



**External Assessment
of
CCCM Cluster
Co-Leadership Structure**

Final Report

**from
Bobby Lambert
AshDan SPS Ltd**

December 2015

Contact

Bobby Lambert

bobby@ashdan.eu

+353 85 119 6698

Contents

Acknowledgements.....	1
Glossary.....	1
1 Executive Summary	2
1.1 This report.....	2
1.2 Main Findings	2
1.3 Summary of Recommendations	3
2 Introduction.....	5
2.1 This report.....	5
3 Approach and Methodology	5
3.1 Purpose.....	5
3.2 Deliverables	5
3.3 Approach	5
3.4 Methodology	6
3.5 Constraints.....	6
4 Findings.....	7
4.1 Introduction	7
4.2 Discussion of findings	11
5 Recommendations	16
5.1 Where the global cluster is now.....	17
5.2 Where we want to get to: good leadership and governance	18
5.3 How to get there	27
6 Appendices.....	28
6.1 CCCM global cluster structure.....	29
6.2 Accountability.....	31
6.3 Comparison with other clusters	32
6.4 Interviews conducted	33
6.5 Documentation log.....	34
6.6 Timeline for the assessment.....	37
6.7 Online Survey Results	38

ACKNOWLEDGEMENTS

I would like to acknowledge the contribution and support of those who gave their time and insights to this assessment, notably those who took part in the online survey, in discussion groups and one-to-one interviews.

My thanks go to Andrew Cusack, David Preux, Debora Gonzalez-Tejero and Daniela Raiman, who acted as the focal points for the assessment and to Nuno Nunes and Kimberly Roberson for their overall support and guidance.

GLOSSARY

ACTED	Agency for Technical Cooperation and Development
CCCM	Camp Coordination and Camp Management
DRC	Danish Refugee Committee
GSG	Governance and Strategy Group
HCT	Humanitarian Country Team
IASC	Inter-Agency Standing Committee (for the Coordination of Humanitarian Assistance)
IDP	Internally Displaced Person
IOM	International Office for Migration
NRC	Norwegian Refugee Committee
RRT	Rapid Response Team
SAG	Strategic Advisory Group
SCLG	Senior Co-Leadership Group
UNHCR	United Nations High Commissioner for Refugees

1 EXECUTIVE SUMMARY

1.1 This report

This draft report is submitted as part of the assessment of the co-leadership structure of the CCCM cluster, initiated in mid September 2015 and due for completion at the end of December.

As stated in the ToR, the study is “an assessment of the current co-leadership structure of the CCCM Cluster and its benefits and disadvantages. Comparisons to other clusters will be drawn.”

As agreed in the inception phase, the assessment focused on the global cluster and used a ‘governance lens’¹, providing an independent external view. The emphasis of this report has been on presenting the consultant’s recommendations for the development of the governance and leadership of the global cluster, to be considered by the global CCCM cluster.

As part of the research the consultant attended inception meetings in mid-September and the annual global retreat in Geneva in mid-October, conducted document research, ran an online survey, which was completed by 39 respondents, and held over 30 one-to-one interviews with a wide range of cluster members and stakeholders.

1.2 Main Findings

1.2.1 Co-leadership is beneficial and should be retained

The assessment found that, on balance, key stakeholders valued the fact that the cluster is co-led, with its benefits outweighing its disadvantages. It was noted by some that leadership by a single agency has its own specific risks. Finally, the costs and problems of moving to a single agency leadership model would be significant.

Many of the challenges faced by the global CCCM cluster can be addressed through the further development of governance and leadership at the global cluster level, rather than opting for a single lead model. Other clusters are also engaged in developing their global cluster governance and leadership, and valuable lessons may be gained from sharing their experience. This is discussed in more depth in the report.

1.2.2 Good performance in providing practical resources

A key finding is that the cluster is performing well in providing practical resources that are valued by the field (guidance, toolkits, training, people (RRT), newsletter etc.).

There is a good level of practical communication between country and global levels, which informs the development of these resources.

At global level there is good operational cooperation on certain tasks between the IOM and UNHCR teams, with NRC playing a very positive facilitative role.

A positive initiative is the investment by the cluster in developing the understanding of field cooperation with OCHA through the work on the 2W matrix, *Who does What in Humanitarian Coordination: Inter-cluster coordination, CCCM Cluster Coordination and Camp Management*.

The cluster has made significant investments in capacity development, and has commissioned an evaluation of this with a view to developing it further in the future.

At country level, when the cluster is activated and it is clear who is leading, there is general recognition that the CCCM cluster provides very valuable services and that it receives good support from the global level.

¹ Governance refers to how an organisation is run, directed and controlled (<http://www.governancecode.ie/about.php>) It refers to the structures, systems, rules and processes by which it exercises its powers, discharges its responsibilities and provides accountability to stakeholders (adapted from various sources).

1.2.3 Challenges

The main challenges are:

- **Accountability:** In common other global clusters, the CCCM faces challenges in accountability. In the absence of clear and agreed accountability mechanisms, accountability within the cluster has developed in an informal manner. There is a need to go beyond this and develop systematic and formal accountability mechanisms within the cluster and between the cluster and external stakeholders.
- **Agency relations, governance structures and processes:** The absence of formal governance structures, processes and documentation has contributed to the development of some unhelpful tension between the co-lead agencies, that has not been conducive to the smooth functioning of the global cluster.
- **Engagement with and by cluster members:** as recognised by both cluster members and the co-leads there is a need, and a desire, to strengthen engagement with and by cluster member agencies at global cluster level.
- **Preparedness:** It is noted that significant steps have been taken to develop preparedness capacity at global and national level. One area that requires strengthening is on the anticipation of, and planning for, challenges around cluster activation and the choice of cluster lead at country level in complex crises.
- **Predictability of leadership:** This area would benefit from increased clarity on the services provided by the cluster out of camps, from improved cluster documentation and from investment in contingency planning on cluster activation in complex crises (as above).
- **Strategic planning:** Noting that a strategic framework was tabled at the 2015 global annual retreat with 5 strategic outcomes, the strategic plan requires additional areas of content, and developments in the manner in which it is developed and communicated.
- **Services provided:** Linked to the issue of strategy, there is a lack of clarity on the practical 'non-camp' services provided by the cluster. When combined with the frequent antipathy to the 'camp' word, in many cases, this can be a major impediment to the good functioning of the cluster at field level.
- **Strategic learning:** There is evidence of important learning at an operational level through informal discussions between staff at global and field level and at the global annual retreat. However there is a need to develop a systematic and strategic approach to learning at the global level, for example in the reviews of country cluster performance and needs or in the performance of the global cluster in delivering on its responsibilities.
- **Documentation:** There is very little documentation on how the global cluster functions, with no evidence of documented agreements at senior levels, no Terms of Reference for the cluster, no consolidated plans or budgets and no records of key meetings, business conducted or decisions taken.

1.3 Summary of Recommendations

The table below sets out briefly the 25 recommendations made in the report. The recommendations are structured around 3 main strands:

- **Where the global cluster is now (Recommendations 1-3)**

These recommendations are concerned with acknowledging the achievements of the global cluster to date, recognising the need for investing in global cluster governance and accepting that there are significant areas for improvement.

- **Where it aims to be (Recommendations 4-20)**

These recommendations relate to the development of a framework for and key components of global cluster governance, including the commitment by the lead agencies to a cohesive global cluster entity, the meaningful exercise of accountability and the development of policies, procedures and plans.

- **How it plans to get there (Recommendations 20-23).**

The final recommendations are concerned with the initial steps to moving ahead with the development of global cluster governance and leadership, including responding to this assessment and initiating a governance action plan.

Table SOR: Summary of Recommendations

Where the cluster is now	
1.	Recognise, sustain and build on the achievements of the global cluster and those who have worked to deliver them.
2.	Retain the co-leadership by UNHCR and IOM.
3.	Acknowledge the need for and commit to the development of strengthened governance of the global cluster.
Where it aims to be	
4.	Review the current practice of accountability in the global cluster against the commitments on Accountability to Affected Populations made by the IASC principals in December 2011.
5.	Agree a mechanism for exercising mutual accountability between the main actors in the global cluster and with external stakeholders
6.	Clarify the mutual accountability of the lead agencies of the global CCCM cluster with the ERC and agree how this accountability is to be exercised.
7.	Clarify the other main accountabilities of the global cluster and how they are to be exercised, in particular: <ul style="list-style-type: none"> • Between the two co-lead agencies: see recommendation below on a senior co-leadership group (SCLG). • Between the co-lead agencies and the broader partnership base of the global cluster: see recommendation below on a strategic advisory group. • Between the co-lead agencies, the global cluster coordinators and the global cluster support team: see recommendation below on the global cluster coordination team
8.	Develop clear, agreed and documented policies, procedures and plans.
9.	Develop a governance manual setting out the powers of the global cluster and how it is to function.
10.	Develop the global cluster strategic plan, with the members of the global cluster, facilitated by the global cluster support team, to be ratified by the SAG/GSG and endorsed by SCLG on behalf of the lead agencies.
11.	Develop a shorter-term (1-2 yr) operational plan for approval by the SAG/GSG.
12.	Develop a cohesive global cluster structure.
13.	With the GCST, the GCC to develop and implement measures to foster the identity and cohesiveness of the GCST
14.	Structure the global cluster support team so that accountability for each of the main cluster functions is clearly allocated.
15.	The Co-Lead agencies, through the SCLG and working with the SAG, to develop clear ToR for the GCC..
16.	Set up a SAG, whose ToR are to be developed by an interim SAG.
17.	Set up a Senior Co-Leadership Group (SCLG) to act on behalf of the co-lead agencies.
18.	Ensure that the Annual Global Retreat contributes meaningfully to the accountability of key actors in the global cluster.
19.	Include in the cluster governance manual an outline of the key processes that contribute to good leadership and governance, with an indication of how they are to be applied, including learning, monitoring & evaluation, engagement of members, decision-making, communication and conflict resolution.
20.	Develop a global cluster financial strategy and budget taking account of the value of a well-run global cluster, the cost of providing this and the sources of income to meet this cost.
How to get there	
21.	Review this report, taking on board comments from cluster members and provide a management response setting out in broad terms how the co-lead agencies intend to move forward.
22.	Commit to, develop and implement a governance action plan, to be developed by the SAG (using a working group if needed) with the support of the GCC.
23.	As part of the governance action plan, agree immediate actions to be implemented in the first half 2016.

2 INTRODUCTION

2.1 This report

This report is presented as part of the assessment of the co-leadership structure of the CCCM cluster, initiated in mid September 2015. It complements the Inception Report, agreed at the start of the assessment, the Aide Mémoire submitted soon after the Global CCCM retreat in Geneva in October 2105 and a detailed report on the online survey submitted in November.

The purpose of the report is to present the findings and the consultant's recommendations for the development of the governance of the global cluster, for review and discussion. The discussion is to include a presentation of the report to the global cluster in Geneva in early 2016. Comments received will be taken on board in preparing the final report.

It is anticipated that this final report will then be considered by the global cluster, which will decide on which findings to accept and which recommendations to adopt; these to be documented through a management response.

3 APPROACH AND METHODOLOGY

3.1 Purpose

As stated in the ToR, the purpose of the study was to conduct “an assessment of the current co-leadership structure of the CCCM Cluster and its benefits and disadvantages. Comparisons to other clusters will be drawn.”

The assessment looked at the co-leadership structure of the CCCM Cluster at the global level, including the leadership, the structure and the ‘co’ aspect. A governance ‘lens²’ was used, with particular consideration of performance in carrying out the role of a global cluster, accountability to stakeholders and learning at the cluster level.

3.2 Deliverables

As stated in the ToR, the main deliverable of the project is a report, to be submitted initially as a draft for review, to be finalised based on feedback received. Interim deliverables include:

- An Aide Mémoire, to be submitted after the Global Retreat
- A presentation to the project steering committee in Geneva, scheduled for December

Complementing the above, a copy of the report of the online survey was submitted in early November.

3.3 Approach

The approach involved a facilitated, interactive and participative process intended to generate consensus and ownership for the report's final recommendations.

In particular the process aimed to:

- Maintain a sharp focus on the purpose and objectives of the assessment, its intended audience and its ultimate beneficiaries
- Ensure that findings are evidence based and recommendations are practical and actionable
- Engage constructively with key stakeholders to generate open and frank exchanges

² Governance refers to how an organisation is run, directed and controlled (<http://www.governancecode.ie/about.php>) It refers to the structures, systems, rules and processes by which it exercises its powers, discharges its responsibilities and provides accountability to stakeholders (adapted from various sources).

- Draw on the consultant's own experience in humanitarian work at field, management and HQ level, and notably on my many years of experience in working with a variety of clusters
- Ensure that this external assessment is independent and impartial, a point strongly emphasised by the client.

The work benefited from the clear lines of communication and robust management arrangements agreed with the client in the inception phase.

The following points were highlighted in preliminary discussions:

- The need to centre the analysis on displaced persons living in communal settings
- The importance of recognising and building on success (an 'appreciative enquiry' approach), whilst being honest about the challenges and open to how to be even better in the future.
- Recognising the benefits and challenges of coordination, appreciating what a co-leadership approach can offer, noting the different cultures of UNHCR and IOM and the different contexts in which they operate
- The value of an organisation capacity approach, including context, strategy, governance (structures and processes), culture, people and resources

3.4 Methodology

The methodology involved balancing literature research and interviews with an interactive approach aimed at generating a high level of agreement on the main findings and recommendations, and included the following:

- Inception and planning with the client, to ensure clarity and agreement on key deliverables, main activities, work-plan and management arrangements
- Research, including desk research, review of priority documentation carefully selected with the client
- An online survey completed by 39 respondents
- Semi-structured interviews in person or face-to-face with 31 respondents
- A focus group discussion with IOM staff and several informal group discussions during the course of the annual retreat
- Attendance at the annual global cluster retreat in Geneva in mid October
- Analysis of the findings from this research
- Sharing and review of the results of the research and analysis
- Engagement with the client throughout the study, to ensure it remains on track, including an inception meeting at the start of the work, an interim meeting to review progress and a review meeting to discuss the findings and recommendations.

The development of the report and especially the recommendations has drawn heavily on the documentation provided by and discussions held with other clusters, notably Education, Protection, Shelter and WASH.

3.5 Constraints

The assessment went well, with very good support provided by the focal points and a high level of interest amongst respondents. The main constraints faced during the assessment were:

- Lack of documentation on the co-leadership structure
- Difficulties in arranging interviews with some of the key staff and the limited time they had available
- The operating environment, notably the pressures on some staff of various ongoing humanitarian crises
- The time available, both in overall duration and in consultant-days
- Lack of opportunity to conduct field visits, mainly related to the time constraint.

4 FINDINGS

4.1 Introduction

4.1.1 The role of global cluster lead agencies

In order to provide a benchmark, the assessment includes a review of what is expected of global cluster lead agencies. This review is drawn largely from the original documentation issued by the IASC and the information currently available through the IASC, from the consultant’s experience in working with clusters in a variety of roles over the years and from the discussions and research conducted during this assessment.

Table GCLA below lists the 11 clusters, with the global lead agencies. Of these, 4 clusters are co-led. The protection cluster has 4 areas of responsibility, which also involves shared leadership.

Table GCLA Global Cluster Lead Agencies

Cluster	Global Leads
Camp Coordination and Camp Management	IOM and UNHCR, supported by NRC
Early Recovery	UNDP
Education	UNICEF and Save the Children
Emergency Telecommunications	WFP
Food Security	WFP and FAO
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR with 4 areas of responsibility (Child Protection; Gender Based Violence; Housing, Land and Property and Mine Action)
Shelter	IFRC / UNHCR
Water, Sanitation and Hygiene	UNICEF

The lead agencies have specific accountabilities and responsibilities in supporting activities in humanitarian response, as defined by the IASC, and set out in full below in Box RGCL.

In relation to this assessment the following points are worth highlighting.

- The global cluster leads are accountable to the Emergency Relief Coordinator for 3 main areas of responsibility, being:
 - Ensuring system-wide preparedness and technical capacity
 - Greater predictability and more effective inter-agency responses
 - Establishing broad partnership bases (i.e. “clusters”) that engage in 3 main areas of activity (standards and policies, capacity and operational support)

The structure in which the Global CCCM cluster operates is presented in the diagram, Figure IHCA, below. Within that broad structure, the entity that is being assessed is that of the global CCCM cluster.

For clarity it is worth emphasising that the global CCCM cluster has an identity that is distinct from CCCM clusters operating at country level and the focus of this assessment is on this distinct global CCCM cluster.

Box RGCL: Responsibilities of the global cluster lead agencies

Responsibilities of Global Cluster Lead Agencies

From IASC Guidance Note on using the cluster approach to strengthen humanitarian response, 24 November 2006

Complementing arrangements already in place for some sectors or areas of activity, global cluster leads have agreed to be accountable to the Emergency Relief Coordinator 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. More specifically, they are responsible for establishing broad partnership bases (i.e. "clusters") that engage in three main areas, as follows:

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 mobilization
- Pooling resources and ensuring complementarity of efforts through enhanced partnerships

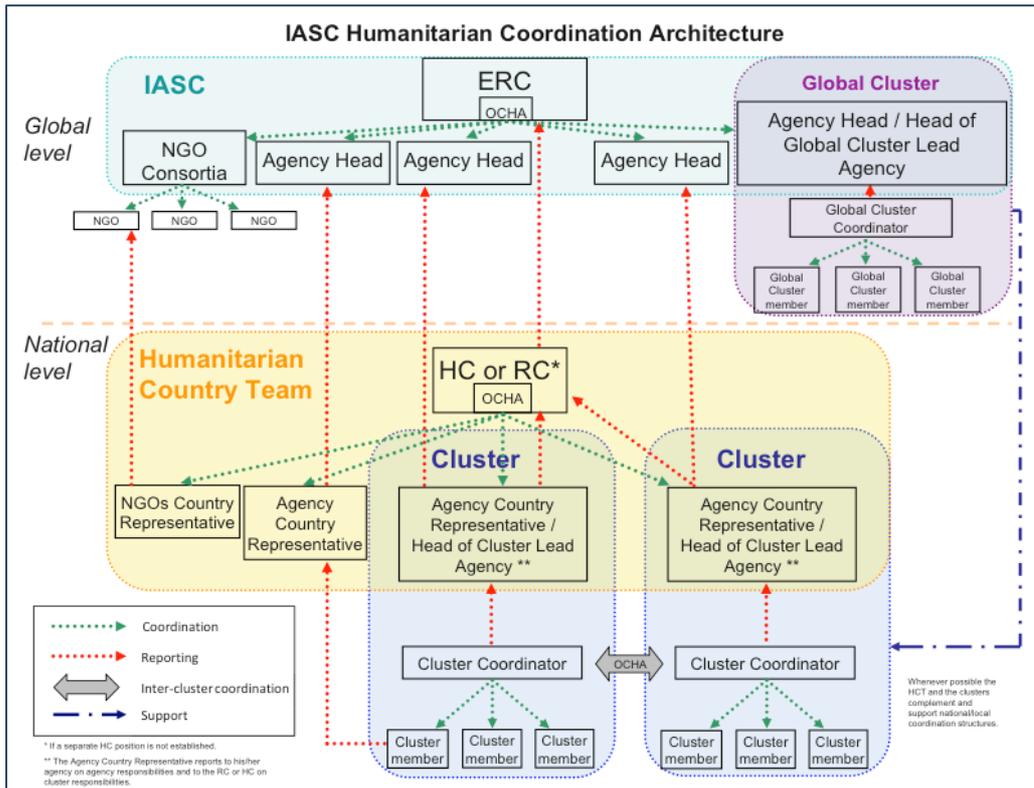
The following information is provided on the Humanitarian Response website (<https://www.humanitarianresponse.info/fr/coordination/clusters/who-does-what>)

The **Global Cluster Lead Agencies** provide the following types of support to strengthen field response:

- Technical surge capacity
- Trained experts to lead cluster coordination at the field level
- Increased stockpiles, some pre-positioned within regions
- Standardised technical tools, including for information management
- Agreement on common methods and formats for needs assessments, monitoring and benchmarking
- Best practices and lessons learned from field-tests

Figure IHCA: The IASC Humanitarian Coordination Architecture

from IASC 2010: Handbook for RCs & HCs on Emergency Preparedness and Response



4.1.2 The CCCM global co-leadership structure: a description

One of the first tasks in the assessment was to understand what the co-leadership structure of the CCCM global cluster looks like and how it operates.

An organisational chart and brief notes were provided and are appended to this report (Appendix 6.1). This chart, and the information gleaned from interviews and discussions, highlight that the current co-leadership structure operates largely in parallel, with each lead agency supporting its own field operations with two largely separate global support teams. These teams have developed in different ways and over different time periods.

At the country level, the CCCM cluster is generally led by one agency, with shared leadership at the country level being the exception.

There is a considerable amount of task-based cooperation at the global level, much of it linked to the ECHO funded project and concerned mainly with the development of tools and guidance, as mentioned above. This cooperation is based on agreements between the global cluster lead agencies on the priorities for global cluster work.

In addition to the practical contribution on the development of tools and provision of capacity, NRC provides significant, and very helpful, support and facilitation of tasks conducted between the co-lead agencies and with field operations.

Turning to what the global CCCM cluster aims to deliver, the current version of the CCCM stated mission, including the role of the global cluster, is given in the attached box.

It is noted that this mission statement is more limited in scope than that of the global cluster leads as set out above in Box RGLA, and indeed than the actual activities conducted by the global cluster.

Mission of CCCM cluster and global cluster role

Providing equitable access to services and protection for displaced persons living in communal settings

The mission of CCCM is to ensure equitable access to services and protection for displaced persons living in communal settings, to improve their quality of life and dignity during displacement, and advocate for solutions while preparing them for life after displacement. *The Global CCCM Cluster supports field operations with tools, guidance and capacity building to coordinate and manage displaced populations effectively.*

<http://www.globalccmcluster.org/>

For example, there is no mention of emergency preparedness and long-term planning. Nevertheless, it is also noted that the global CCCM does in practice engage in other activities (such as the deployment of staff and certain aspects of preparedness). This engagement in other activities can be seen in the strategic framework presented at the global retreat, from a reading of other parts of the website, and from discussions conducted during this assessment.

However there are significant gaps, notably in the establishment of the partnership base, in some areas of preparedness and in long-term planning. It is noted that work on the 'out of camps' issue is ongoing under the ECHO funded project, and progress has been made, for example with the publication of the 2014 'Urban Displacement & Outside of Camp' desk review ³.

³ Noting progress made in this area with the publication of the 2014 'Urban Displacement & Outside of Camp' desk review

4.2 Discussion of findings

4.2.1 Global cluster leadership – some notes

Impact of global cluster leadership

One of the first questions for the consultant was to assess the scope of the issue being assessed, particularly in relation to delivery at the field level. How does the performance of the global cluster affect performance at country level?

The clear answer from respondents is that the performance of the global cluster does matter and has a very significant effect on performance at country level, in terms of access to guidance, support, capacity development and emergency human resources.

Whilst there was appreciation for the work done by the global cluster, particularly in operational support and guidance, there was a strong indication that the performance at the field level would benefit from improvements at the global level. There was a clear message that it is worth investing in the further development of the global cluster, particularly in its governance.

Global cluster leadership is not easy

As part of this assessment, discussions were held with representatives of several other clusters (Education, Protection, Shelter and WASH). From these discussions it is clear that there are many challenges to be faced in global cluster governance and that valuable lessons can be learned from their varied experiences. The lessons gleaned from the brief discussions held in this assessment have informed this report; as the CCCM global cluster develops its governance, further discussions with other global clusters would be very valuable.

Some of the challenges faced include:

- Understanding the cluster approach and the complex global international coordination architecture.
- Understanding and working with the partnership approach of the cluster system. This is particularly the case with agencies with a long-established and different approach to working with implementing partners.
- Competition between the needs of a cluster and those of the lead agency (the double-hatting issue).
- Resourcing the global cluster activities.

4.2.2 Strengths

Co-leadership is beneficial

The finding from this assessment is that the benefits of co-leadership (mainly strategic) outweigh the challenges (mainly operational).

These benefits include:

- Burden-sharing
- Increased capacity
- Complementary expertise and mandates
- The value of a cluster identity that goes beyond one lead agency.

Challenges include

- Perceptions of competition
- Different views on the cluster approach
- Different organisational cultures
- The transaction costs of relationship management, including decision-making.

Having said that there is scope to more fully realise these benefits by taking steps to address the challenges more explicitly.

The option of moving towards leadership by one agency is not considered to be viable at this point in time for the following reasons:

- Loss of the benefits of co-leadership
- Some of the challenges associated with co-leadership would remain as there is a need to work with other agencies at global cluster level
- Leadership by a single agency brings its own challenges, including perceptions of (or temptations towards) an autocratic approach
- Implementing such a move would itself have major transaction costs, would encounter significant challenges and could well lead to conflict between the current co-leads, with negative effects on the performance of the cluster at country level.

For these reasons a key conclusion of this assessment is that co-leadership should be retained, and that the co-lead agencies commit to further developing the governance of the global cluster.

Good performance in providing valued deliverables

A key finding is that the cluster is performing well in providing deliverables that are valued by the field (guidance, toolkits, training, people (RRT) etc.). Similarly the Newsletter is a useful means of sharing information in a relatively informal manner.

On operational matters, there is considerable informal communication between country and global levels, which informs the development of practical resources. There is also good operational cooperation between the IOM and UNHCR teams at global level, with NRC playing a very positive facilitative role.

A positive initiative is the investment by the cluster in developing the understanding of field cooperation with OCHA through the work on the 2W matrix, *Who does What in Humanitarian Coordination: Inter-cluster coordination, CCCM Cluster Coordination and Camp Management*.

The cluster has made significant investments in capacity development, and has commissioned an evaluation of this with a view to developing it further in the future.

At country level, when the cluster is activated, when it is clear who is leading and there is a good understanding of the services it provides, particularly where there is an acknowledged need for camp management, there is general recognition that the CCCM cluster provides very valuable services and that it receives good operational support from the global level.

High level commitment

At the most senior level of the Co-Lead Agencies there is a commitment to the CCCM cluster and to the co-leadership aspect. This commitment is manifest in the significant commitment of resources (financial and human) to supporting the work of the CCCM clusters around the world.

4.2.3 Areas for improvement

Accountability

The issue of accountability, particularly to affected people, remains one of the major challenges of the international humanitarian system⁴. The IASC has made commitments (see appendix 6.2.2) and developed a tool to assist in strengthening accountability. Similarly accountability is one of the main themes of the Core Humanitarian Standard. A useful contribution in this area is the 'Communicating with Communities' published by IOM in 2014, working with the Humanitarian Accountability Partnership (now part of the Common Humanitarian Standard Alliance).

In this assessment, the issue of accountability⁵ between the lead agencies and the cluster members received the lowest score in the online survey. The one-to-one discussions and the documentation research confirmed that there is a need to develop more formal and systematic accountability within the cluster and with external stakeholders.

⁴ See for example State of the World Humanitarian System, p60

⁵ 'the process of using power responsibly, taking account of, and being held accountable by, different stakeholders, and primarily those who are affected by the exercise of such power' Core Humanitarian Standard 2014

The assessment found that in the CCCM cluster there is considerable informal communication, which provides for a certain level of internal accountability at the global level. It has also found that the CCCM cluster engages constructively in discussions at the global inter-cluster level, noting that these appear to be conducted in a fairly informal and ad-hoc manner. Furthermore, the CCCM global cluster is working with OCHA on the elaboration of responsibilities – the ‘Who does What’ matrix – which can assist in clarifying accountability.

At the global level, at present, the main formal mechanism for accountability to and engagement with cluster partners is the global retreat, an important event with valuable discussions and interactions. However, only one report is available on the website, being for the 2013 retreat. Subsequent to the 2015 retreat, a copy of the 2014 retreat report was made available to the consultant, but is not yet on the website.

Aside from this, no evidence was found for the systematic exercise of accountability within the cluster and with its external stakeholders, including with the ERC and with the other clusters at global level.

As accountability is a key feature of the global lead agencies engagement, this indicates a need for more sustained and systematic attention to this issue by senior management within the co-lead agencies.

A positive development is the expressed desire of cluster members to become more engaged in governance at the global level (cf the request for a SAG) and the positive reception this received from the co-leads.

Relations between the co-lead agencies

During the assessment consistent, widespread and strongly made comments were offered on tensions between the co-lead agencies. Some tension is to be expected, and even healthy, and occasional clashes are normal in any human organisation and between organisations with different histories, mandates and priorities. Nevertheless, the consistent view was that the current tension, which has existed for a considerable period of time, is unhelpful and needs to be addressed. It was cited as a major factor in impeding the development, agreement and publishing of key cluster documentation, including its strategy and the reports of the annual retreats. While this tension is acknowledged at senior level, the assessment did not find evidence of sustained efforts by the co-lead agencies to systematically manage and reduce it. NRC has provided a significant service in mediating between the lead agencies.

It is important that senior leadership in both lead agencies address this issue; without this, efforts at a more junior level can only have a limited effect. Suggestions on how to address this are provided in the recommendations section, notably on the development of governance systems and structures.

Engagement with and by members of the cluster

A key responsibility of the cluster lead agencies is the development of a broad partnership base (cluster). The CCCM cluster has taken some steps to do this, particularly in relation to the operational support and guidance it provides. The global retreat, thematic meetings, mid-year telcon, and the CCCM capacity building group all help to foster engagement. However, as indicated in the online survey and in other parts of this assessment, there is room for improvement in this area, particularly in the governance aspect.

There is currently a desire to address this, evidenced by the letter from members expressing their wish to be more involved in global governance and by the manner in which this letter has been welcomed by the co-lead agencies. Similarly this assessment has noted consistent calls for the development of a Strategic Advisory Group (SAG) at global level.

Contributing to this, the fact that there are 2 global cluster support teams, each mainly dedicated to the work of their own agency (albeit with some significant joint working), inhibits the development of a global cluster entity.

It is timely to take action to develop appropriate structures and processes to facilitate this engagement.

Preparedness

It is notable that the mission statement of the CCCM cluster, as published on the website does not include specific reference to preparedness. However, the strategic framework issued at the global retreat has 5 strategic outcomes, 2 of which are specifically concerned with preparedness: Outcome 1 (CCCM cluster preparedness and response capacity) and Outcome 3 (national capacity). Furthermore, the cluster has taken a number of practical steps to enhance preparedness, including the development of the rapid response teams, the MEND guide and the investment in training.

One area that warrants a further investment in preparedness is in dealing with the challenges in decision-making at the time of cluster activation and in decisions around who should lead the cluster at country level,

particularly in complex crises. Whilst progress is reported in this area, it would benefit from further investment in anticipating where such challenges are likely to occur and in taking steps to mitigate the challenges (with some contingency planning). Such measures would include clear agreed policies and procedures, shared within the cluster. Such an investment would also contribute to the predictability of leadership, discussed below.

Predictability of leadership

Where the division of responsibilities is clear (conflict or 'natural' disasters) and where there is a widely recognised need for camp management, the cluster is providing predictable leadership at country level.

Leadership is less predictable in complex crises where the situation is less clear, involving natural hazards and conflict, with a mixture of IDPs and Refugees and where many affected people are not in camps. In such instances, difficulties have been reported on adopting a common CCCM approach on how to work with the Humanitarian Country Team both on cluster activation and on the selection of the country cluster lead. These difficulties in agreeing country level cluster leadership have contributed to and been exacerbated by the tension between the lead agencies.

These difficulties are likely to arise again in complex crises and highlight the need for the global leadership to take action to strengthen the predictability of leadership.

Strategic planning and learning

A key tool in communicating predictable leadership both within the cluster and to key external stakeholders is a clear, credible, coherent, agreed and published strategy, an item discussed at the 2015 retreat and at previous retreats. Many of the respondents in this assessment highlighted this as a major area of concern, although some felt that the strategy was clear. It is noted that progress is being made, with a strategic framework tabled and discussed at the recent retreat. This framework presents a strategic vision and 5 strategic outcomes, with brief details of related initiatives, outputs, activities and indicators.

Developing this it would be helpful to provide a linkage between the five outcomes and the stated CCCM mission and the agreed responsibilities of the CCCM global cluster. It would also be helpful to clarify what standing this strategic framework has, explaining how it has been developed and endorsed and how it is being communicated. Further, it would benefit from inclusion of other content commonly part of a strategic plan (see below in recommendations).

Closely linked to strategic planning is the issue of strategic learning by the global cluster: is it delivering what is needed and how could its delivery be improved.?

The global CCCM cluster has been making progress on this issue. At the time of writing, there are 4 ongoing evaluations that can inform learning by the global cluster (this assessment, the capacity building evaluation, the GBV mainstreaming and the evaluation of the ECHO funded CCCM project). Learning by the global cluster is also assisted by a range of informal discussions, including those at the global annual retreat. Some studies provide useful information, such as the recent Real Time Evaluation by IOM in South Sudan (November 2014).

It is noted that the system wide Cluster Coordination Performance Monitoring tool is not yet delivering useful information for learning. In this regard, it is understood that UNICEF is working on a tool that may soon be made available to other clusters.

Noting the above, the global cluster can further systematise its learning, as part of the development of its governance, and in particular its strategic planning.

Clarity on CCCM functions and the 'camp' word

There are many situations where the 'camp' word is problematic and/or where support is required for those in 'out of camp' settings; it seems likely that the number of such situations will increase in the future. In such situations gaining access to the people the cluster aims to serve will be facilitated by increased clarity on the 'out of camp' functions provided by the cluster and by how these are communicated.

Whilst good progress has been made in the thinking on 'out of camp' functions and in some of its communications (such as the recent UDOC publication, discussions at the recent global retreat) this has yet to be reflected in the general communications of the cluster (for example on the website), with implications for those with whom the cluster needs to engage (partners within the cluster, other clusters, government).

The cluster has yet to find a way to communicate clearly on the services provided (or that could be provided) in 'out of camp' settings without significant reference to camps. There is widespread and long-standing recognition that the word 'camp' is a liability, presenting a hurdle to be overcome rather than a stepping-

stone to ease access. At the global level it has not yet been possible to agree on a more appropriate name, noting that at field level other names have been used (as in DRC).

This need for clarity is a key strategic issue whenever the cluster system is activated (or may be activated) at country level. Impacting as it does on the ability of the cluster to provide its services, this issue of clarity and communication on the services provided remains a significant challenge for the leadership of the cluster at the global level.

Documentation

Good documentation is essential to good governance, as part of leadership and accountability. This assessment found that there is a lack of documentation in the following areas:

- The terms of the agreement between the lead agencies and the ERC
- The terms of agreement between the lead agencies, indicating how they plan to work together
- How the global cluster operates and the role and responsibilities of its members
- A clearly communicated and agreed strategic plan (see the note above on the strategic framework)
- Records of key meetings and discussions. Only one annual retreat report has been published on the website. No minutes were provided of key meetings, business conducted or decisions taken.

Other global clusters have developed some of the above; the CCCM global cluster could benefit from their experience, notably the Shelter, Education, WASH and Food Security clusters.

5 RECOMMENDATIONS

The following recommendations are presented for review and consideration as part of the proposed 'Governance Action Plan'.

The recommendations have been developed on the basis of

- Feedback and suggestions received as part of this assessment
- A review of how other clusters are addressing this issue
- Consideration of the specific needs of the CCCM global cluster
- Experience of good practice in organisational governance and leadership

The recommendations are structured as follows:

- **Where the global cluster is now:**
Understanding and acknowledging the current state of health, the achievements to be maintained and built on and the areas in need of improvement
- **Where the global cluster wants to get to:**
Reviewing and defining what constitutes good governance for the global cluster and demonstrating the commitment to working for this
- **How to get there:**
A series of key steps on the journey to good cluster governance

5.1 Where the global cluster is now

5.1.1 Recognise and build on the achievements of the global cluster

Recommendation 1. Recognise, sustain and build on the achievements of the global cluster and those who have worked to deliver them.

The global cluster has achieved much that is of great benefit to country level operations and those they serve; these achievements are to be appreciated. They have been made possible through the commitment and effort of the global cluster teams. Areas of strength include the operational support provided to the field, the tools, guides and people provided, the interaction with other clusters and the benefits offered by the co-lead agencies. These achievements provide a solid platform for the further development of the work of the CCCM cluster.

5.1.2 Retain the co-leadership by UNHCR and IOM

Recommendation 2. Retain the co-leadership by UNHCR and IOM.

The benefits of co-leadership outweigh the challenges. The challenges faced can be addressed through investment on improved governance at the global cluster level.

5.1.3 Further develop cluster governance

Recommendation 3. Acknowledge the need for and commit to the development of strengthened governance of the global cluster.

In common with other global clusters, there is growing recognition of the need for and benefits of strengthening governance at global cluster level. The commissioning of this assessment, the ongoing work on the strategic framework and the interest of partner agencies in engaging in governance at the global level are indicative of the interest in this within the global CCCM cluster.

This assessment has shown that there is considerable room for improvement in the governance of the global cluster and a growing desire to address this. The development of governance will require a clear signalling of 'political will' within the cluster and particularly from senior staff in the co-lead agencies.

This commitment will require dedicated time and attention from senior staff within the co-lead agencies and enhanced engagement with and by global cluster partners. It will require the allocation of specific human and financial resources, particularly of the global cluster coordinators, supported by dedicated secretariat time.

5.2 Where we want to get to: good leadership and governance

5.2.1 Introduction

The global cluster governance system proposed below is the consultant's view of a process and system likely to deliver a well-functioning global cluster. It is understood that it takes some time to strengthen governance, that the final 'product' may be somewhat different. As important as the 'product' is the process and this process can begin immediately, indeed is already underway, in light of the discussions at the recent global retreat and the follow-up to that.

The following discussion on cluster governance is presented under the following areas:

- Accountability
- Policies and Strategy
- Structures and key roles
- Processes
- Resources: Money and People

5.2.2 Accountability: clarify the accountabilities of the global cluster

Recommendation 4. Review the current practice of accountability in the global cluster against the commitments on Accountability to Affected Populations made by the IASC principals in December 2011.

The commitment made by the IASC principals in December 2011 on Accountability to Affected Populations, are quite detailed and extensive and include tools and guidance for implementation. In reviewing its system of accountability, the global cluster could usefully review where it stands in delivering on these commitments.

Recommendation 5. Agree a mechanism for exercising mutual accountability between the main actors in the global cluster and with external stakeholders.

For accountability to be effective, it needs to be exercised through a defined mechanism. In line with emerging good practice, develop this as an exercise of mutual accountability, with the components of the cluster reviewing their accountability to each other. This exercise would include a periodic appraisal of performance in discharging the agreed responsibilities and agreement on what needs to be done to take corrective action when needed.

Recommendation 6. Clarify the mutual accountability of the lead agencies of the global CCCM cluster with the ERC and agree how this accountability is to be exercised.

As indicated in the Box RGCL above, the global cluster leads have clear accountability to the ERC for agreed responsibilities. An annual 'performance appraisal' meeting is proposed, to be supported by an annual report, the meeting to be documented and shared within the global cluster.

A similar exercise is proposed for the other key partners in the global cluster, as detailed below.

Recommendation 7. Clarify the other main accountabilities of the global cluster and how they are to be exercised, in particular:

- Between the two co-lead agencies: see recommendation below on a senior co-leadership group (SCLG).
- Between the co-lead agencies and the broader partnership base of the global cluster: see recommendation below on a strategic advisory group
- Between the co-lead agencies, the global cluster coordinators and the global cluster support team: see recommendation below on the global cluster coordination team

5.2.3 Policies, strategy and plans: clear, agreed and communicated

Recommendation 8. Develop clear, agreed and documented policies, procedures and plans.

Recognise and affirm the value of clear policies and strategy in communicating the services provided by the cluster, in facilitating its efficient functioning and in exercising accountability to key stakeholders.

These policies, procedures and plans can be included in the proposed governance manual (see below).

Governance manual

Recommendation 9. Develop a governance manual setting out the powers of the global cluster and how it is to function.

A 'governance manual' describes how the global cluster is to function and its powers, so that all involved are clear on their roles, responsibilities and accountabilities.

The manual should include:

- Memoranda of Understanding between
 - the co-lead agencies (as a team) and the ERC, including how accountability is to be exercised
 - both co-Lead agencies, indicating their commitment to acting as co-leads, how they plan to do this, a commitment to the principles of partnership and a description of how accountability between them is to be exercised
- The ToR for the global cluster as an entity, including
 - A clear statement of its mandate and how it relates to the co-lead agencies and cluster partners
 - Its vision, mission, main objects, values and principles
 - A description of how it is to function, including how key processes are to be conducted, recorded and shared (meetings, decisions, accountability, appointments, monitoring, evaluation and learning)
 - ToR for its any key working bodies that are set up (for example a GCST, SAG and SLG see below under structures), officers (especially chair of the SAG) and staff (GCC).
 - A commitment to good record keeping, including the provision, for all cluster meetings, of agendas, supporting papers, minutes and reports, these to be made available in a timely fashion with all relevant global cluster stakeholders.
- Key policies and procedures adopted by the global cluster

Strategic plan

Recommendation 10. Develop the global cluster strategic plan, with the members of the global cluster, facilitated by the global cluster support team, to be ratified by the SAG and endorsed by SCLG on behalf of the lead agencies.

A good strategic plan is an essential tool in communicating with cluster partners and stakeholders. As important as the plan itself is its ownership and the process for developing it. It is noted that a good start has been made in the development of the current strategic framework.

Below is an outline of the contents of such a strategic plan.

- Context, including history and current operating environment
- A clear explanation of the services provided by CCCM clusters at country level
- Purpose, audience, timeframe (5 years), how it is developed, monitored and reviewed (every 2 years)
- Vision, mission and values (including the principles of partnership)
- An outline of the broad scope of activities of the CCCM operating globally (number of people served, number of client agencies supported, global spend through CCCM clusters...)
- A description of the key partners and stakeholders served by the global cluster
- An explanation of the services provided by the global cluster to its clients
- The main strategic priorities or goals of the global cluster, with key indicators
- Risks and assumptions to be managed
- Resourcing arrangements (human and financial)
- Monitoring and evaluation arrangements

Operational Plan

Recommendation 11. Develop a shorter-term (1-2 year) operational plan for approval by the SAG/GSG.

This plan, to be developed by the GCC, working with the GCST, should explain how the strategy is to be delivered, and include objectives, activities, budget (income and expenditure for the global cluster), staffing, risk management and monitoring arrangements.

5.2.4 Structure and key roles

Recommendation 12. Develop a cohesive global cluster structure.

This structure should include a global cluster support team with a clear sense of unity, led by a dedicated global cluster co-ordinator(s), accountable both to the proposed SAG/GSG and to the co-lead agencies through a Senior Co-Leadership Group.

Introduction

The proposed structure is illustrated in the diagram and discussed below. The diagram draws on the diagram in Figure IHCA, which illustrates the overall international humanitarian coordination architecture.

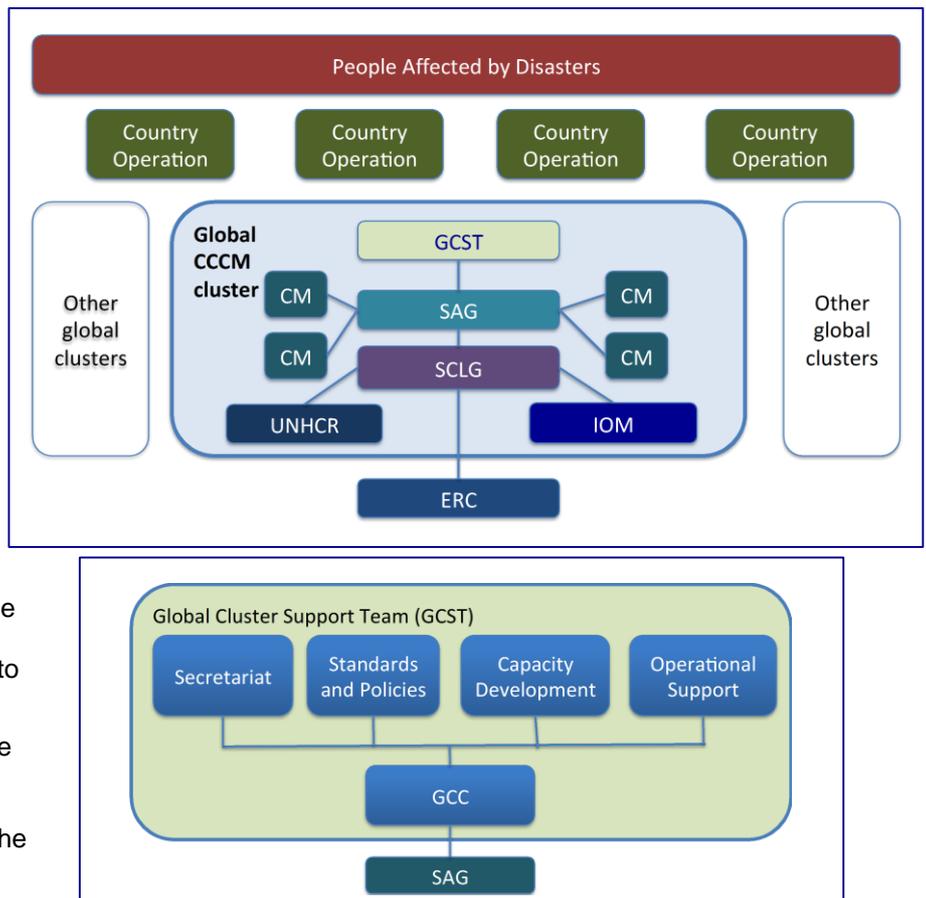
Overview

People affected by disasters receive (or should receive) services from a range of humanitarian actors, including local, national and international agencies. These actors are supported in their work through the coordination services provided by country level clusters, working together within a humanitarian country team in support of the country's own disaster response system.

The global CCCM cluster provides a range of services to support country level CCCM cluster coordination mechanisms, as described above in Box RGCL (responsibilities of global cluster leads). The global lead agencies are directly accountable to the Emergency Relief Coordinator for establishing a broad partnership base to deliver these services.

At an operational level, the services are provided by a Global Cluster Support Team (GCST), led by a Global Cluster Coordinator (GCC) and supported by the global cluster partners.

The GCC is accountable to the Strategic Advisory Group, which is in turn accountable to a Senior Cluster Leadership Group (SCLG). The SCLG acts on behalf of the two lead agencies, and is accountable to them and, on their behalf, to the ERC.



Global Cluster Support Team, identity and cohesiveness

Recommendation 13. With the GCST, the GCC to develop and implement measures to foster the identity and cohesiveness of the GCST.

The global cluster support team, managed by a global cluster coordinator (GCC), delivers the services of the global cluster. For it to be effective, it requires a strong sense of identity and cohesiveness as a global cluster team, including protection against the competing ‘non-cluster’ demands of the employing agency (double-hatting). Measures that can foster this identity and cohesiveness include working on joint cluster tasks, colocation, regular structured team meetings, informal meetings (e.g. over coffee); the precise mix of measures to be decided and reviewed by the GCC with the team. Note that this recommendation does not preclude the continuation of parts of the GCST being located in and employed by each of the lead agencies.

Recommendation 14. Structure the global cluster support team so that accountability for each of the main cluster functions is clearly designated and responsibility allocated.

Agree on the main functions of the global cluster. In line with the responsibilities of the global cluster lead agencies, the following 4 functions are proposed:

- A secretariat role which supports the governance and leadership of the global cluster and the development and maintenance of its broad partnership base
- The development and dissemination of standards, guidance and best practice
- A capacity development role, including training and system development, surge capacity and material stockpiles
- An operational support role, carrying out the functions described in Box RGCL above, including needs and capacity assessment, preparedness and planning, access to expertise, advocacy and resource mobilisation and partnership development

Global Cluster Coordinator(s)

Recommendation 15. The Co-Lead agencies, through the SCLG and working with the SAG, to review and further develop clear ToR for the Global Cluster Coordinator(s).

These ToR should reflect cover accountability, responsibilities of the GCC, competencies required and support and resources that can be expected. They should be suitable for whatever structure is agreed moving forward. If it is decided to retain 2 global cluster coordinator posts, the ToR should include clear provision for working together. Draft elements of the ToR are presented below.

Accountability: The GCC is accountable to the SAG and, through the SCLG, to the co-lead agency that provides the contract of employment; this accountability to be exercised through an annual performance appraisal meeting between the GCC and representatives of the SAG and the SCLG.

Responsibilities: The GCC responsibilities include supporting the governance and leadership of the global cluster, developing an operational plan (with budget) for the delivery of the cluster strategy, managing the delivery of this plan, including ensuring the good functioning of the global cluster support team.

Competencies: To deliver on this requires a set of competencies, indicated in the table below.

Motivation	Global cluster coordination is the major part of their job description and formal performance appraisal
Attitude	A recognition that as global cluster coordinator, primary responsibility is for the effective functioning of the global cluster and that this will be best achieved by developing a strong partnership base and a cohesive global cluster support team, dedicated to the cluster.
Skills	Leadership, coordination, team-building, communication, consensus building, participatory decision-making, negotiation and conflict resolution
Knowledge	A sound understanding of the cluster system / IASC, of CCCM cluster operations and services, of good practice in leadership and management and of the mandate and key policies of the cluster lead agencies.
Support and Resources	Dedicated time, support from senior staff in the co-lead agencies, especially those in the SCLG, and from global cluster partners. A budget commensurate with the responsibilities.

Strategic Advisory Group (SAG) / Governance and Strategy Group (GSG)

Recommendation 16. Set up a Strategic Advisory Group (SAG), whose ToR are to be developed by an interim SAG.

A draft ToR is presented below.

Reflecting the role of the SAG, rename it as the Governance and Strategy Group, GSG.

In line with good practice in other areas, notably in partner clusters and in country clusters and at the request of global cluster partners, it is timely to develop a strategic advisory group (governance and strategy group) with the following draft Terms of Reference (for review as discussed below).

To ensure an appropriate range of perspectives are represented and to avoid undue burdens being placed on GSG members, the role of GSG members should be limited to their strategic and governance responsibilities. To facilitate the engagement by a broad partnership base, where needed provide resources (such as travel costs) to GSG members. It is recommended that membership of the GSG is not linked to the provision of resources to the global cluster or to the delivery of the global cluster operational responsibilities.

The GSG should keep its focus firmly on global cluster strategy and functioning, avoiding the temptation to get involved in detailed operational matters.

Draft ToR for the GSG:

Accountability: The GSG is accountable to the members of the global cluster, which includes the co-lead agencies.

Purpose: Supporting the good functioning of the global cluster, including the development and review of global cluster governance and strategy.

Main Responsibilities:

- Ensuring that the global cluster is accountable to those affected by disaster, and those working to serve them, and that they have meaningful representation in the global cluster
- With the facilitation of the GCC, developing the strategic plan for endorsement by the SCLG
- Agreeing the operational plan (and budget) of the GCC
- Monitoring the operational performance of the cluster in delivering the agreed strategy and providing guidance and support for the global cluster coordinator(s) and teams in doing this
- Ensuring that the global cluster is learning from its experience and applying that learning in its work
- Advocating for the cluster within their own agencies and with relevant colleague agencies and clusters
- Where needed, establishing and overseeing working groups on specific themes or priorities, including on strategic development and governance functioning

Composition: The GSG is to be composed of:

- Self-selected cluster partner agencies. If numbers grow too large for the effective functioning of GSG meetings (>12 members) then an appointment system may be instituted, involving election by members, with provision for 'stability without stagnation' (phased rotations).
- Others who can add strategic value (consider direct representatives of affected people and local level humanitarian agencies, academics, donors)

Functioning:

- Hold formal quarterly meetings
- The formal meetings to be supported by cluster secretariat, with good chairing, timely agendas, papers and minutes, all shared with cluster member agencies
- The good functioning of the GSG requires a good chair, whose ToR and competencies are to be set out in the governance manual

Senior Co-Leadership Group (SCLG)

Recommendation 17. Set up a Senior Co-Leadership Group (SCLG) to act on behalf of the co-lead agencies.

The rationale for setting up a SCLG is to maximise the benefits of co-leadership whilst minimising the disadvantages. The following draft ToR are proposed for review.

Draft ToR for the SCLG:

Accountability: The SCLG is primarily accountable to the co-lead agencies and, through and on behalf of them, to the ERC. It is also accountable to the broad partnership base (the global cluster), through the GSG.

Purpose: The purpose of the SCLG is to act on behalf of the co-lead agencies to deliver on the responsibilities for which they have agreed to be accountable, as set out below.

Responsibilities

As agreed with the ERC:

- Ensuring system-wide preparedness and technical capacity to respond to humanitarian emergencies
- Ensuring greater predictability and more effective inter-agency responses in their particular sectors or areas of activity.
- Establishing broad partnership bases to engage in 3 main areas, namely standards and policy-setting, building response capacity and operational support

Additional proposed responsibilities:

- Endorse the strategic plan as ratified by the GSG
- Monitor the good functioning of the global cluster and take action as required to support this, including approval of the global cluster governance manual, ensuring that the cluster is learning and applying the learning in its work
- On behalf of the cluster, advocate within the co-lead agencies and in other fora.

Composition: The senior co-leadership group is to include:

- A senior staff member from UNHCR and IOM, with competencies as suggested below
- The global cluster coordinator(s)

Functioning:

- Formal meetings at least twice per year, once close to the time of the annual retreat
- Meet as needed to address specific issues as they arise
- Minutes and papers shared with GSG and cluster partners
- Support provided by Global Cluster secretariat
- Formal meetings may usefully be complemented by occasional informal meetings and attendance at other cluster meetings, such as the GSG and the Annual Retreat.

Competencies proposed for members of the SCLG

Motivation	Cluster co-leadership is part of their job description and formal performance appraisal
Attitude	Recognition that the global cluster is a distinct entity that requires an attitude of cooperation and collaboration with other agencies and a willingness to take off the 'company hat'
Skills	Communication, negotiation, consensus building, participatory decision-making and conflict resolution
Knowledge	A sound understanding of the cluster system / IASC and of the CCCM cluster
Support and Resources	Dedicated time (in the order of 10 days per year), support from more senior staff (including as part of performance appraisal) and from the global cluster coordinators (reports and briefings).

Annual Global Retreat

Recommendation 18. Ensure that the Annual Global Retreat contributes meaningfully to the accountability of key actors in the global cluster.

It can do this by systematically receiving, reviewing and commenting on reports from the SCLG, the GSG and the GCC.

Build on the success of the current annual global retreat, and learn from its shortcomings.

Clarify the main objectives of the retreat, proposed as:

- Contributing to the exercise of accountability of the global cluster
- Contributing to the development of strategy and policy
- Sharing information and experience, including with colleague clusters
- Developing the 'esprit de corps' of all those involved in delivery of CCCM services globally
- Advocating with donors, supporters and colleague clusters

As with any meetings, ensure timeliness of documentation, agenda, papers and reports.

5.2.5 Governance and leadership processes

Recommendation 19. Include in the cluster governance manual an outline of the key processes that contribute to good leadership and governance, with an indication of how they are to be applied, including learning, monitoring & evaluation, engagement of members, decision-making, communication and conflict resolution.

The following is an outline of key processes for review and discussion as part of the development of the manual.

Learning, monitoring and evaluation

The focus of this is on learning what the global cluster needs to do to ensure it is delivering adequately on its responsibilities. This learning is a key strategic process. Mechanisms or approaches to support this learning may include:

- Periodic evaluations of the work of the global cluster
- Regularly monitoring of
 - the performance of the country clusters in order to provide the support needed
 - the performance of the global cluster in delivering its services
- Ensuring that key staff (GCC), the GSG and the SCLG conduct performance appraisals that support learning within the cluster

Engagement of members

Developing 'a broad partnership base' is a responsibility of the lead agencies. The effectiveness of such a base is linked to the degree of engagement by this base and their sense of ownership of the global cluster and its work. The structures and mechanisms proposed above are designed to support this engagement and should be reviewed regularly against this parameter.

Decision-making

The global cluster needs to ensure it takes good decisions in a timely manner. To do this it will be helpful to clarify the decision-making powers of the GSG, SCLG and the GCC, distinguishing between long-term strategic decisions (GSG and SCLG), major operational decisions (GCC) and tactical decisions (taken within the GCST).

- Delegation: Decision powers to be clearly delegated
- Subsidiarity: decisions to be taken at the lowest level possible
- Consensus: in general, major decisions are to be taken by consensus amongst the key stakeholders, the form of consensus to be set out in the governance manual.

Communication

The global cluster needs to communicate with its internal and external stakeholders, both formally and informally. Formal communication includes the systematic sharing of its strategic plan, governance manual, key reports (such as the annual retreat) and the minutes of key meetings.

Conflict resolution

The global cluster should define how it plans to resolve the conflicts that inevitable arise in any organisation and especially in one with 2 lead agencies, often operating under considerable operational pressure.

5.2.6 Resources

Financial resources

Recommendation 20. Develop a global cluster financial strategy and budget taking account of the value of a well-run global cluster, the cost of providing this and the sources of income to meet this cost.

The comments below are offered as a contribution to the development of this strategy.

Value and cost of totality of CCCM cluster services

The value of a well-run global cluster lies in how it contributes to the value of the services provided and enabled by the totality of the CCCM clusters operating around the world. Whilst this value cannot be accurately measured, it is useful to examine the cost, under two main headings

- The cost of services provided by the totality of the CCCM clusters operating around the world;
- The cost of the services provided by the global cluster, in absolute terms and as a percentage of the above.

Global cluster budget - Costs

Understand, set out and communicate the full costs of running the global cluster, including:

- Cluster governance costs, such as:
 - Staff time involved in the SLG, GSG and governance working groups
 - The provision of a secretariat
 - Key meetings, including travel, accommodation and external support
 - Planning, monitoring, evaluation, learning and oversight
- The full costs of the other services provided by the global cluster

Global cluster budget - Income

Review how the required income is to be sourced, including:

- Lead agency contributions, in the form of staff and related support
- Partner agency contributions, such as currently provided by/through NRC
- Donor support (such as the current support by ECHO)
- Other income, for example a small levy on cluster operations

Human resources

See the recommendations above concerning the Global Cluster Support team

5.3 How to get there

5.3.1 Use this report as a basis for moving forward

Recommendation 21. Review this report, taking on board comments from cluster members and provide a management response setting out in broad terms how the co-lead agencies intend to move forward.

5.3.2 Commit to, develop and implement a governance action plan

Recommendation 22. Commit to, develop and implement a governance action plan, to be developed by the GSG (using a working group if needed) with the support of the GCC.

Set a realistic timeframe for this. The plan itself should be developed in the first half of 2016, to be implemented over a 2-year time-frame.

In developing and implementing this plan, engage with other global clusters and share learning with them.

Recommendation 23. As part of the governance action plan, agree immediate actions to be implemented in 2016.

An indication of the priority actions is given below.

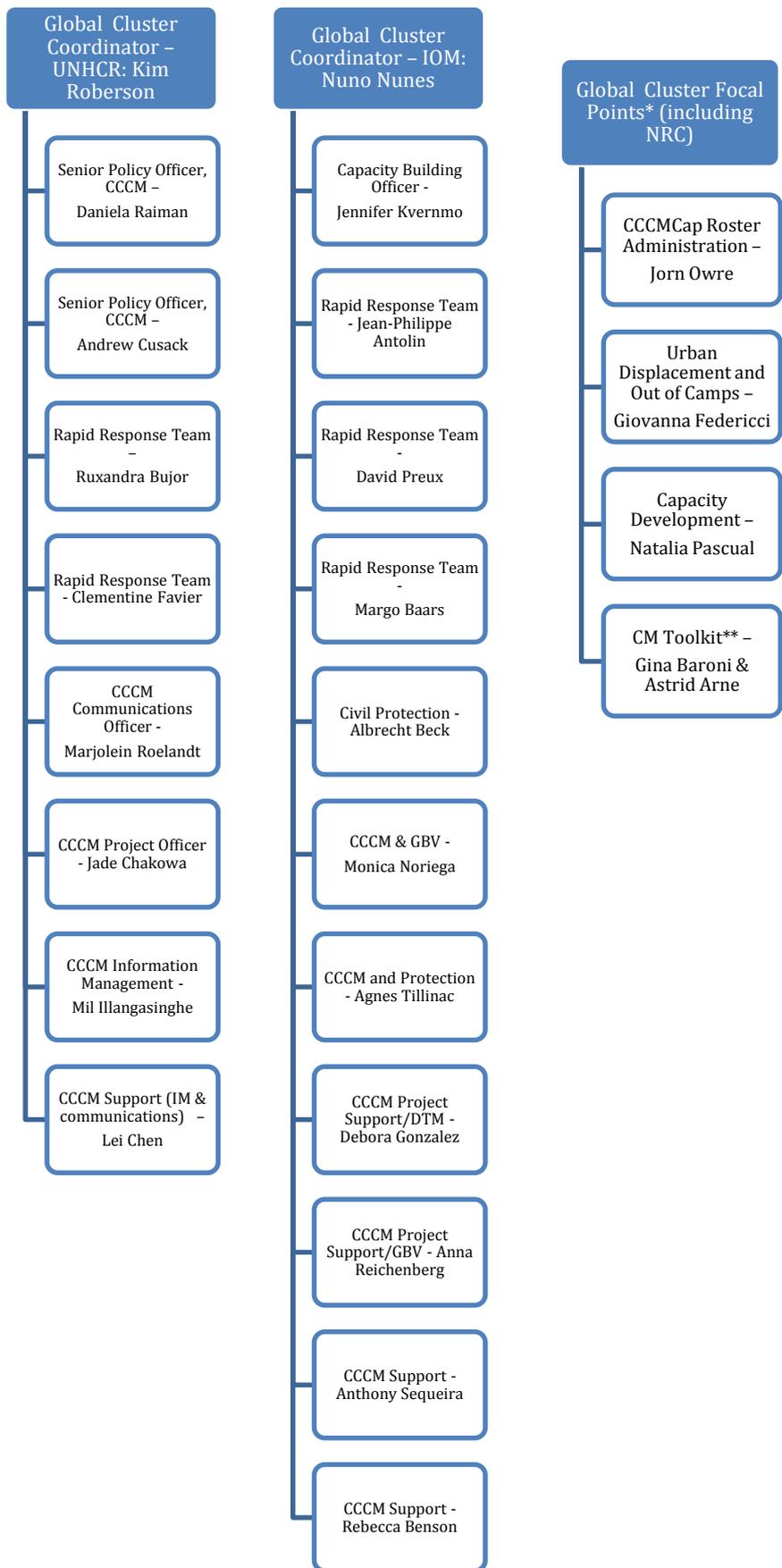
- Set up the SCLG to oversee the development of global cluster governance.
- Set up an interim global Governance and Strategy Group (GSG), whose first task is to agree the ToR for the permanent GSG.
- Engage partners further in global governance. Welcome the desire by partners to engage in the governance of the cluster at global level and facilitate this by convening a meeting on global cluster governance, including sharing, discussion and review of this report.
- Clarify the services provided by the cluster. As part of the development of the global cluster strategy, clarify the services provided by the CCCM clusters at country level. Once this is clarified ensure that the message is understood by all cluster staff and communicated consistently in all documents (strategic plans, reports etc) and media (especially the website).
- Rename the cluster. Once the services provided by the cluster have been clarified, take action to rename the cluster. This could include the commissioning a survey of cluster members and partners. In the consultant's opinion, the current strap-line, 'Supporting Displaced Communities', is a good candidate and the acronym SDC is preferable to CCCM. Noting the problems cause by the use of the 'camp' word, minimise the use of this word and ensure it is only used in 'lower order' text.

6 APPENDICES

6.1 CCCM global cluster structure

The diagrams and text in this section are those provided by the client to describe the current CCCM global structure.

No further information was provided.



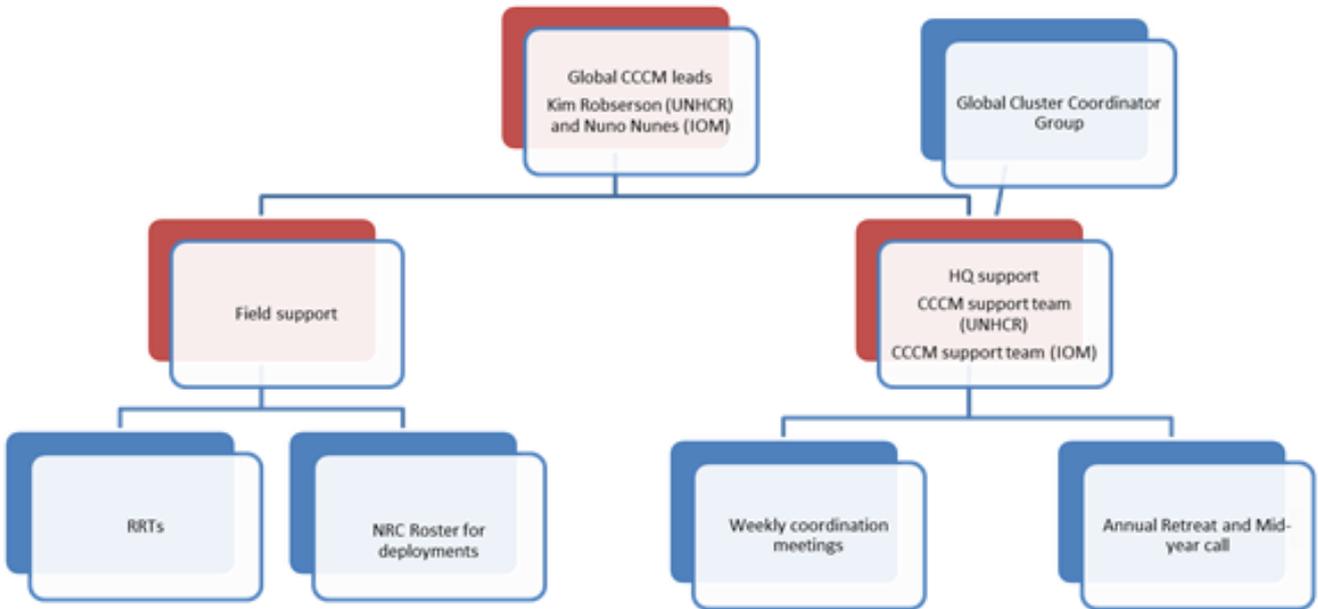
In addition, to show how some of these people / functions relate, and the kind of coordination fora that exist, see below.

Partners are engaged in the mid-year call, annual Retreat, and through ad-hoc meetings, including those related to thematic areas of work (out of camps, civil protection, ...).

The GCCG serves as a coordination forum at the level of the Global CCCM leads.

The CCCM support teams hold weekly meetings to coordinate day-to-day actions.

Then you have a network of RRTs and NRC secondees, who share knowledge on an ad-hoc basis among each other.



6.2 Accountability

6.2.1 Definition

The following definition of accountability is taken from the Core Humanitarian Standard⁶:

'the process of using power responsibly, taking account of, and being held accountable by, different stakeholders, and primarily those who are affected by the exercise of such power'

Accountability can be thought of using the following 6 questions.

Why	Why does it matter? A reflection of rights and duties, helping to ensure that the rights of affected people are respected and met and that public funding is used to good effect
Who	Who are the parties in the relationship? A humanitarian agency is accountable in particular to affected people, and to the public (via donors). At a practical level, the global cluster leads are accountable to the ERC, the donors and to the global cluster members.
What	What is the party accountable for? Good performance of role to agreed standards, accounting for funds.
When	When is the account to be given? In a time frame that is relevant to the action.
How	The process by which the parties are held to account (structured and formal) and the nature or format of the account given (written document, presentation, discussion, trial)
So what	The consequences that flow from the process. This includes organisational rewards (further funding) or penalties (loss of funding).

6.2.2 IASC Commitments on Accountability to Affected Populations⁷

In December 2011 the IASC Principals endorsed the following 5 commitments:

Leaders of humanitarian organisations⁸ will undertake to:

Leadership/Governance: Demonstrate their commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, and highlighted in reporting.

Transparency: Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organisation and its affected populations over information provision.

Feedback and complaints: Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.

Participation: Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practices to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.

Design, monitoring and evaluation: Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process.

The document sets out 8 points describing how these commitments, as binding decisions, are to be implemented, within their organisations.

⁶ <http://www.corehumanitarianstandard.org/>

⁷ Accountability to Affected Populations, IASC July 2012

⁸ Excepting the Red Cross and Red Crescent movement, who have their own commitments in place

6.3 Comparison with other clusters

The table below is presented to illustrate comparisons with other clusters in relation to specific recommendations made in this report.

Issue/Recommendation	Cluster	Notes
MoU with ERC	Shelter	IFRC has an MoU with OCHA relating to this
MoU between co-lead agencies	Shelter	IFRC and UNHCR have exchanged 'Letters of Understanding'
Senior Co-Leadership Group	Education Shelter	The senior leadership of the Education Cluster co-leads have worked together in a sustained manner in the development and oversight of the cluster, with positive reports.
Strategic Advisory Group (SAG)	Many	The SAG is in use by a number of clusters at Global and Country levels.
Global cluster support team	Shelter Education	The Shelter global cluster emphasised that it has one team, even though its members sit in two offices.
Governance Manual	Education Shelter WASH	These clusters have brief descriptions of how the global cluster functions, described variously as management arrangements (Education), management structure (Shelter) and working arrangements (WASH).
Strategic Plans	Education Shelter WASH Food Security	These clusters have published strategic plans, each with its own character and content areas.

6.4 Interviews conducted

Category	First Name	Surname	
Country CC			
Cluster Coordinators	Dher	Hayo	1
	Patrice	Ahouansou	1
	Sahdia	Khan	1
Global Cluster team			
UNHCR CC	Kimberly	Roberson	1
UNHCR	Andrew	Cusack	1
UNHCR	Jade	Chakowa	1
IOM CC	Daniela	Raiman	1
IOM CC	Nuno	Nunes	1
IOM	David	Preux	1
Global Cluster Leads			
UNHCR: HC	Steven	Corliss	1
IOM:DG	Mohammed	Abdiker	1
IOM	Vincent	Houwer	1
Global Partners			
NRC	Natalia	Pascual	1
NRC	Jorn	Owre	1
NRC	Benedicte	Giæver	1
NRC	Giovanna	Federici	1
ACTED	Ziggy	Garewal	1
ACTED	Seán	McGirk	1
DRC	Bryant	Castro	1
Global IASC			
WASH GCC	Dominique	Porteau	1
Shelter GCC	Shaun	Scales	1
	Miguel	Urquia	1
	Graham	Saunders	1
	Joseph	Ashmore	1
Protection GCC	Tamika	Payne	1
	Simon	Russell	1
Education GCC	Ellen	Van Kalmthout	1
OCHA	Loretta	Hieber-Girardet	1
Donors			
ECHO	Daniel	Clauss	1
USAID	Charles	Satchell	1
Others			
Tim Foster			1
Diana Cartier			1
Totals			32

6.5 Documentation log

Below is a table setting out the documents requested and provided during the course of this assessment.

Area of interest	Type of document / evidence	Provided by client	What would be good to have	Client comments	BL Notes 20151019	
Cluster Leadership	Strategy, Vision and Mission: development, documentation and communication	Strategic Framework		Presented at retreat	Draft shared at retreat, Endorsed, owned, accessible to partners (web)?	
	Culture and Principles (cf principles of partnership)			PoP: 'Goes without saying'	Formally endorsed, shared?	
	Co-leadership arrangements (MoU, working arrangements?)		ToR of GCCG			Not received, unsure of relevance to this
			MoU between HCR & IOM?,	None exists		None exists
			Calendar and Minutes of meetings	Meetings happen weekly, no minutes		Not received
	Involvement of cluster partners	Global Retreat 2013	Evaluation? Follow-up actions?			Only 1 report found on website, 2014 report not available
			Other global retreats (2014? Earlier)			Not received
			Mid Year Call (Participation, Minutes?)			Not received
	Engagement with other clusters / stakeholders / ERC			Calendar of meetings, attendance, minutes?	GCCG meeting minutes GCCG yearplan	Not received or found on web Not sure how these relate to the other clusters / ERC engagement,
	Performance	Description of key functions and indicators of success (for Global Cluster)	Mission (and strategic outcomes, draft)	A clear and agreed set (linked to strategy)		Some indicators in the strategy issued at the retreat
A list of all the tools, guidance and capacity building produced in recent years		CM toolkit, CCCM CC ToR	A consolidated list, preferably annotated	Referred to website	A good list of materials, looks impressive on the website!	
Performance assessment Country Level: Relevant documents from				mostly a country led exercise done "when needed" not much info exists on findings and next	Not received – understand that this tool is not being used by any cluster	

Area of interest	Type of document / evidence	Provided by client	What would be good to have	Client comments	BL Notes 20151019
	Cluster Coordination Performance Monitoring exercises; evaluations, after action reviews.			steps. For instance on IOM side (cccm in natural disasters) we only know of 2 contexts that engaged in it since 2014: Colombia and Nepal and we have not seen the reports yet.	
	Performance assessment Global cluster level: deliverables (Tools, Guidance and Capacity Building)		Evaluations (e.g. of Retreats, Trainers Workshop, Toolkit...?)	None exists for global level	Not received
Accountability And Governance	Governance structure (as in governance manual, standing orders or similar)	Diagram supplied by focal pts, ToR of CDWG	A manual or document that describes how it works	Newsletters x 6	Not received NLx6 Downloaded from web
	Schedule of key governance events (meetings, retreats etc.):		As described, say for past 2 years	Global retreats	Only 1 report found on website, 2014 report not available
	Conduct of key meetings, (preparations, decisions, minutes, follow-up)		Documents for meetings, (agenda, papers, actions..)		Not received
	Key processes and mechanisms: e.g. for decision-making and conflict resolution		If not in the manual, anything else that illustrates this		Not received
Learning	How does the cluster ensure it is learning (focusing on global level). Evidence of lessons learned, analysed, applied (doing things right, doing right things)		Any documentary evidence of collection of lessons and then of application of those lessons?	Case studies ICC matrix GCC mission to S Sudan & Iraq	Not received or found on web Matrix provided GCC mission report not received or found on web
Organisational Capacity	Mandate from Lead Agencies		Describing their role in the cluster and how they authorise key staff to implement that		Not received
	Human and financial resources (Organisational chart, planning budget and income budget)			No specific budget other than on going (bilateral or joint) projects On agency side: IOM DOE roster keeping track on IOMers trained in CCCM that can be	Full overall budget for Global Cluster Coordination function: not received Overall CCCM global spend: not received

Area of interest	Type of document / evidence	Provided by client	What would be good to have	Client comments	BL Notes 20151019
				deployed for support.	
	Team working arrangements – especially between both Lead Agencies	V brief notes in org chart	Agreed MoU or similar (part of Governance Manual?)		Not received
Individual roles	Job Descriptions for key staff (notably Global Cluster Coordinators and designated Lead Agency reps) with person specification (with key competencies)		As described		Not received
	Selection, appointment and performance management procedures		As described		Not received
	Contract status and terms		Short-term, permanent, part-time role...?		Not received
Others	Ongoing initiatives in related areas (e.g. Capacity Building, IOM CCCM internal evaluation)				
	IOM CCCM internal evaluation		liaising with Diana C	Inception report (internal)	Documentation shared
	Capacity Building Review		liaising with Tim F	CB review report to be available for the retreat (?)	Documentation shared
	Others to be discussed				

6.6 Timeline for the assessment

Project Timeline, CCCM Ext Assessment	September			October				November				December			
	Week commencing	14-Sep	21-Sep	28-Sep	05-Oct	12-Oct	19-Oct	26-Oct	02-Nov	09-Nov	16-Nov	23-Nov	30-Nov	07-Dec	14-Dec
Inception															
Mobilisation and prep for inception report															
Attend inception meeting GVA															
Inception Report, draft, share, review & agree															
Announcement to partners			X												
Desk Research															
Identify key docs & key informants															
Review and analyse documents															
Survey and Interviews															
Prepare, agree, issue, collate and analyse online survey															
Review meeting for survey & interview questions, telcon			X												
Conduct 20-24 interviews (TC/FF)															
Annual retreat															
Prepare for global retreat visit															
Attend retreat, discussions, meetings in GVA, in c travel															
Interim review meeting						X									
Reporting															
Aide Memoire							X								
Draft & Circulate 30p report														X	
Prepare presentation for review meeting															
Presentation at review meeting															
Present report, discuss and note feedback														X	
Finalisation and submission of report															
Finalise and submit report based on feedback received															X
Other (client liaison and completion)															X

6.7 Online Survey Results

This online survey was conducted as part of the research for the external assessment of the co-leadership structure of the CCCM cluster, during the period 12-25 October 2015. Invitations were issued to some 80 contacts with 39 respondents completing the survey (see profile below).

A detailed report of the online survey has been provided separately; this continues a wealth of useful comments that have informed this report and can provide guidance to the cluster as it develops its governance.

Respondents were given the opportunity to award ranking to 11 facets important to the governance of the global cluster. A summary of their responses is given below in Figure GCG11, using a weighted average (see box), where the lowest score would be -2 and the highest is +2.

With respect to the functioning of the global cluster, the survey indicated a number of positive points and some clear indications of areas for improvement.

On the positive side, respondents felt that the co-leadership aspect brought more benefits than disadvantages, with a weighted average score of 0.41. Respondents also valued the support provided to field operations, with a similar rating of 0.41. On learning, positive responses were received in relation to the capture of learning about its own performance (0.17) and how well it applies this learning to improve its performance (0.13).

Specific benefits related to the co-leadership structure of the CCCM Cluster were identified as increased capacity and resources, and the more holistic approach conferred by the expanded levels and knowledge and expertise associated with having two lead agencies.

The exercise of accountability within the global cluster received the strongest negative response, with a weighted average of -0.55. The question of how well the Global Cluster engages with its members in the achievement of strategy received a negative rating of -0.45, with a low rating of -0.35 for how the members engage with the global cluster.

The clarity of the strategy of the Global Cluster was also received significantly negative average responses (-0.27). Further negative average responses were given to the questions on the effectiveness of the leadership of the Global Cluster (-0.12), and how well the structure of the Global Cluster contributes to its effectiveness (0.07).

Overall, respondents were mildly dissatisfied with the Global Cluster's functioning, with a weighted average of -0.06 and felt that the current leadership structure is mildly less than conducive to its effectiveness (-0.07).

Many respondents raised the problem of competition and politics between the two lead agencies, with the effect of disrupting the effective functioning of the Cluster. Related to this, many were also critical of the 'double-hatting' of the Global Cluster Coordinators, and suggested that an independent Coordinator, or Coordinating Body, should be appointed.

Another problem that was raised frequently was the lack of interaction by the Cluster with non-lead agency partners, and between the global and country levels. Related to this, there was criticism of the failure to include non-lead agency partners in governance of the cluster. There were multiple suggestions that a SAG (Strategic Advisory Group) should be set up.

Communication channels, both between the lead agencies and across the cluster more generally, is an area in need of attention. Related to this, there is a lot of confusion about the strategy of the cluster, with some respondents unaware of the existence of any overarching strategy. Many respondents pointed to the need to develop robust communication channels and to improve the clarity of communication.

Lastly, two points were raised by a significant number of respondents in the final open-ended 'Disadvantages' section. These were that the current co-leadership structure produces confusion regarding ultimate leadership and direction, and that decision-making is slowed significantly.

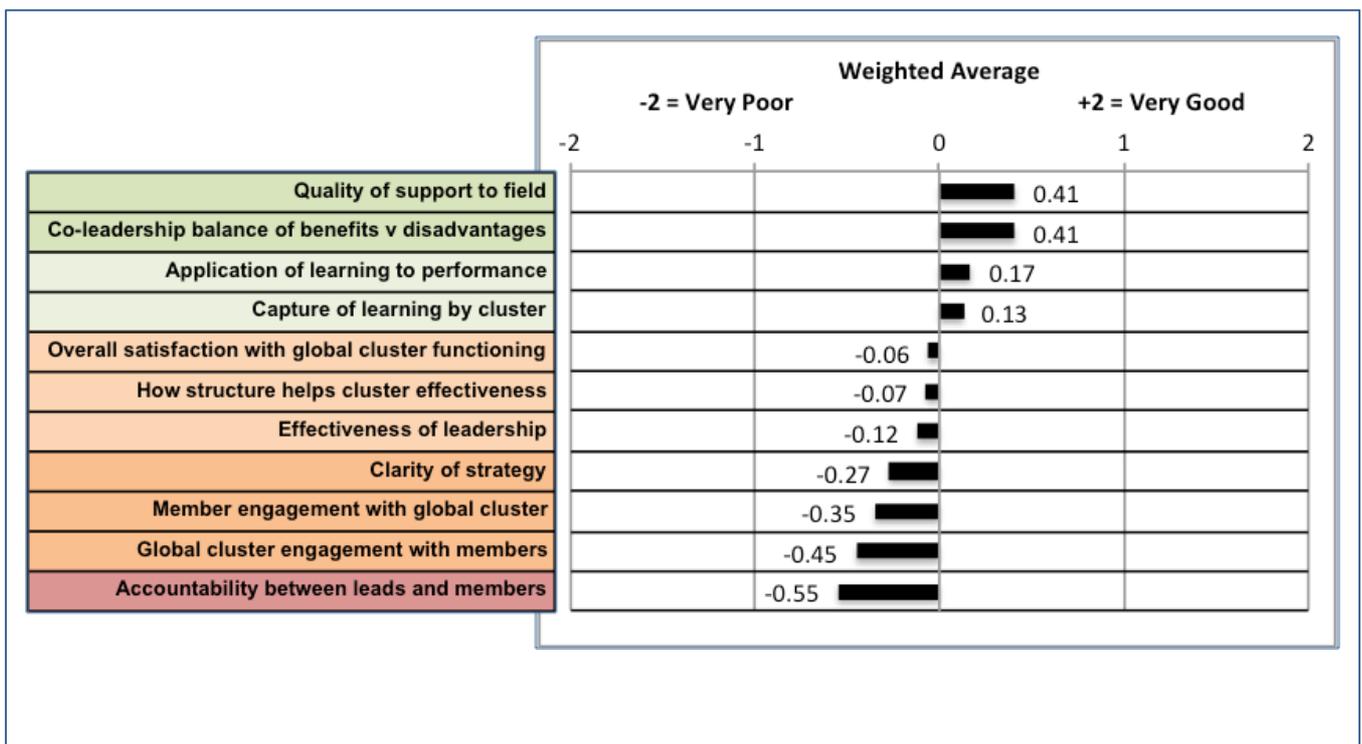
Weighted average

This survey includes a number of questions whereby respondents are asked to choose their response from a rating scale. In the analysis of the responses, 'weighted averages' are computed. Each response is weighted, with the most negative weighted at '-2' and the most positive response at '+2'. The weighted average is calculated by multiplying the weight of each response (W) by its response count (X, being the number of respondents giving this rating), adding these together and dividing by the total number of responses to the question as a whole.

Weighted Average =

$$\frac{X1 \times W1 + X2 \times W2 + X3 \times W3 + X4 \times W4 + X5 \times W5 \dots}{(X1 + X2 + X3 + X4 + X5 \dots)}$$

Figure GCG11: Summary of online survey responses



Profile of survey respondents

The 39 respondents completing the survey classified themselves as follows:

1. Country level CCCM international NGO (1)
2. Country level CCCM cluster member (2)
3. Global CCCM cluster support team member (IOM) (3)
4. Global CCCM cluster support team member (UNHCR) (4)
5. Global CCCM lead agency (not support team member) (4)
6. Global level cluster, not CCCM (7)
7. Other (specified by respondents) (18), being:
 - o Country level CCCM coordinators (5)
 - o Former Global CCCM team members (2)
 - o Global CCCM NGO members / partners (5)
 - o CCCM advisers (1)
 - o Donors (1)
 - o Country level CCCM NGOs (1)
 - o Others (3)