact of disasters for highly vulnerable groups, eg, non-formal education, vocational or adult education.

7.6.2 Emergency preparedness

Emergency preparedness is critical, owing to the increasing incidence of natural hazards, and subsequent disasters, the most recurrent being wind storms and floods. Being aware of hazards and being better prepared for potential disasters can significantly reduce their adverse effects. These preparations can also be useful in the event of civil unrest or conflict that leads to population displacement or damage to education institutions.

In the **medium- to longer-term** response, the Education Cluster should aim to map and build in-country education capacity, and develop contextualised tools and resources, as appropriate. This will contribute to national preparedness for responding to future emergencies.

The **immediate response** effort should be focused on building emergency capacities at community level as an integral part of cluster partner programming.

⁴⁵ See: http://www.ineesite.org/index.php/post/drr_and_the_inee_minimum_standards

Tips to facilitate emergency preparedness

- ✓ Find out, if there is a National Plan for Education, whether emergency preparedness features in the plan.
- ✓ Join the inter-sectoral contingency planning working group and/or national working group. If there is not one, consider working to help create one.
- ✓ Focus on reducing vulnerability within education programming, eg, through attention to livelihood needs, environmental impacts.
- ✓ Promote the lead of national and local partners in the design and implementation of emergency preparedness measures to promote sustainability, eg, school-based emergency plans, teaching students and teachers what to do in disasters.
- ✓ Facilitate regular review, testing and update of contingency plans as an essential element of emergency preparedness.

7.6.3 Preparedness measures in the Education Cluster

There may be situations where emergency strikes in a location or country where there has been limited previous humanitarian activity or presence; however, in most situations there will be some level of national and/or international preparedness.

Ideally the Coordinator, in responding to a new emergency situation, will be able to draw on these preparedness measures, thereby increasing the predictability, efficiency and speed of the education in emergencies response.

In order to maintain this state of 'readiness', an integral function of the cluster and of the Coordinator role is to ensure that essential preparedness measures are put in place or reviewed and updated, including information management and needs assessment systems and tools, contingency-planning, capacity-mapping and pre-positioning of education stocks and resources.

Cluster strategies to support emergency preparedness

In the cluster:

- ✓ Participate in government and inter-cluster contingency and preparedness planning events, and advocate for a section on education in emergencies or an Education Sector Emergency Preparedness and Response Plan within the national education sector plan (see text box below and the Bangladesh case study in section 7.5.3).
- ✓ Identify sources of surge capacity and stocks of education supplies to support future needs for education in emergencies.

- ✓ Raise awareness of disaster risks and preparedness measures, including relevant guidance from the INEE Minimum Standards, among cluster partners and local communities.
- ✓ Establish baseline pre-crisis data sets and where possible align information management (IM)/knowledge management (KM) tools and systems with the existing Education Management Information System (EMIS) at national and sub-national levels.

In education in emergencies programming:

- ✓ Retrofit schools to withstand earthquakes and other disasters.
- ✓ Identify and monitor major risks through contingency planning and contribute to early warning.
- ✓ Integrate disaster awareness and knowledge of preparedness measures in education activities.
- ✓ Reduce risks through environmental and water management measures, eg, drainage and flood barriers at schools.
- ✓ Strengthen disaster preparedness, eg, building organisational capacity at community level.

National Education Preparedness Plan: A sign of success

For the Coordinator, a starting point is to guide development of a **National Education Preparedness Plan**, which ideally can be institutionalised as part of the sector's annual planning and budgeting cycle. The ultimate goal is to have line ministries include such planning and budgeting as part of their normal planning cycle.

A National Education Preparedness Plan provides a framework from which a contingency plan can be developed. In a small country affected by similar types of emergencies, the contingency plan will flow very easily and naturally from the National Education Preparedness Plan. Indeed, there may not be much difference – similar numbers in the various regions affected by the same type of hazard.

However, in larger countries or countries with lots of sub-national variability in terms of geography, population, types and scale of emergencies, it may not make sense to develop a single National Contingency Plan, as the likely scenarios would differ considerably.

In such cases, an agreed National Education Preparedness Plan can provide the framework for developing individual sub-national contingency plans, which address the detailed characteristics and potential hazards for each sub-national location.

7.6.4 Contingency planning

Definitions:

Contingency plans provide an outline of the likely response requirements in the event of a subsequent emergency.

The IASC defines a contingency plan as a management tool used to analyse the impact of potential crises so that adequate and appropriate arrangements are made in advance to respond in a timely, effective and appropriate way to the needs of affected populations.⁴⁶

Contingency planning is a tool to anticipate and solve problems that typically arise during a humanitarian response.

Risk analysis is a methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that could pose a potential threat or harm to people, property, livelihoods and the environment on which they depend. Analysis should focus on the most critical hazards. This can be done through a Risk Analysis framework such as the one illustrated below. Assigning risk levels can help decision-makers prioritise mitigation efforts.

Triggers are particular sets of circumstances or events that indicate a change in the situation. Historical data on previous emergencies can help identify possible triggers, eg, increasing incidence of inter-community violence prior to civil war, or prolonged storms prior to flooding.

LIKELIHOOD	Very high	IV	IV	V	V
	High	III	IV	IV	V
	Medium	III	III	IV	IV
	Low	II	III	III	IV
	Very low	II	II	III	IV
		Low	Moderate	High	Very high
IMPACT					

Risk is estimated by determining the impact of a hazard and its likelihood of occurrence. The greater the frequency of hazards and magnitude of impact, the greater the risk is. Combining these two characteristics in a matrix can help to determine the risk level of a particular area. An area exposed to a rare hazard such as an earthquake, with a high impact, may receive a level III rating, whereas cyclones which generate less impact, but are much more common,

⁴⁶ IASC (2007) *Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance*

might receive a level IV rating. Areas of highest risk exist where hazards are common and have high impacts.

Many disasters lead to increased vulnerability of both people and the environment, contributing to increased chances of a subsequent emergency. Contingency planning saves time and resources in planning and preparing for a response.

Tips for effective contingency planning

- ✓ Build on existing disaster or crisis management and contingency plans, structures, and projects – avoid introduction of parallel contingency measures.
- ✓ Adopt a participatory approach to ensure that contingency planning responsibility rests in national hands and that there is an accurate understanding of local risks and norms.
- ✓ Establish a mechanism for review and updating of plans from the start.

Education Cluster action

Contingency planning may be combined with the strategic response planning process, or it may be undertaken separately but preferably with the involvement of the same cluster partners, and in particular the Coordinator and government partners. Steps in the planning process include:

- ✓ On the basis of learning from previous emergencies, current vulnerability assessments, and existing preparedness measures, identify potential hazards and associated risks.
- ✓ Use scenario-building to assess the potential impact and consequences of the hazards identified. In some situations, particularly in complex emergencies with uncertain movements of people, this may be difficult, and establishing an estimated level of overall need may be preferable.
- ✓ For each scenario, outline the trigger factors, risks, assumptions, specific objectives and suggested response strategies (the Côte d'Ivoire Consolidated Action Plan provides a useful example of scenario planning. It is included in the 'Additional resources' listed at the end of this section).
- ✓ Outline cluster preparedness measures that might be needed, eg, monitoring of trigger indicators, training or simulation exercises, regular security assessments, and collaborative operational agreements.

Once the Education Cluster Contingency Plan is drafted, or updated, the Coordinator will need to:

- ✓ disseminate contingency plans and preparedness procedures to cluster partners and other stakeholders
- ✓ incorporate associated resource requirements into funding appeals
- ✓ put any necessary agreements in place, eg, warehousing, emergency ports clearance, secondment of government staff and equipment
- ✓ establish a system for monitoring and review of contingency plans.

Education Cluster Contingency Plan Template*

Overall Objective:

Specific Objectives:

Planning Assumptions:

Requirements:

Activities to be undertaken before an emergency

#	Activities	By Whom	When
1.			
2.			

Activities to be undertaken during an emergency

#	Activities	By Whom	When
1.			
2.			

Activities to be undertaken after an emergency

#	Activities	By Whom	When
1.			
2.			

Resources required

Education materials/supplies:

Human resources:

Funding:

Disaster mitigation activities to be undertaken

#	Activities	By Whom	When
1.			
2.			

*From: UNICEF and Save the Children (2009) *Education in Emergencies Training Facilitator's Guide*

Liaising with government authorities

The Coordinator may also be involved in an inter-cluster Contingency Planning Working Group (CPWG) under the direction of the HC/RC. See the Inter-Agency Standing Committee (IASC) *Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance*, included in the 'Additional resources' listed at the end of this section.

Developing an education contingency plan is vital, but as a Coordinator it is important to be aware of how the different sectoral contingency plans dovetail and how OCHA interfaces with the National Disaster Management Authority or its equivalent, to ensure effective coordination.

If there is a National Disaster Management Authority, it will be involved in consolidating sectoral contingency plans of different line ministries. Depending on the context and country, there may be a need to liaise with a variety of government authorities and institutions in relation to disaster management. The table below explains these various relationships at different levels and potential policy frameworks or plans that should also be considered.

Relationships between UN/Cluster and host country government for contingency planning

UN/CLUSTER	Host country government	Policy frameworks
HC/RC and HCT	Prime Minister's Office	National Development Plan National Preparedness Plan
OCHA – Inter-Cluster	National Disaster Management Authority or Office	National Disaster or Crisis Management Plan
Clusters: sector-specific contingency plans	Line ministry sector-specific plans	National Education Preparedness Plan SWAP

While the two approaches – preparedness and contingency planning – share many of the same planning elements, the primary difference between them is in the level of specificity, with the former outlining preparedness actions to respond to a range of threats and the latter focusing on the preparedness and response capacities required for a specific situation.

Strategic response planning investigates and clarifies the specific needs for the Education Cluster by defining response objectives and strategies, defining management and coordination arrangements and developing response plans.

Additional resources – on the accompanying CD

- 📖 IASC (2007) *Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance*
Aimed primarily at inter-agency contingency planning, these guidelines also provide useful guidance on the contingency planning process.
- 📖 Education Cluster Indonesia, *Contingency Plan*, undated
- 📖 INEE and Global Facility for Disaster Recovery and Reduction (2009) *Guidance Notes on Safer School Construction*
- OCHA's Emergency Preparedness Section website – provides tools, resources, and links to advice on taking emergency-preparedness measures:
<http://ocha.unog.ch/drptoolkit/contacts.html>

8

Advocacy and resource mobilisation

8.1	Advocating for education in emergencies
8.2	Collaborative funding appeals
8.3	Mobilising and building human resource capacity
8.4	Mobilising education supplies

This chapter provides guidance for the Education Cluster Coordinator in advocacy and mobilising resources. The contents of this chapter relate specifically to the Coordinators responsibilities in:⁴⁷

- identifying core advocacy concerns, including resource requirements, and contributing key messages to broader advocacy initiatives of the Humanitarian Coordinator (HC)/Resident Coordinator (RC) and other actors
- advocating for donors to fund humanitarian actors to carry out priority activities in the education sector, while at the same time encouraging sectoral group participants to mobilise or leverage resources for their activities through their usual channels
- promoting and supporting training of staff and developing capacity of humanitarian partners
- supporting efforts to strengthen the capacity of the national authorities and civil society.

Key points

- Understanding and support for education as a priority humanitarian response may be limited – advocacy is critical to mobilising support.
- Advocacy may be necessary to mobilise various kinds of resources linked to education response efforts.
- National and local government, non-government, and community capacities should be central to resourcing the emergency education response.
- Cluster partners play a key role both in assisting with provision, and in the mobilisation of resources, eg, logistics, training capacity.

⁴⁷ Global Education Cluster, *ToR Education Cluster Coordinator*, 29 May 2009

8.1 Advocating for education in emergencies

Definition: **Advocacy** means making a persuasive argument for a specific outcome or change.⁴⁸ It is a strategic way of speaking out with a view to influencing and changing policies, practices or attitudes.

Advocacy arguments are context-specific and must be based on clear evidence. There are different forms of advocacy; the most persuasive involve arguments or communications that are targeted at rights issues or political interests, to create political will. In principle, any advocacy argument or communication must contribute to the objectives or interests of the group or individual being targeted.

Advocacy may be carried out by a group of like-minded people in a public way, such as collective Education Cluster or Humanitarian Country Team 'statements' about humanitarian concerns. Or it may be undertaken by individuals in a private way, eg, dialogue between the Coordinator and government representatives about education resources, or with donors about funding requirements.

8.1.1 Use of advocacy in the Education Cluster

Purpose:

There are several ways in which advocacy is used within the cluster:

- for gaining acceptance and support for education in emergencies as a humanitarian priority and a right
- for resource mobilisation
- for awareness-raising.

Advocating for education in emergencies as a humanitarian priority

Everybody has the right to education, regardless of the context they live in. Yet wars and natural disasters deny generations the knowledge and opportunities that an education can provide. Education should be seen as a priority component of emergency assistance, along with other emergency responses such as shelter, water and sanitation, health and food aid.

Education in emergencies, chronic crises and early reconstruction must be seen in a broad context; it is education that protects the wellbeing, fosters learning opportunities, and nurtures the overall development (social, emotional, cognitive and physical) of people affected by conflicts and disasters. Education efforts in emergencies can be based on three core principles:⁴⁹

- the right to education

⁴⁸ UNICEF *Emergency Field Handbook*

⁴⁹ Adapted from Save the Children, *Education in Emergencies Resource Toolkit*, and detailed guidance notes drawn from INEE, *Talking Points: Education in Emergencies*

- the priority that communities give to education
- the role of education in providing protection.

Advocacy is a strategic way of getting these arguments across. The importance of education in emergencies is well documented in a range of international principles and guiding frameworks. These are set out in detail in section 3.1.1.

Specific guidance on advocating for and promoting education in emergencies is offered by the Inter-agency Network for Education in Emergencies (INEE) through a range of tools and resources:

http://www.ineesite.org/index.php/post/promotion_advocacy/

A number of additional advocacy resources and guidelines are included in the 'Additional resources' listed at the end of this section.

The right to education

- ✓ **Education is a right** – This right is articulated in various international humanitarian and human rights instruments, including the Geneva Conventions, which apply in times of war, as well as the UN Convention on the Rights of the Child 1989, the Universal Declaration of Human Rights and many regional human rights instruments. Education is also an integral part of the right to a life with dignity as embodied in the Sphere Project Humanitarian Charter.

A Sudanese refugee in Chad, describing the vital importance of education to refugees in crisis situations, said: *"In this war, our cattle has been taken by the Janjaweed and we had to flee our land. We had to leave behind all of our possessions. The only thing we could bring with us is what we have in our heads, what we have been taught – our education. Education is the only thing that cannot be taken from us and upon which we can build a better life for our children."*

Extract from INEE, *Talking Points: Education in Emergencies*, p. 2

- ✓ **Education is essential to child and adult development** – Education equips people with the life skills and knowledge that enable them to play an active role in the community, and as adults, gain access to greater social and economic opportunities. In emergencies, increased assistance and innovative programmes offer opportunities to build back better education systems and improve the quality of and access to education.

The priority that communities give to education

- ✓ **Education is a priority** – Education is prioritised by communities and offers a lifeline to them. Communities often start up some kind of education or school themselves during an emergency. However, maintaining this during a crisis is difficult when there is less local capacity and resources.
- ✓ **Education is a platform for community outreach** – Schools can also provide a platform for other types of community-level intervention on, for

example, hygiene promotion, HIV and AIDS, or landmine awareness. In some emergency contexts they also offer school feeding programmes which play an important role in mitigating the risks of malnutrition and illness among children and young people, and enable depleted food supplies at household level to stretch a little further.

The role of education in providing protection

- ✓ **Education protects** – Education in emergencies is a necessity that can be both life-sustaining and life-saving, providing physical, psychosocial and cognitive protection. It saves lives by directly protecting against exploitation and harm, and by disseminating key survival messages, such as landmine safety or HIV/AIDS prevention. It sustains life by offering structure, stability and hope for the future during a time of crisis, particularly for children and young people, and provides essential building blocks for future economic stability.
- ✓ **Education can promote peace, prosperity and stability** – With well-designed education programming, education can provide an entry point for conflict resolution and peace-building by providing a neutral, structured environment in which to tackle issues such as respect for human rights, and inequality. Failing to sustain and protect education affects the capacity of individuals and nations to recover from crisis and develop.

Advocating for resource mobilisation

Funding for education in conflict-affected, disaster-affected and fragile states is totally inadequate, despite indications that almost two-thirds of children not attending primary school are living in conflict-affected countries and territories.⁵⁰ Similarly, despite greater recognition of the need for, and benefits of, education in emergencies, the sector still lacks the level of humanitarian funding required.

In order to address the consistent shortfall in funding for education in emergencies, effective and repeated advocacy efforts are needed by both the cluster and the Coordinator. The advocacy arguments outlined above can be used to support these efforts.

Awareness-raising

Some cluster partners may find it difficult to distinguish between advocacy and awareness-raising or information dissemination activities. Advocacy may include awareness-raising; however, it goes a step further by seeking to bring about change in institutional policy, positions or practice. For example, if certain groups, such as internally displaced persons (IDPs), are denied access to education, simply raising awareness is not enough. Subsequent action or change in behavior will be needed to secure their access to education.

⁵⁰ UNICEF (2009) *All Children Everywhere: A strategy for basic education and gender equality*

8.1.2 Cluster roles in advocacy

The role of the Coordinator is to identify core advocacy concerns within the cluster and facilitate a process of joint advocacy to bring about the desired outcomes. However, it is possible that advocacy concerns raised by some cluster partners are not necessarily supported by other partners. This is especially the case in politically sensitive or conflict-affected settings. In such situations the Coordinator will need to judge whether there is broad enough consensus across cluster partners about the advocacy concerns being raised.

In all cases it is critical that the Coordinator is clear that s/he is representing the cluster and not the position of individual partner agencies within it. S/he cannot 'speak on their behalf'. Equally, the Coordinator must ensure that it is the cluster's interests that are being represented, not just those of the Cluster Lead Agency/ies (CLA[s]). Failure to act and be seen as an honest broker will have a detrimental effect on the credibility of cluster coordinator role and risk undermining the effectiveness of the cluster itself (see section 2.3.2 for further discussion of the 'honest broker' concept).

Pitfalls to watch out for in managing advocacy efforts

- × When seeking support, bear in mind that the CLA's communications staff may not be familiar with education in emergencies, so it will be necessary to take time to work together to ensure that advocacy messages are effective and technically accurate.
- × Avoid 'branding', particularly when talking to the media, and make specific reference to the cluster interests.
- × Be clear in separating your role as an employee of the CLA, with that of being a neutral representative for the cluster.
- × Ensure that advocacy arguments are focused on education rights for all, in addition to the rights of children.
- × Ensure that advocacy messages do not deliberately antagonise or criticise the government or other stakeholders – maintain the neutrality of the cluster.

Internal CLA(s) communications staff can provide valuable support with advocacy and communications, particularly in accessing the media, mobilising resources and in formulating position statements and key messages. In some cases the Coordinator may be requested to pass communications (especially press releases) through the communications section before publication.

The Coordinator also has a role in contributing to broader advocacy messages through the HC/RC and Humanitarian Country Team (HCT). Consultation with cluster partners will be needed to determine the 'position' of the cluster. These can then be conveyed to the Head(s) of the CLA(s) who will generally act as

spokesperson(s) for the Education Cluster within the HCT (see section 2.2 for further guidance on the CLA[s] roles).

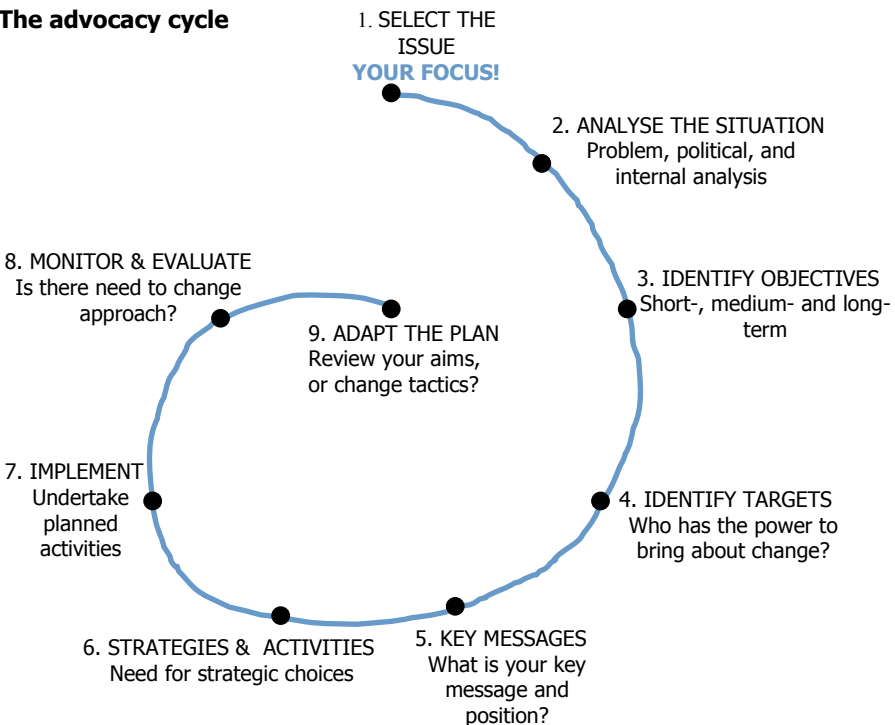
Sources of support for advocacy work

Effective advocacy involves planning, problem analysis, and communication skills. As with other specialist cluster functions, the Coordinator may need to look to others for support. Options include:

- ✓ sourcing expertise from the CLA(s)
- ✓ sourcing professional support from cluster partners or other clusters
- ✓ establishing a working group to take the lead in undertaking the situation analysis, and in developing appropriate advocacy strategies and communications, and providing advice
- ✓ eliciting the agreement from a nominated person or cluster agency to provide ongoing support with cluster advocacy issues.

8.1.3 Undertaking advocacy activities

The advocacy cycle



Advocacy requires careful planning and will need to be done in stages, as with planning any other project, if the desired outcomes are to be achieved. A number of tools and resources are available to support this process, as listed in 'Additional resources' at the end of this section.

The advocacy cycle on the previous page sets out the main steps in developing an advocacy plan or strategy.⁵¹

Step 1: Selecting the problem or issue

There are likely to be several problems and issues that the Cluster is trying to address. However, the Coordinator will need to guide cluster partners in focusing on a specific problem in order to develop an effective advocacy argument.

Points that can be considered in selecting a problem or issue:

- ✓ its relevance and importance in relation to the cluster aims, objectives and priorities
- ✓ broad consensus among cluster partners on an agreed position; this should include government, unless government is the target of the advocacy activity
- ✓ availability of reliable data and evidence in relation to the problem
- ✓ assessment of sensitivity and risk factors, eg, risk to affected populations of increased vulnerability or suffering
- ✓ availability of resources and expertise to support advocacy activities
- ✓ strategic opportunities to support planned advocacy activities, eg, alliance with other clusters.

Steps 2–3: Analysing the problem and identifying advocacy objectives

Having identified and agreed the problem, it will be necessary to analyse it in great detail and compile reliable evidence. Depending on the situation, this may be undertaken by a smaller working group within the cluster.

Three types of analysis should be considered:

Problem analysis – to consider the causes and effects of the problem, eg, using problem tree analysis. This should involve all stakeholders within the cluster.

Political analysis – to consider the political issues in relation to the problem, including guiding policy, or absence of policy, power relations and identification of those who have influence over the problem, eg, politicians, religious or community leaders, teachers, parents, conflicting forces.

Internal analysis – to consider the contrasting views, interests, capacities and experience within the cluster in relation to the problem.

⁵¹ Adapted from Save the Children Denmark (2006) *Child Rights Advocacy Guideline*

Developing a **single overarching objective** will be critical to an effective advocacy argument. This objective should be:

- ✓ specific, focused and narrow
- ✓ achievable within an agreed time frame and given available cluster resources
- ✓ of interest and value to cluster partners and stakeholders in order to generate commitment and support.

Step 4: Identifying targets

With a clear analysis of the problem, the next stage is to determine the targets that the cluster's advocacy efforts need to influence. For example, the objective may be to prioritise establishment of temporary learning spaces in IDP settings. In this case the targets might include community leaders, government partners, the HCT, and the Camp Coordination and Camp Management (CCCM) Cluster. Targets are not usually individuals, as the purpose of advocacy is to bring about some sort of institutional change, although particular individuals may influence the process, eg, the HC/RC.

In addition to the targets, it will be important to consider all other stakeholders who may be in a position to influence the advocacy issues, or will be affected by them. Determine the interests and priorities of both targets and stakeholders, and in particular consider how the advocacy efforts might address their own objectives or problems, ie, 'what's in it for them'.

Targets	Why?	What's in it for them?	Advocacy instruments to use
National and local government authorities	Tackle constraints, eg, access, mobilise resources, influence political and community actors	Means for putting pressure on decision-makers	Negotiation and briefings, field visits
Office for the Coordination of Humanitarian Affairs (OCHA)/HC/RC	Generate support for education in emergencies	Addressing evidence-based needs, linking relief, development and disaster risk reduction (DRR)	Negotiation and briefings
Donors	Mobilise resources, influence funding priorities, gain	Visibility, evidence-based funding, clarity on priorities	Briefings, field visits

	political backing	and impact	
Community/ religious leaders, school committees	Generate public support, mobilise resources	Means for putting pressure on decision-makers, local reputation	Public education campaigns, negotiation, field visits
Teachers, unions	Mobilise resources, influence political and community actors	Means for putting pressure on decision-makers, local reputation	Negotiation and briefings, field visits
Conflicting parties	Tackle constraints, eg, access, reduce risks	Bargaining power	Negotiation

Step 5: Clarifying the cluster’s position and compiling an effective advocacy message

It is a good idea to develop a one- to two-page position paper presenting all the relevant aspects of the advocacy issue on the basis of analysis and knowledge of the problem, the issue itself, the objectives, and the targets (see the example from Haiti, included in the ‘Additional resources’ listed at the end of this section). If work has been undertaken by a smaller working group, this will also serve as a basis for getting input and agreement from remaining cluster partners.

Reaching agreement on a clearly articulated position is the basis for effective advocacy. Alongside this is the need for a concise and consistent advocacy message which can be used by all cluster stakeholders. Some agencies use the term ‘the one-minute message’, recognising situations where there is limited time to present a case, eg, in busy meetings, or TV or radio interviews.

The one-minute message consists of:
statement + evidence + example + action desired

Tips for getting your message across		
Don’t worry about being nervous, but try to be clear	Emphasise the interests of the affected population	Speak with authority – ensure that you are well informed of the current situation
Keep to the point	Have a good punch-line and ‘sound bites’	Avoid jargon and acronyms
Accurately describe needs	Talk from the heart, provide real life examples	Present clear evidence

Steps 6–7: Making strategic choices and implementation of advocacy activities

Before deciding specific advocacy activities, a number of strategic choices need to be made:

- Who should participate? Eg, affected communities, children, young people, teachers
- At what levels will advocacy be undertaken? Eg, national, community, school
- What will be the nature of approach? Eg, cooperative or aggressive
- What channels of communication will be used? Eg, media, unions, civil society, HCT, teachers
- Who will collaborate? Eg, cluster and government partners, global networks, other clusters
- What are the risks and mitigation strategies?

Activity planning involves identifying preparatory activities, activities in reaching and working with the target group, activities to build general and strategic support for the advocacy issue, and finally activities to get the issue on to a 'decision-making' agenda.

Steps 8–9: Monitoring and evaluation and adapting advocacy plans

There should also be a continuous process of follow-up to determine:

- ✓ **progress** being made and to ensure that activities are still focused on the advocacy objective
- ✓ **impact** of advocacy efforts in terms of changes in attitudes, policy or practice
- ✓ **processes** that have resulted in this change, eg, better understanding of education in emergencies.

8.1.4 Interacting with the media

The media can play an important role in disseminating information, particularly at community level, and in raising awareness of advocacy issues and resource requirements.

However, the media have their own agenda and care is needed in addressing sensitivities and ensuring accuracy in drafting releases for the press. Everything is on the record, even when they say it isn't.

Tips for interacting with media

- ✓ Ask for questions before press interviews.
- ✓ Think through the possible questions that might be asked.
- ✓ Have a clear message and ensure that you get it across.
- ✓ If you are not fully informed don't do an interview.
- ✓ Be factual: only use figures that can be verified;
- ✓ Avoid predictions and don't be afraid to say "I don't know".
- ✓ When faced with a contentious question, use a bridging statement to get back to your own point, eg, "I understand your concern, but the real issue is...".
- ✓ Be clear and positive, and where possible, include quotes and figures.
- ✓ Check your mandate/limits before going into an interview.

A good news story is based on real news backed up by facts.

Source: *UNICEF Emergency Field Handbook*, 2005

Role of the Coordinator in interacting with the media:

- ✓ Agree on how the cluster will be represented in media interaction and ensure that all partners' Heads of Agency agree to joint statements.
- ✓ Establish contacts with local and international journalists and radio stations.
- ✓ Prepare immediate press releases and organise press briefings for publicising important information and events. Include human interest stories.
- ✓ Encourage field visits, particularly where current reporting is distorted or insensitive, or local capacities are being undermined.
- ✓ Establish a photo library – ensure sensitivity when using images of children and in reflecting the cultural context. Record photo source, location, and names of those photographed.
- ✓ Maintain an up-to-date overview of the situation and give a contextual background to press releases and statements.
- ✓ Make sure that you have nominated somebody to deal with the press who is competent and available at the right time.
- ✓ Clarify agency-specific requirements for speaking on behalf of cluster members.

Additional resources on the accompanying CD

- 📖 INEE, (2008) *Talking Points: Education in Emergencies and the INEE Minimum Standards*
 - 📖 Save The Children (2009), *Last in Line, Last in School: Donor trends in meeting education needs in countries affected by conflict and emergencies*
 - 📖 OCHA (2007) *Cluster Sector Leader Training Handout: Advocacy*
 - 📖 Haiti Education Cluster (2010) *Advocacy Messages*
 - 📖 Action Aid, CAFOD, CARE, Christian Aid, IRC, Islamic Relief Worldwide, Oxfam, Save The Children (2009) *Enhancing UN-NGO humanitarian financing partnerships to contribute to effective humanitarian response*
- INEE website section on advocacy and promotion for education in emergencies:
http://www.ineesite.org/index.php/post/promotion_advocacy/

8.2 Collaborative funding appeals

8.2.1 Humanitarian financing – the basics

Supply and demand

Humanitarian financing involves managing demands for, and supplies of, funding. Demands are made directly by individual agencies, or through collaborative appeals such as the Flash Appeal, Consolidated Appeal Process (CAP), or via Common Humanitarian Action Plans (CHAPs).

Funding supplies are facilitated through direct funding arrangements, or pooled funding mechanisms such as the Central Emergency Response Fund (CERF), Emergency Response Fund (ERF), or Common Humanitarian Fund (CHF).

Funding demands	Funding supply
Agency appeals Collaborative appeals processes: <ul style="list-style-type: none"> ▪ Flash Appeal ▪ Consolidated Appeals ▪ Common Humanitarian Action Plans 	National government Civil society NGO funds Private sector Bilateral or multilateral donor funds Pooled funding mechanisms: <ul style="list-style-type: none"> ▪ Central Emergency Response Fund ▪ Emergency Response Fund ▪ Common Humanitarian Fund

8.2.2 The Coordinator role in mobilising funding

The Coordinator has an overarching responsibility to ensure that the cluster is able to mobilise the funding necessary to address the priority needs for education in emergencies, and that any funding sourced through the cluster is prioritised to meet the most critical – and under-resourced – themes or cross-cutting issues related to education in emergencies.

Working in collaboration with the CLA(s), government and cluster partners, OCHA and other clusters, his/her role will involve:

- providing guidance on the requirements for appeals, and the project selection process
- assisting local organisations in preparing documentation for appeals
- developing a budget for the ongoing costs of cluster coordination

- collaborating with government and other clusters to maximise complementarity in the selection of projects
- facilitating a process of prioritisation for selection of cluster partner projects to include in appeals
- managing information relating to cluster funds raised, including for cluster coordination, and providing regular updates to cluster partners
- leading accurate, timely completion of appeal documents.

Tracking funding

To get a realistic overview of the funding required to meet education cluster needs, information about all **available funding** (direct and pooled), and all **committed funding** (to cluster partners and projects) is required.

The **Financial Tracking Service** (FTS) provides a useful overview of humanitarian funding requirements and commitments. It is an online database that draws on data from the On-line Projects System (OPS) outlined in the adjacent text box. FTS: www.reliefweb.int/fts

Gathering accurate funding information is difficult, particularly in the early response when information is hazy or agencies are reluctant to provide financial data. However, efforts can be made through ongoing partner mapping and review (see section 6.5).

On-line Projects System (OPS)

The OPS is a web-based database that allows UN agencies and non-governmental organisations (NGOs) participating in consolidated or flash appeals to directly upload their projects and funding requests and update them during the course of the appeal year. The database has been designed with the aim of facilitating information-sharing and the appeal review process for humanitarian actors.

<http://ocha.unog.ch/ops/pageloader.aspx?page=Welcome&>

Furthermore, the Coordinator can take a number of general measures to encourage the exchange of funding information:

- ✓ promoting the 'pull factor' of potential funding
- ✓ facilitating the participation of cluster partners in the response planning and prioritisation process
- ✓ striving to represent the interests of all cluster partners among the projects submitted for funding
- ✓ highlighting the potential for collaborative projects bringing different partners together with shared resources
- ✓ doing deals to secure the necessary information, eg, support in securing materials, agreement to working in particular areas
- ✓ drawing on peer pressure – through highlighting partners that fail to meet information requirements to government, donors and the remaining cluster partners.

Funding for cluster coordination

In accordance with the Inter-Agency Standing Committee (IASC) decision in July 2009, funding for national- and sub-national-level cluster coordination should be included in all Flash Appeals and Consolidated Appeals. The following guidelines generally apply:

- Make provision for cluster coordination as a stand-alone project.
- Include the provision in the emergency education section of the Appeal.
- Narrative for the proposal can be drawn from the *ToR for Cluster/Sector Leads at Country Level* (see section 2.2).
- There is no generic budget – draw guidance from previous CAPs.

Arguments to support funding coordination include cluster coordination as a common service, and the need for dedicated coordination capacity.

Typical costs might include: coordination staff, office and meeting costs, information management (IM), joint needs assessment costs, transport, communications and advocacy, training and capacity development.

Prioritising projects for inclusion in funding appeals

As information about cluster partner funding becomes available, the Coordinator will need to take steps to identify the most critical and under-funded education needs for which funding has not already been committed. A process of selection may then be required, to determine which projects will be included by the cluster in pooled funding appeals, and which will be identified as the cluster's priority projects.

Selection of cluster projects can be a sensitive process, particularly when projects proposed by the CLA(s) are also under consideration. Furthermore, some cluster partners will be unfamiliar with the restrictions and criteria for funding.

An inclusive and structured approach to strategic response planning (as set out in section 7.3) will help to facilitate an open and objective process for project selection. The response planning process covers much of the necessary groundwork in prioritising needs, identifying gaps, and agreeing project selection criteria.

Managing cluster coordination funding

In addition to budgeting for cluster coordination costs, early provision will need to be made for how allocated funding will be managed.

As the cluster is not an 'organisation', it cannot receive funding, therefore arrangements will have to be made with the CLA(s) or another cluster partner agency for channelling the funding through them.

This may involve a contract agreement between the donor and this cluster partner, which would ultimately take responsibility for managing, and reporting on, the disbursement of the funds.

If there are a large number of cluster partners, it may be prudent to manage project selection through a smaller advisory group. However, representation by all cluster stakeholders will be needed, including government and local organisations, in order to gain trust and legitimacy and to facilitate transparency. A process dominated by international staff or agencies, or with inadequate government representation, may lead to misunderstanding and loss of confidence in the cluster and in the overall cluster approach. Furthermore, it may overlook or undermine important local capacities.

Overcoming misunderstandings about project selection

- ✓ Provide clear guidance and supporting information about pooled funding mechanisms and criteria (eg, core competencies, capacity, prior presence in locality, targeting unmet needs, alignment with cluster priorities).
- ✓ Emphasise that inclusion of projects within an appeal submission is not a guarantee of funding.
- ✓ Establish a systematic process for the prioritisation of needs, identification of gaps, and subsequent selection of project (refer to section 7.3), and ensure broad representation of cluster partners in this process.
- ✓ Request donor cooperation in abiding by cluster priorities and not 'cherry-picking' projects with particular agencies.
- ✓ Support local partners that may not have well-developed capacity for writing fundraising proposals, particularly those subject to language constraints.

Ten steps in funding the Education Cluster Response⁵²

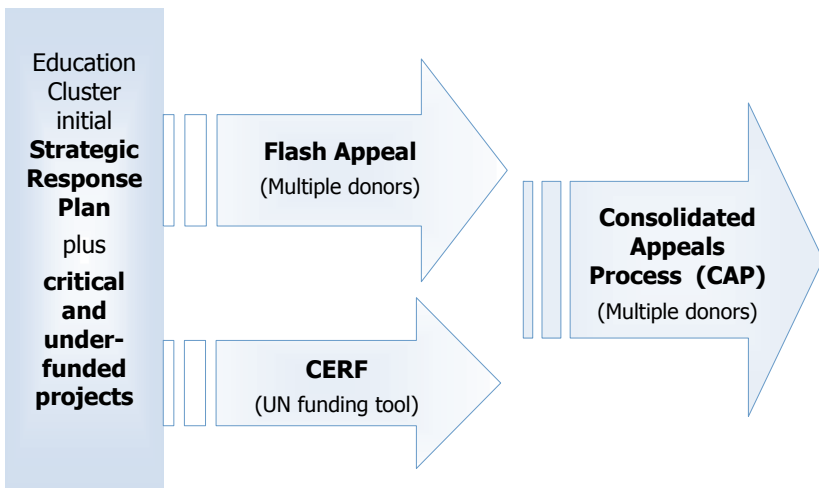
1	The cluster agrees on a joint assessment of needs.
2	The cluster agrees on the prioritisation of needs and the priority cross-cutting issues to be integrated throughout the project cycle. This may be done through a smaller advisory group with representation of all cluster stakeholders.
3	The cluster develops a shared response plan/strategy with agreed responsibilities to cover the priority needs identified, while minimising gaps and the risks of duplication or competition.
4	Individual partners draw up project proposals with budgets for their part of the plan.
5	The Coordinator manages a process for prioritising cluster partner projects on the basis of pre-agreed criteria, which should relate to the prioritised areas and the priority cross-cutting issues. Selected projects are proposed for inclusion in the

⁵² Adapted from ECU (2008) *Ten key points on funding the Education Cluster in the field*

	emergency education section of a Flash Appeal or CAP.
6	Cluster partners can then 'market' their proposals directly to donors as well.
7	In addition, the Coordinator may approach donors to advocate for funding of priority projects and cluster coordination activities.
8	Donors make grants directly to the implementing organisations whose proposed projects are in line with their goals and priorities for funding.
9	Donors may award flexible grants (the preferred option for the cluster), or they may be earmarked (tied) to a specific project.
10	All funding contributions are reported back to OCHA via the On-line Project System (OPS) or FTS Financial Tracking Service (FTS).

Overall timeline for planning and appeals process

7–10 days	up to 6 months	over 6 months
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Adapted from *Education Cluster Coordinator Training, Resource Mobilisation: Appeals and Funding*, PowerPoint

First: The Coordinator submits a Flash Appeal which clearly articulates education needs, priority themes and cross-cutting issues for response, an outline of response plans, and roles and responsibilities.

Second: Education projects comprising life-saving activities can easily be submitted as proposals through the CERF mechanism, albeit through applying UN agencies. Endorsement from the HC/RC is required, then the projects need to be

put into the CERF format, and Letters of Understanding signed between submitting cluster partners and OCHA.

Third: Revision of the Flash Appeal. As more up-to-date and comprehensive assessment data becomes available, the education projects within the Flash Appeal can be revised at any time. New projects can be inserted to address emerging needs. The Flash Appeal is not a static document but is open and flexible.

Fourth: If the emergency response continues for more than six months, and a CAP is launched, education projects identified at the time of the Flash Appeal, or new projects responding to evolving education in emergencies needs, may be put forward through the CAP.

8.2.3 Flash Appeals

The Flash Appeal is used to facilitate a coordinated humanitarian response **for the first three to six months** following an emergency. It provides a concise overview of life-saving needs and recovery projects to be implemented within this time frame.

Multiple donors use the Flash Appeal to identify the areas and projects they want to support.

Individual project-holders are approached directly, to agree funding terms. Funds are not channelled through OCHA or the cluster, but are counted as funding towards meeting cluster needs. Flash Appeals are used to determine the allocation of:

- the Central Emergency Response Fund (CERF)
- in-country pooled funding
- bilateral funds
- OCHA emergency cash grants.

Flash Appeal

- is a planning tool, generally developed simultaneously with, and to complement, the CERF
- triggered by the HC/RC
- compiled within 7–10 days of being triggered
- based on rapid assessment of the scale and severity of the emergency
- focuses on urgent humanitarian needs
- only for projects within the first 6 months of response
- UN agencies and NGOs may submit projects
- revised appeal normally undertaken within 1 month
- project revisions and updates made via On-line Project System (OPS) or the FTS.

What is the process for triggering a Flash Appeal?

The decision to mount a Flash Appeal is triggered by the HC/RC in consultation with the HCT and host government. The Appeal is compiled within 7–10 days of being triggered.

It is based on initial rapid assessment of the scale and severity of the emergency, compared with the government's capacity to respond. The impact of the emergency situation is often initially assessed on the basis of inference and 'best guesses'. Flash Appeals are therefore routinely revised a few weeks after the first edition, drawing on a more comprehensive needs assessment, and a better understanding of the emergency situation. Any new and revised cluster projects should be adjusted within the Flash Appeal via the On-line Projects System (see earlier text box), or the Financial Tracking Service (FTS).

A (revised) Flash Appeal may be further developed into a Consolidated Appeal if the emergency continues beyond six months. Similarly, the cluster priorities and project proposals developed for a Flash Appeal can be used in applying to the CERF (see below), or in submitting proposals to individual donors.

How are cluster needs incorporated?

1. The HC/RC establishes strategic priorities and criteria for project selection, and at the same time sets priorities for CERF.
2. The cluster sets out an initial strategic response plan (see section 7.2), and agrees allocation of cluster partners' responsibilities, on the basis of rapid assessment information.
3. Cluster partners submit their project proposals to the Coordinator.
4. Available donors may be consulted, to gather information about their priorities.
5. Project proposals are prioritised with consideration to the most urgent needs, unfilled gaps, available capacities, and effective integration of priority cross-cutting issues. Proposals to cover the cluster coordination activities should also be considered at this time.
6. Selected proposals are incorporated into the one-page (maximum) education section of the Flash Appeal document.
7. Presentation of project proposals, across all clusters, is undertaken through an inter-cluster meeting chaired by the HC/RC. At this meeting, the Coordinator or CLA(s) presents priorities and project proposals for the Education Cluster.

Detailed guidelines and a sample for a Flash Appeal are included in the 'Additional resources' listed at the end of this section.

Final selection of humanitarian projects for a Flash Appeal

Final project selection is collectively undertaken by the CLA(s), on the basis of recommendations from the Coordinator and cluster partners, in their role as members of the HCT. Projects are prioritised (weighted) then reviewed again by the HCT on the basis of funding already received and committed to each cluster or project. Factors influencing the selection of projects may include:

- life-saving impact
- numbers of people assisted
- availability of resources (including funding) required
- identification of and assistance to priority vulnerable groups or locations
- complementarities between projects and clusters
- cost (cost-effectiveness)
- contribution to early recovery and emergency preparedness.

The HCT is also guided by the outcomes of joint or cluster-specific rapid assessment findings, the Flash Appeal timeline, and an indication of the available funding, and is responsible for drafting the response plan section of the Flash Appeal document, incorporating the selected projects.

8.2.4 The Consolidated Appeals Process (CAP)⁵³

The CAP is a tool developed by OCHA to enable humanitarian organisations to jointly plan, coordinate, implement and monitor their response to emergencies. Through facilitating collaborative appeals, it reduces the risk of agencies competing for funds. In complex emergency situations, the CAP may be prepared on an annual basis.

The CAP provides a snapshot of the emergency situation and sectoral response plans, and is an inclusive and coordinated programme cycle of:

- strategic planning, leading to a Common Humanitarian Action Plan (CHAP)
- resource mobilisation, leading to a Consolidated Appeal or a Flash Appeal (in the event of natural disaster or a sudden deterioration in the emergency situation)
- coordinated programme implementation
- joint monitoring and evaluation
- revision, if necessary
- reporting on results.

Consolidated Appeals Process

- a longer-term planning process (12 months)
- often used in conflict situations
- managed by the HC/RC
- basis for the Common Humanitarian Action Plan (CHAP)
- resources mobilised through Flash or Consolidated Appeal
- important to list all cluster projects in a CAP – even those funded by other bilateral and multilateral donors
- UN agencies, International Federation of Red Cross and Red Crescent Societies (IFRC) and NGOs may submit projects.

⁵³ Section adapted from OCHA (2009) *Revised Guidelines for Flash Appeals*

The Common Humanitarian Action Plan (CHAP)

The CHAP is the core of the CAP. It provides a strategic plan for humanitarian response in a given country or region. Comprehensive details on developing the education component of the CHAP are outlined in section 7.4.

8.2.5 The Central Emergency Response Fund

The Central Emergency Response Fund (CERF) is a funding instrument which **provides the initial injection of funds for the most urgent life-saving projects in the Flash Appeal or CAP**, to cover the time lag between issuance of appeals and receipt of commitments and funds from donors.

Globally, CERF funds are allocated mainly to support Flash Appeals for sudden-onset emergencies, and the CAP for under-funded longer-term crises. The CERF does not replace the need for a Flash or Consolidated Appeals, which are **planning tools**, but complements them.

UN agencies, programmes and the International Organization for Migration (IOM) are eligible to submit projects to the CERF. The HC/RC makes recommendations concerning high-priority projects for funding and compiles the final CERF appeal document. Final allocation of available CERF funds is made by the CERF Secretariat. Funding is then disbursed by OCHA, through a Letter of Understanding, to the relevant UN agency.

The CERF comprises a \$450 million **grant facility** and a \$50 million **loan facility** (ie, loans to cover the period before a donor pledge is honoured).
<http://ochaonline.un.org/Default.aspx?alias=ochaonline.un.org/cerf>

CERF grant facility

Grants from the CERF are made for two general purposes:

1. for **rapid response** to sudden-onset emergencies or rapidly deteriorating conditions in an existing emergency. Disbursement of grants may begin from the onset of the emergency and must be committed within three to six months. The minimum grant allocation per project is \$100,000.
2. to support activities within existing humanitarian response efforts in **under-funded emergencies**.

One-third of the CERF grant facility is earmarked for under-funded protracted emergencies.⁵⁴ These countries are selected by the Emergency Relief Coordinator, who invites the relevant HC/RC to submit details of life-saving projects for funding.

CERF loan facility

⁵⁴ Under-funded emergencies are identified by the Emergency Relief Coordinator following consultation with RC/HCs and UN agencies, and analysis of information on the FTS.

Loans under the CERF are made to cover the same purposes as outlined above, the difference being that they require repayment within six months of receipt. The loan facility aims to enable UN agencies to access funds rapidly while they are waiting for donors pledged funds to be transferred.

CERF funding criteria

The essential CERF funding criteria are:

a) Life-saving and/or core emergency humanitarian programmes that within a short time span, remedy, mitigate or avert direct loss of life, physical harm or threats to a population or major portion thereof. Also permissible are common humanitarian services that are necessary to enable life-saving activities.

b) Time-critical response refers to necessary, rapid and time-limited actions required to immediately avert or minimise additional loss of lives and damage to social and economic assets. It relates to the opportunities for rapid injection of resources to save lives either in complex emergencies or after sudden disasters.

Reasons for CERF delays or rejection

- × failure to meet and/or articulate the criteria for 'life-saving' or time-critical responses
- × budget errors – inadmissible costs or inadequate detail.

CERF and the Education Cluster

When CERF funding is triggered, the Coordinator has responsibility for identifying critical education needs, and selecting corresponding projects that meet the CERF funding criteria.

However, as the CERF is only available to UN agencies, education projects may only be submitted by UNICEF as CLA, or by other UN cluster partners such as UNESCO. This means that NGO cluster partners may be reluctant to submit projects for the CERF, because the funding will be channelled through UNICEF or another UN agency, and the NGO would be put in the position of an implementing partner.

Funding for education through the CERF

Success in securing CERF funding will be highly dependent on the understanding of education in emergencies, and particularly education as a 'life-saving' intervention, among the CERF Secretariat, HCT, OCHA, and other clusters.

UNICEF, as CLA, and the Coordinator can play a key role in fostering better understanding through advocating for education in emergencies as a basic human right, a priority for communities, and a critical form of protection (see section 8.1.1).

Education Clusters have successfully secured CERF funding by establishing that **education can be a 'life-saving'** and **'life-sustaining'** intervention for funding psychosocial support for teachers and children, as well as temporary learning spaces which provide protective and life-saving environments.

Education activities funded through the CERF⁵⁵

Criteria	Activities	Conditions
Interventions aimed at restoring educational and recreational activities for children and adolescents during an emergency	Provision of school tents and other educational and recreational materials to establish safe spaces/learning environments for male and female learners of different age groups	No recurrent costs funded
	Emergency repair of primary education facilities	No recurrent costs funded
	Initial teacher training in emergencies	Only to support establishment of initial teaching capacity. No recurrent costs for training
	Essential life-saving skills (information on sexual and other gender-based violence [SGBV], mine risk education, HIV/AIDS, health and hygiene)	

⁵⁵ Extract from CERF (2007) *Life Saving Criteria and Sectoral Activities (Guidelines)*, included in the 'Additional resources' listed at the end of this section

In the event that cluster proposals to CERF are unsuccessful, revised submissions which better articulate the rationale for education as a life-saving and life-sustaining intervention can be re-submitted to the CERF Secretariat.

8.2.6 Other funding sources

Emergency or Humanitarian Response Fund

The Emergency Response Fund (ERF) is managed by OCHA through the HC/RC. It involves multiple donors and aims to provide rapid, flexible, small-scale funding to:

- address gaps in the CAP for humanitarian aid
- enable the scale-up of response and recovery interventions, particularly by international and national NGOs that are not eligible for direct funding through the CERF.

Further details can be found at:

<http://ochaonline.un.org/FundingFinance/ResponseFunds/tabid/4404/Default.asp>
[X](#)

Common Humanitarian Fund

The Common Humanitarian Fund (CHF) is managed through OCHA and a management agent in-country. It involves multiple donors providing early, strategic and predictable funding to priority needs as identified in the CAP. Used primarily in complex and protracted crises, these funds require a reasonable number of donors and a long-term commitment. Three funds were established in 2008 in Sudan, Democratic Republic of Congo (DRC) and Central African Republic (CAR).

Both the Emergency Response Fund and Common Humanitarian Fund have education components.

Multi-Donor Trust Fund

The Multi Donor Trust Fund (MDTF) is a mechanism through which donors pool their resources, with the intention of supporting national humanitarian, recovery, reconstruction and development priorities. They are a useful additional source of funding after the acute response stage and help to reduce the burden of seeking, and reporting on, funding from multiple sources.

The funds are managed through an administrative agent such as the UN Development Programme (UNDP), and the nature and requirements for funding are determined by the individual country context and programme or project objectives. Further details can be found on the UNDP website at:

<http://www.undp.org/mdtf/trustfunds.shtml>

Traditional donors

The cluster provides a useful platform for cluster partners to develop collaborative proposals for their traditional bilateral donors. Many donors encourage collective or consortia bids, particularly those that demonstrate partnerships with national authorities and local organisations.

In addition, UNICEF, Save the Children and other agencies have resources that can be reprogrammed in the event of an emergency to provide immediate financial assistance to support national and local authorities and the education sector in education response, recovery, preparedness, and disaster risk reduction efforts.

Additional resources – on the accompanying CD

- 📖 OCHA (2009) *Revised Guidelines for Flash Appeals*
- 📖 OCHA (2009) *CAP On-line Projects Manual System*
- 📖 UNICEF and Save the Children (2009) *Education in Emergencies Training, Facilitators Guide*, extracts:
 - 'Sample Flash Appeal'
 - 'Sample CAP proposal'
- 📖 CERF (2007) *Life Saving Criteria and Sectoral Activities (Guidelines)*
- 📖 Global Education Cluster (2009) *Education Cluster Coordinator Training Handout: CERF Funding – Projects funded in Education*
- 📖 UNICEF (2009) *Appeal Funding Review: Snapshot for Education*
- CERF website:
<http://ochaonline.un.org/Default.aspx?alias=ochaonline.un.org/cerf>
- Website for the Flash Appeal and the Consolidated Appeals Process, with a range of 'best practice' examples and guidelines on the appeals process
<http://ochaonline.un.org/humanitarianappeal/>

8.3 Mobilising and building human resource capacity

This section considers two aspects of human resource capacity relevant to the education cluster:

- the capacities needed for education in emergencies programming
- the capacities needed for cluster coordination.

It then goes on to consider strategies for mobilising or developing the capacities required.

Definition: Capacity is the combination of all the strengths, attributes and resources available within a community, society, organisation or group that can be used to achieve a defined purpose.⁵⁶ In this context, capacity refers to the knowledge, skills, and human, social and political relationships that can be used to address the preparedness, response and recovery needs for education in emergencies.

8.3.1 Capacities for education in emergencies programming

Mobilising the capacities needed for education in emergencies programming is an integral part of the cluster's strategic response planning process, and will depend on an early assessment of the capacities available, and those required.

In countries where an Education Cluster Capacity Assessment and Preparedness Planning process has been undertaken (see section 6.5), the Coordinator will be able to draw on the outcomes and resultant Education Cluster Preparedness and Capacity Development Action Plan. In other cases, inter-agency or education cluster contingency planning processes should have incorporated this information.

Where this information is not available, rapid assessment of the available and necessary human resource capacity for education response, recovery and preparedness will involve looking at:

Organisational capacities and mandates – whether the cluster has an adequate breadth of partners to cover the full mandate of the cluster, including analysis, access and learning environment, teaching and learning, teachers and other education personnel, education policy and coordination, and community participation, as well as cross-cutting issues and across all education sub-sectors from early learning to adolescent education (see section 6.5).

Human resource capacities – whether the cluster has the necessary people, with the right competencies, to cover the functions required.

Organisational capacities and mandates

Agency mandates

⁵⁶ *United Nations International Strategy for Disaster Reduction, 2009*

There is need for a balance across cluster partners with a mandate in:

- responding to education in emergencies
- preparedness for education in emergencies and disaster risk reduction, and
- engagement with, and strengthening of, national capacities.

Programming capacity

Depending on the emergency context, programming capacities may be required in early childhood care and development (ECCD), primary, secondary, tertiary and home-based or non-formal education. Assessment of programming capacities alone is not enough. To ensure a comprehensive education response, consideration of capacities **across phases** of the disaster management cycle (preparedness, response, recovery and disaster risk reduction), and **at all levels** of response (household, school, community, district, province, state/region, national, and sometimes regional) is needed.

Some cluster partners will have a long-term presence in-country whereas others may phase out at the end of the response phase. Similarly, some partners may have established capacity in working at national level with government authorities in teacher training or curriculum development, but limited presence or experience at the classroom level.

Basic data on organisational capacities, where not already available, may be gathered through initial registration of partners in the cluster and the Who's doing What, Where (3W) tool (see sections 2.5 and 6.5). Information should include:

- areas of programming focus
- levels of programming activity
- length of establishment in-country
- anticipated length of involvement in the emergency response
- geographical coverage of education programmes and staff presence.

Human resource capacities

Alongside organisational capacities, the Coordinator will need to establish whether cluster partners have the necessary human resources to deliver the education in emergencies that programming requires; for example, people with specialist skills in disaster risk reduction (DRR), ECCD, child protection, or gender equality.

Three main criteria can assist in assessing and identifying the staff needed:

- ✓ the current staff capacity of each agency in each phase and programming aspect of the education response

- ✓ the scope of the emergency, including numbers of people affected and estimates of damage, displacement, and education needs
- ✓ additional human resources required to meet projected cluster goals and plans.

Key capacities for education in emergencies programming	Additional areas of expertise
Education in Emergencies specialists Education specialists Child protection adviser Monitoring and evaluation specialists School water, sanitation and hygiene (WASH) specialist Communications and media adviser Supply and logistics officers Gender adviser	Needs assessment Building construction/engineering Training and learning support Mines awareness, youth development, orphans and vulnerable children, gender, SGBV, HIV and AIDS, public health/hygiene promotion

Consideration of the availability and shortfalls in national and local government and NGO capacity is a key part of this process. This can only be done through their active involvement in the process. It will also protect against:

- inadequate involvement of national and local organisations
- under-utilisation of existing cluster capacities
- overlooking valuable skills and experience
- demotivation of cluster partners
- errors and insensitivities resulting from inadequate local knowledge.

8.3.2 Capacities for cluster coordination

Key capacities for cluster coordination	Additional areas of expertise
Cluster coordination Information management Education in Emergencies Communications and advocacy Supply and logistics Finance and administration Sub-national coordination Inter-cluster liaison	Translation and interpreting Knowledge management Monitoring and evaluation

A range of capacities are needed for cluster coordination at both national and sub-national levels. In most emergencies the Coordinator and sub-national coordinators/focal points will either be the sole cluster staff members, or will work as a small co-lead team undertaking cluster coordination responsibilities in addition to a programming role with the CLA, or a cluster partner agency. In large emergencies, additional specialist staff may be needed. See section 2.3 for further details of the Coordinator role.

The Coordinator, with the support of the CLA(s), should take the lead in identifying where the necessary capacities can be found, and bringing them on board as, or just before, they are required. The Coordinator must also make adequate provision for any additional costs anticipated in addressing cluster coordination capacity requirements, eg, for local translators and interpreters, or the recruitment of short-term advisers or consultants.

8.3.3 Mobilising capacities

Once capacity shortfalls have been identified, the Coordinator will need to look at the options for mobilising both the education programming and cluster coordination capacities required. In doing so, it is important to give equal consideration to national and sub-national capacity requirements.

Depending on the scale of the emergency, the following options for deployment are available:

- Deployment of **existing in-country staff** from cluster partners to the emergency location (a first response).
- **Secondment or redeployment of staff** based at regional level, or in other country programmes. UNICEF and Save the Children may be able to redeploy education specialists and experienced cluster coordination staff working in other countries or regional offices.
- **External standby arrangements** with UNICEF international partners, such as the Norwegian Refugee Council. Staff are recruited on individual contracts.
- **Recruitment through external rosters or agencies.** UNICEF and Save the Children have external rosters. Plan International, International Rescue Committee (IRC) and Associazione Volontari per il Servizio Internazionale (AVSI) also operate rosters, or can mobilize internal staff with appropriate skills.
- **Recruitment of staff within the country** or affected location.
- **Partnership with NGOs or community-based organisations (CBOs)** within the country or affected location.
- **Secondment of staff** working in government or national research or academic institutions, eg, University of Nairobi's Faculty of Education.

Cluster capacity can be further increased by encouraging the proactive engagement of international, national and local NGO partners within the Cluster. Section 2.5 sets out in detail the range of strategies for engaging cluster partners.

Maximising the engagement of national and local capacities

There is a tendency to focus on international sources for surge capacity. This risks undermining or excluding valuable local capacities and knowledge, and over-estimating the level of appropriate skill and contextual understanding among international actors.

Evaluation of the impact of the tsunami response on national and local capacities, found that "local ownership of the tsunami response was undermined and some local capacities were rendered more vulnerable by the response to the disaster ... only 20% of claim-holders were satisfied with the way their skills had been used".⁵⁷

There are a range of national and local actors that the cluster can draw on to increase capacity, eg,

- **Government ministries and departments at all levels** – for technical expertise, logistics (transport, warehousing, distribution), emergency situation analysis, analysis of country context and policy context, emergency preparedness, national communication and information exchange, establishment of sub-national coordination groups/clusters, school site locations and local geography, advocacy, standards, building codes, Education Management Information System (EMIS)/school data.
- **Civil society** – for community liaison and mobilisation, translation and interpreting, early recovery strategies, local communication and information exchange, situational assessment, analysis and monitoring, mapping local capacities, representation of marginalised groups, liaison with local and traditional authorities, advocacy, context/policy analysis.
- **Academic or research institutions and professional associations** – for technical expertise, research, data collection and data analysis, information management capacity, translation and interpreting, analysis of context, liaison with stakeholders (eg, teachers' associations).

Opportunities to engage national and local capacities can be enhanced through:

- ✓ understanding and mapping the social, political, economic and development/humanitarian context of the country, eg, finding out what coordination mechanisms already exist

⁵⁷ Scheper B, Parakrama A, and Patel S (2006) *Impact of the tsunami on National and Local Capacities*, TEC, London

- ✓ orientation of national and local partners on the humanitarian reform process and cluster approach, and the purpose and working modalities of the Education Cluster
- ✓ minimising information and reporting requirements to save time and accommodate weaker IM and reporting capacities of some national and local organisations
- ✓ minimising demands on national counterparts to attend a proliferation of cluster meetings in addition to government coordination meetings
- ✓ providing information and training in forms which are appropriate to local actors, eg, consider use of language and terminologies, translation, understanding of signs and diagrams
- ✓ promoting good human resource management practice, including a policy of working through local organisations rather than poaching skilled staff (see www.peopleinaid.org for further information).

8.3.4 Developing capacities

Another strategy for addressing education programming and cluster coordination capacity shortfalls is to invest in developing the capacity of existing cluster partner agencies and staff.

Definition: **Capacity development** is the process by which individuals, groups, organisations, institutions and societies increase their ability to:

- perform core functions, solve problems, define and achieve objectives
- understand and deal with their development needs in a broad context and in a sustainable manner.⁵⁸

Human resource capacity consists of a combination of knowledge, skills and attitudinal behaviour. These capacities are developed in different ways. Skills and knowledge can be learned, eg, through access to learning materials, training, or learning from others. However, attitudes relate to the way in which people use their skills and knowledge to address particular tasks, or in particular situations. Attitudes are developed or changed through experience and the influence of others.

Where available, the Education Cluster Preparedness and Capacity Development Action Plan or cluster contingency plan will provide an outline of the priority capacity development activities required in relation to the current emergency, and appropriate ways of undertaking these (see section 7.6). Capacity development requirements should be informed by:

- cluster partner capacities in the thematic areas

⁵⁸ UNESCO (2009) *Guidelines for Planning Education In Emergencies and Reconstruction*

- projected availability of skilled staff required for different thematic areas, and at each phase of the emergency cycle based on scenarios identified in contingency planning (including numbers affected).
- alternative options for mobilising the capacities required.
- availability of training and learning resources (trainers and materials) in education in emergencies, disaster management, and response planning
- availability of funding for capacity development
- existing capacity development opportunities available or ongoing nationally and regionally.


Training and learning resources

There are tools and resources to facilitate capacity development of a wide range of cluster partners and stakeholders. The following table outlines the training and target groups, and where to find useful resources.

Training /Materials	Target groups
<p>Global Education Cluster’s Frontline Responders’ Training</p> <p>Underpinned by INEE Minimum Standards and emphasis on preparedness planning. Including cross-cutting issues in specific sessions or mainstreamed (5 days)</p> <p>Materials: CD with toolkit, facilitator’s guide, and PowerPoints</p> <p>Languages: English (adapted for East and southern Africa, South Asia, and South-East Asia regions), French</p>	<p>Implementers such as UN and NGO staff, eg, cluster partners, Ministry of Education (MoE) technical officers, disaster management committees, other line ministry staff</p>
<p>Education Cluster Coordinators’ Training</p> <p>Aims to develop the capacity of current and future Coordinators to effectively coordinate national and sub-national clusters (5 days)</p> <p>Materials: CD, trainer’s guide, PowerPoints</p> <p>Languages: English, French due in 2010</p>	<p>Potential (deployable) and current Coordinators</p>
<p>INEE Minimum Standards</p> <p>Designed to help participants understand and more effectively use the INEE Minimum Standards (3 days)</p> <p>Materials: Training guide, PowerPoints, workbook, handbook</p> <p>Languages: English, French, Spanish, Portuguese, Arabic</p>	<p>Policy-makers, technicians, local and international NGO staff, MoE officials, teachers</p>
<p>IASC Education Cluster Regional Capacity Development with Ministries of Education/UNESCO/International Institute for Education Planning (IIEP)</p> <p>Developed to strengthen comprehensive preparedness</p>	<p>Ministry of Education Officials from target countries</p>

<p>and technical capacity to respond to humanitarian emergencies, including the transition to early recovery, and ensure greater predictability and more effective responses in education, in the main areas of standards, policy, response capacity and operational support (6 days)</p> <p>Materials: CD, trainer’s guide, participants’ workbook, PowerPoints</p> <p>Languages: English</p>	
<p>IRC/Healing Classrooms – e learning tool</p> <p>Designed to provide teachers and education staff support and professional development to meet the challenges of teaching in war-affected locations. Focus on student wellbeing, teacher identity and motivation, and gender dynamics</p> <p>Materials: CD, online at: www.healingclassrooms.org</p> <p>Languages: English</p>	<p>Ministry of Education officials, NGO staff and teachers</p>

Additional resources – on the accompanying CD

-  UNICEF and Save the Children (2009) *Education in Emergencies Training Facilitators Guide*, ‘Staff Identification and Mobilisation Planning Tool’
- The International Institute for Education Planning – offers a range of capacity development resources:
<http://www.iiep.unesco.org/capacity-development/training.html>
- The Education section of UNESCO’s website offers education resources and access to networks and communities in the education sector:
<http://www.unesco.org/en/education>
- Training and capacity-building resources for the INEE minimum standards:
http://www.ineesite.org/index.php/post/training_and_capacity_building/

- materials for temporary learning spaces, eg, school tents, latrine slabs
- WASH materials, eg, water containers, soap, locally appropriate sanitary items;
- clothing.

In addition, a number of education kits have been developed. These are packages of 'standard' education materials designed to support a specific number of children or teachers. UNICEF has designed kits that respond to basic supply needs at the onset of a crisis. UNESCO has also developed an education kit for selected countries, which focuses on literacy and numeracy and provides basic curricula and teaching aids.

As an alternative to education kits, Save the Children Indonesia has developed a classroom activity box. Designed to promote active learning and cooperative group work, the classroom activity box provides basic teaching and learning aids that encourage student interaction.

Advantages of education 'kits'	Disadvantages of education 'kits'
<ul style="list-style-type: none"> ✓ Pre-assembled kits can be deployed within days of an emergency. ✓ Design time is unnecessary, as basic education supplies are generally quite similar from county to country. ✓ There is a common 'menu' as to what kits should contain, making theft more difficult. ✓ Packaging, ie, plastic or metal box, can be used as long-term storage container. ✓ For NGOs, kits can be more easily obtained from the UN than money for local purchase of supplies. 	<ul style="list-style-type: none"> ✗ Shipment costs higher than local buying. ✗ Mistaken assumptions of class size. ✗ Many items meant for individual students, difficult to divide when greater number of students. ✗ Ongoing costs of storage and may be in 'wrong' location for shipment. ✗ Short-term impact as supplies will quickly be used and depleted. ✗ Discrepancy with local supplies in terms of quality. ✗ When local markets are available, their use damages economy and encourages UN to prioritise kit replenishment.

Support in mobilising education supplies

While the CLA(s) has responsibility for overall cluster resource requirements, individual cluster partners have responsibility for mobilising the supplies needed for their own projects. However, the cluster function of coordinating the supply and distribution of education supplies can also provide tangible benefits for cluster partners, and serve as an incentive to ongoing collaboration. Effective coordination can reduce the risk of duplication, delays, inflated costs, culturally inappropriate supplies, and a negative impact on local businesses, and can facilitate economies of scale in production and distribution.

A collaborative approach to mobilising education supplies and equipment will need to be guided by the Coordinator with support from cluster partners or external actors with logistics expertise and sufficient knowledge of the local context.

The following actors will also be important for effective coordination:

The Logistics Cluster –

facilitates an uninterrupted supply chain of relief and recovery items to the affected population (including establishing staging areas, strategic cargo movements, mobile storage, ground transport capacity, and infrastructure repair): <http://www.logcluster.org/>

Other clusters –

particularly the Protection, WASH, and Emergency Shelter clusters, which are involved in the procurement of similar, or school-related materials, eg, non-food items (NFIs), latrine slabs, plastic sheeting.

UNICEF and Save the Children supply and logistics staff -

involved in procuring materials for their own programmes, which may include other cluster partners which are contracted as implementing partners.

Relevant government departments –

for warehousing, distribution, monitoring, and assistance with customs and excise, ports and airport authorities.

UN Joint Logistics Centre -

is a UN common service which is activated when intensified field-based inter-agency logistics information is required: <http://www.unjlc.org/>

Other cluster partner agency logistics staff/centres

8.4.1 Mobilisation of education supplies as part of emergency preparedness

Logistical capacity has been highlighted as an area of capacity weakness within the cluster.⁵⁹ Attention to cluster supply and distribution requirements, and capacities, is consequently a critical part of emergency preparedness.

Similarly, in contingency planning, particular attention should be given to the impact of different types and scales of emergency on the subsequent supply and distribution requirements, eg, where education supplies are required in every school across a wide geographical area, or where problems are expected with access or distribution due to insecurity.

The cluster strategy for mobilising and pre-positioning education supplies should link in with, and can serve to strengthen, government disaster management

⁵⁹ Houghton, R (2009) *Education Cluster Capacity Mapping: Global Study*

plans. Further guidance on the cluster emergency preparedness and contingency planning processes can be found in Chapter 7.

Stockpiling

There may be significant value in stockpiling some items to:

- ✓ ensure continuity of supplies
- ✓ allow more flexibility in transportation methods and schedules
- ✓ meet emerging needs
- ✓ stagger distribution
- ✓ ensure standardisation and quality of supplies.

However, there are also negative implications of stockpiling which will need to be taken into account:

- × high costs involved in initial purchase, storage, and protection
- × potential threat to those in the vicinity of stores
- × risk of damage, deterioration, or redundancy if requirements change
- × risk of theft of supplies
- × risk of need to relocate stock in the event of conflict, population movements or threats of natural disaster.

Role of the Coordinator

As part of emergency preparedness, address the following points in consultation with the CLA(s), government and cluster partners, and other clusters, including the Logistics Cluster:

Within contingency plans:

- ✓ Determine the essential education and school shelter supplies for each emergency scenario.
- ✓ Determine options for local and international procurement.
- ✓ Outline storage and distribution options based on known and/or expected capacities.
- ✓ Determine costs and develop a coordinated budget for emergency education supplies items.

As part of emergency preparedness measures:

- ✓ Identify relevant standby agreements with local suppliers as appropriate.
- ✓ Compile a list of school and contact teachers/staff to facilitate emergency distribution.

- ✓ Identify storage space for pre-positioned supplies and potential future emergency supplies, in collaboration with government and cluster partners.
- ✓ Develop appropriate mechanisms for supply and distribution of education materials and equipment, including tools for planning and monitoring supply and distribution.
- ✓ Determine quantity of emergency education supplies needed according to contingency plans and coordinate pre-positioning of an agreed-upon percentage.
- ✓ Share and update the list of quantities and locations of contingency stocks with cluster partners.

Preparedness in mobilising education materials

- In Nepal, in preparation for annual floods, containers were purchased for the three most vulnerable regions and education supplies were pre-positioned in each region prior to the flooding.
- In Mozambique, standby agreements were established with local suppliers so that initial bidding procedures were not necessary in the acute response phase and supplies could be ordered rapidly.

From UNICEF and Save the Children,
*Education in Emergencies Training
Facilitators' Guide*

8.4.2 Mobilising supplies and equipment in emergency response

Role of the Coordinator

- ✓ Following emergency onset (in a rapid-onset emergency), and drawing on contingency plans and any available needs assessment data, the cluster will begin distribution of pre-positioned materials. This process should be facilitated by the Coordinator as part of initial response planning (see section 7.2).
- ✓ At the same time preparations need to be made for procuring, mobilising and distributing additional education supplies, again drawing on preparedness measures put in place. This activity may be undertaken by a smaller working group within the cluster, in collaboration with government partners, CLA(s), and the Logistics Cluster.
- ✓ Encourage cluster partners to collaborate in procurement and logistics where feasible, drawing on their usual supply channels.
- ✓ As part of the supply and distribution planning, identify additional supply and logistics capacity and funding requirements, eg, for coordinated procurement, transport, storage and distribution, and develop or adapt

systems and tools for managing and monitoring supply and distribution (see section 8.4.4)

- ✓ Iterate agreed cluster principles and standards applicable in the selection of education supplies, eg, in addressing cross-cutting themes such as gender equality (through the depiction of equally proactive male and female roles in the materials), child protection, HIV and AIDS, and hygiene promotion, or addressing particular needs such as psychosocial recovery or early childhood development.
- ✓ Agree material specifications, and share prices within the cluster, and across clusters, to prevent variable quality of goods and manipulation of prices by suppliers.
- ✓ Monitor and adjust plans for supply and logistics in line with changing needs, stock levels, distribution and utilisation patterns, and cluster partner and user feedback.

Key points in mobilising education supplies in an emergency

- ✓ Coordinate supply and distribution with the CLA(s), government and cluster partners, and other clusters, including the Logistics Cluster.
- ✓ Identify sources of logistical support, eg, through the CLA(s), government and cluster partners, and other clusters, including the Logistics Cluster.
- ✓ Procure local goods and services where possible, and make early provision for any items that need to be imported.
- ✓ Ensure that all materials and equipment are appropriate for differing gender, cultural, learning and disability requirements.
- ✓ Make use of contingency plans and be prepared for changes in the emergency context when planning for supply and distribution.
- ✓ In unstable or chronic emergencies, adopt a phased approach to supply and distribution, to accommodate sudden changes in requirements.

8.4.3 Assessing requirements and selecting education supplies

Assessing material requirements and supply planning must be based on needs, not on available resources. In the absence of needs assessment data, adopt contingency plans as an indication of expected needs.

Selection of education supplies

Key points when selecting education supplies and equipment

- ✓ Draw on **contingency plans** and the pre-positioning, specification, and budgeting of supplies undertaken as part of **emergency preparedness**.
- ✓ Observe **cultural norms and sensitivities** in selection but do not perpetuate any local prejudices or inequalities.
- ✓ Consider, when selecting, the **special needs** of people with disabilities, of those with HIV and AIDS, of girls and boys, and age relevance.
- ✓ Consider any special requirements in adhering to **agreed principles and standards**, eg, use of translated materials, support for non-formal education, inclusion of conflict resolution or mine awareness issues.
- ✓ Adapt emergency education kits as necessary to suit the **local context** and ensure standardisation across cluster partners.
- ✓ Consider the **environmental impact** of different material options, including use of local materials, such as timber, and the long-term impact of temporary, emergency structures, eg, latrines.
- ✓ In order to avoid undermining local markets and **livelihoods**, procure locally where possible.

Selection of education supplies should be considered as an integral part of the needs assessment and response planning processes, so that selection is made on the basis of priority concerns, agreed standards and contextual suitability, and takes supply constraints into account.

Support education authorities in providing textbooks, blackboards and teaching materials if these have been destroyed during an emergency, in addition to basic supplies. In selecting education supplies it is also important to consider the needs of preschool and out-of-school children and young people, and the requirements for non-formal education.

Education supplies can be obtained from a range of sources such as the Save the Children Emergency Kits catalogue or the UNICEF Supply Catalogue (<http://www.supply.unicef.dk/catalogue/>). The UNICEF *Education in Emergencies Resource Toolkit* (included in the 'Additional resources' listed at the end of section 2.1) provides a useful outline of materials for temporary learning spaces and education and recreation kits.

Procurement of education supplies

Procurement options should also be considered during needs assessments and response planning to ensure that existing national and local capacities are taken into account. For example, if curriculum materials are available or have been pre-positioned, it may be possible to reproduce any materials required locally, and quickly resume implementation of the formal curriculum. In the event of large-scale damage and disruption, there may be need to focus on production and deployment of emergency kits in the first instance, drawing on emergency 'school in-a-box', 'recreation kits', 'teachers' kits' and 'early childhood development kits'.

The Coordinator will be looking for procurement options that facilitate the fastest and most effective implementation of agreed cluster response strategies.

This may be through:

- UNICEF and Save the Children local procurement arrangements or global, regional or national stockpiled items
- government partners
- cluster partners' pre-positioned supplies in-country (identified from pre-emergency mapping of material and equipment capacities – see section 6.5)
- local markets, private sector suppliers and contractors
- developing the capacity of local producers.

In emergencies that require substantial international procurement, coordinating import requirements with the CLA(s) country offices, other clusters, and government partners, can save time, money and significant resources in the administration of multiple shipments. Following Cyclone Nargis in Myanmar, the Emergency Shelter Cluster established a 'Joint Procurement Initiative' working group, led by World Concern, to coordinate the mass procurement, shipment and distribution of NFIs. This resulted in savings for cluster partners and a substantial reduction in response times.

Problems with international procurement in Pakistan

Following the 2005 Pakistan earthquake, UNICEF Islamabad experienced long delays in international procurement of 'school-in-a-box' kits, owing to problems with manufacture of the aluminium containers for the kits.

The Islamabad office amended their specification for future orders to request that 'school-in-a-carton' kits be supplied in cartons.

Lockable boxes were then procured locally. This enabled a reduction in delivery time.

From UNICEF, Education in Emergencies – Resource Toolkit

8.4.4 Logistics and distribution

The Coordinator may need to make additional budget provisions for logistical support with procurement, transportation, storage and distribution within funding proposals, if these capacities are lacking among existing cluster partners. Equally important is coordination of logistics requirements within strategic response planning, to ensure that sufficient time is allowed for procurement, shipping, clearances and transport.

Supply and distribution planning tools should ideally be developed as part of emergency preparedness, and developed and implemented in consultation with education authorities at all levels. Templates can be found in the UNICEF and Save the Children *Education in Emergencies Training Facilitators Guide* included in the 'Additional resources' listed at the end of this section.

Warehousing

The storage and distribution of emergency education supplies is essentially the responsibility of the government, but in many situations it may lack the capacity to coordinate requirements.

Education cluster response strategies will need to take account of storage and stockpiling requirements, particularly when:

- the evolving emergency situation is unpredictable, eg, with uncertain population movements or potential insecurity or deterioration in conditions
- a prolonged response is expected
- there are likely to be fluctuations in supply and distribution
- a high level of turnover of supplies is anticipated
- large quantities of other supplies are competing for storage space
- limited transport is available, or the transport infrastructure is poor or badly damaged.

The government, cluster partners, other UN agencies such as UNICEF and the World Food Programme (WFP), and other clusters including the Logistics Cluster, can play a key role in assisting the Coordinator to identify appropriate storage locations and facilities, and modes of distribution.

Transport

Transport and distribution options may be affected by physical damage or poor infrastructure, security or weather conditions, and lack of drivers, fuel or spare parts. Where transport is likely to be a major constraint, try to minimise the weight, volume and overall quantities of materials requiring distribution. Identify possible distribution mechanisms as soon as possible, including commercial transport companies and local options where possible.

Similarly, in response planning, make adequate allowance for transport times and delays, taking into account clearance and security checks, road conditions, availability of transport, fuel and drivers, and distribution to inaccessible schools.


8.4.5 Monitoring education supply and distribution

The Coordinator needs to ensure a robust system for supply and distribution monitoring. Monitoring of supply is needed to ensure that supplies reach learners affected by the emergency. Monitoring of distribution and utilisation of supplies helps to prevent inappropriate, or lack of, use of distributed supplies.

Schools and teaching staff can play a focal role in supporting the monitoring of education supplies; therefore up-to-date and accurate information on school locations, headteachers and other staff, and clear mechanisms for handover of supplies, are an essential part of supply and logistics planning.

Supply and distribution monitoring tools should be developed in consultation with education authorities as part of emergency preparedness measures, and updated regularly as part of the Coordinator's information management responsibilities. Templates can be found in the UNICEF and Save the Children *Education in Emergencies Training Facilitators Guide* included in the 'Additional resources' listed at the end of this section.

Additional resources – on the accompanying CD

 UNICEF and Save the Children (2009) *Education in Emergencies Training Facilitators Guide*

- Online UNICEF Supply Catalogue:
<http://www.supply.unicef.dk/catalogue/>
- Logistics Cluster website:
<http://www.logcluster.org/>
- UN Joint Logistics Centre:
<http://www.unjlc.org/>

Glossary of terms

Accountability	Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results <i>vis-à-vis</i> mandated roles and/or plans (<i>Development Assistance Committee [DAC] of the Organisation for Economic Co-operation and Development [OECD]</i>)
Advocacy	<i>See section 8.1.1</i>
Capacity	<i>See section 8.3</i>
Capacity-mapping	Process for assessing the strengths and resources of sector members (<i>DANIDA Aid Management guidelines</i>)
Child protection	<i>See section 3.3.2b)</i>
Cluster	<i>See section 1.2</i>
Cluster Coordinator	<i>See section 1.2.1</i>
Cluster Lead Agency	<i>See section 1.2.1</i>
Cluster partner	<i>See section 1.2.1</i>
Complex emergency	<i>See section 7.1.1</i>
Complementarity	The division of geographical areas, and thematic and cross-cutting issues, among different agencies with a view to avoiding duplication and gaps. This sometimes necessitates disengagement from some areas or thematic issues (<i>based on DANIDA Aid Management guidelines</i>)
Conflict mitigation	<i>See section 3.3.2h)</i>
Contingency planning	<i>See section 7.6.4</i>
Cross-cutting issue	<i>See section 3.3.2</i>
Disaggregation	Disaggregation is the breakdown of observations, usually within a common branch of a hierarchy, to a more detailed level to that at which detailed observations are taken (<i>UN Glossary of Classification Terms</i>)
Disaster risk	<i>See section 7.6.1</i>

reduction	
Education authorities	Government bodies at national and sub-national levels, with responsibility for managing formal education
Education Cluster	Stakeholder group co-led by the Ministry of Education and/or UNICEF and Save the Children, or another international organisation. Responsible for preparedness and response planning to deliver education in emergencies (<i>Education Cluster Unit [ECU]</i>)
Education in Emergencies	The provision of quality education opportunities that meet the physical, protection, psychosocial, developmental and cognitive needs of children affected by emergencies, which can be both life-sustaining and life-saving (<i>Inter-agency Network for Education in Emergencies [INEE]</i>)
Education Management Information System (EMIS)	A system for processing, storage and analysis of information for management of education (<i>UNESCO</i>)
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance (<i>DAC</i>)
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc) are converted to results (<i>DAC</i>)
Emergency	<i>See section 7.6.1</i>
Evaluation	A process to systematically determine the merit or value of an intervention (<i>DAC</i>)
Formal education	An institutionalised, chronologically graded and hierarchically structured 'education system', spanning lower primary school and the upper reaches of university (<i>Coombs and Ahmed 1974</i>)
Gender	<i>See section 3.3.2a)</i>
Good practice	Good example of similar work
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended (<i>DAC</i>)
Indicator	<i>See section 7.3.2 Step 6</i>
Information management	<i>See section 5.1.1</i>
Knowledge	<i>See section 5.1.1</i>

management	
Inclusive education	<i>See section 3.3.2f)</i>
Lessons learned	Generalisations based on evaluation experiences with projects, programmes, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design and implementation that affect performance, outcome and impact <i>(DAC)</i>
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds <i>(DAC)</i>
Non-formal education	Any organised and sustained educational activities that do not correspond exactly to the definition of formal education. Non-formal education may therefore take place both outside and within education institutions, and for people of all ages <i>(UNESCO)</i>
Objective	<i>See section 7.3.2, Step 4</i>
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs <i>(DAC)</i>
Output	The products, capital goods and services that result from a development intervention <i>(DAC)</i>
Quality education	Education with the desirable characteristics of learners (healthy, motivated students), processes (competent teachers using active pedagogies), content (relevant curricula) and systems (good governance and equitable resource allocation) <i>(from Dakar Framework for Action)</i>
Participation	A two-way process involving the sharing of information and ideas, where all participating agencies/groups are able to influence decisions and take part in what is happening
Partnership	<i>See section 4.2.3</i>
Performance	The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans <i>(DAC)</i>
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries'

	requirements, country needs, global priorities and partners' and donors' policies (<i>DAC</i>)
Review	An assessment of the performance of an intervention, periodically or on an ad hoc basis (<i>DAC</i>)
Sector	A coherent set of activities which can be relevantly distinguished in terms of policies, institutions and finances, and which need to be looked at together to make a meaningful assessment (<i>DANIDA Aid Management guidelines</i>)
Stakeholder	All individuals and groups who are (directly or indirectly) affected by, or can affect a given operation (<i>World Bank</i>)
Stakeholder analysis	Also known as Stakeholder mapping. The identification and analysis of groups that a policy (or action) is designed to help, as well as those whose assent or involvement is required to make the policy work (<i>World Bank</i>)
Strategic response plan	<i>See section 7.2.1</i>
Strategy	<i>See section 7.2.1</i>