Global WASH Resource Mobilisation Project

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WATER, SANITATION, AND HYGIENE (WASH) RESOURCE MOBILISATION HANDBOOK

A practical guide
for all those involved in the
Water, Sanitation, and Hygiene Cluster

February 2009
FOR FIELD REVIEW

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The Global WASH Cluster, led by UNICEF was established as part of the international humanitarian reform programme, and provides an open, formal platform for all emergency WASH actors to work together. This Handbook has been produced under the Global WASH Cluster Advocacy project to support the effective mobilization of resources for a WASH Cluster response in emergency settings.

First trial edition 2009

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Guidelines for use of this Handbook

This is a first edition of the Resource Mobilisation Handbook, and the WASH Cluster welcomes your feedback. Please direct any comments and suggestions to the Global WASH Cluster (washcluster@unicef.org).

For ease of use, the printed Handbook is also available as a CD-ROM, **with links to embedded resource documents**. The CD-ROM launches automatically on most computers, and uses simple navigation from the Contents page to individual chapters and sections.

Check for regular information updates and new tools and resources on the Global WASH Cluster web site: www.humanitarianreform.org.

Purpose and intended users

The WASH Cluster Resource Mobilisation Handbook aims to **assist in mobilising those resources required for a WASH emergency response.**

The Handbook was developed primarily to support in-country WASH Cluster Coordinators (WCCs) where UNICEF is the in-country Cluster Lead Agency (CLA). However, it will also be useful where another agency acts as CLA.

Structure and contents

The Handbook is structured around the different types of resources to be mobilised to support a WASH emergency response.

The Handbook is split into seven chapters.

A summary table at the start of each chapter provides a breakdown of the sections and sub-sections within the chapter.

Each chapter includes important principles and action points for the WCC and the WASH Cluster, drawn from the WASH Cluster Coordinator Handbook, in addition to practical steps, and links to additional tools and guidance through additional linked resources.

Chapter 1 Focuses on mechanisms available to mobilise funds
Chapter 2 Focuses on sources and mechanisms to mobilise human resources
Chapter 3 Focuses on sources and mechanisms to mobilise materials and supplies
Chapter 4 Focuses on accessing specialised technical expertise
Chapter 5 Focuses on accessing GIS/mapping expertise
Chapter 6 Provides guidance with regard WASH and other Clusters
Chapter 7 Lists other tools, guidelines and resources available

Symbols and terminology

Different bullet points have been used for faster reference:

- ✓ Important principles or actions
- × Pitfalls and negative consequences
- ▪ Sub points
- 🕮 Reference documents, with live links on the Handbook CD
- ► Useful web-sites for further information and guidance

Acronyms and Abbreviations

Acronym	Full term
AIDS	Acquired Immunodeficiency Syndrome
CAP	Consolidated Appeals Process
CAT	Coordinated Assessment Tool
CAST	Cluster Advocacy and Support Team
CCC	Core Commitments to Children
CCCM	Camp Coordination and Camp Management
CERF	Central Emergency Response Fund
CHAP	Consolidated Humanitarian Action Plan
CLA	Cluster Lead Agency
DFID	Department for International Development
DRMT	Disaster Response Management Team
ECHO	European Commission Humanitarian Aid Office
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
FTS	Financial Tracking System
GIS	Geographical Information System
GWC	Global WASH Cluster
HAP	Humanitarian Action Plan
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HIC	Humanitarian Information Centre
HIV	Human Immunodeficiency Virus
HP	Hygiene Promotion
HR	Human Resources
IASC	Inter Agency Standing Committee
IM	Information Management
INGO	International Non Government Organisation
IRA	Initial Rapid Assessment Tool
LNGO	Local Non Government Organisation
NGO	Non Government Organisation
OCHA	Office for the Coordination of Humanitarian Affairs
POLR	Provider of Last Resort
RAT	Rapid Assessment Tool
RC	Resident Coordinator
REWA	Regional Emergency WASH Advisor
SAG	Strategic Advisory Group
TOR	Terms of Reference
TWG	Technical Working Group
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
WCC	WASH Cluster Coordinator

1 FUNDS & FUNDRAISING

The purpose of Chapter One is to:

- ✓ Outline the roles and responsibilities of the Cluster Coordinator in mobilising funding within the WASH Cluster;
- ✓ Outline the various funds and fundraising tools available to the WASH Cluster Lead agency at a country-level - including their associated procedures and tools - and how they interact.

The chapter is split into the following **four sections**:

1.1	Introduction	▪ Roles and Responsibilities of the WCC and CLA ▪ Guidance on coordinating funding requirements and the prioritisation of projects
1.2	Fundraising Mechanisms	▪ Collaborative Fundraising Mechanisms ▪ UNICEF Fundraising Mechanisms
1.3	Sources of Funds	▪ Humanitarian Funding Mechanisms ▪ UNICEF Cash-flow Mechanisms
1.4	WASH Donor Profiles	▪ Profiles of key WASH Donors with emergency funding windows. Relevant policies, procedures and templates are also included.
	Tools	▪ Key forms and tools related to the various fundraising mechanisms and sources of funds can be found in Section 7.4

1.1 Introduction

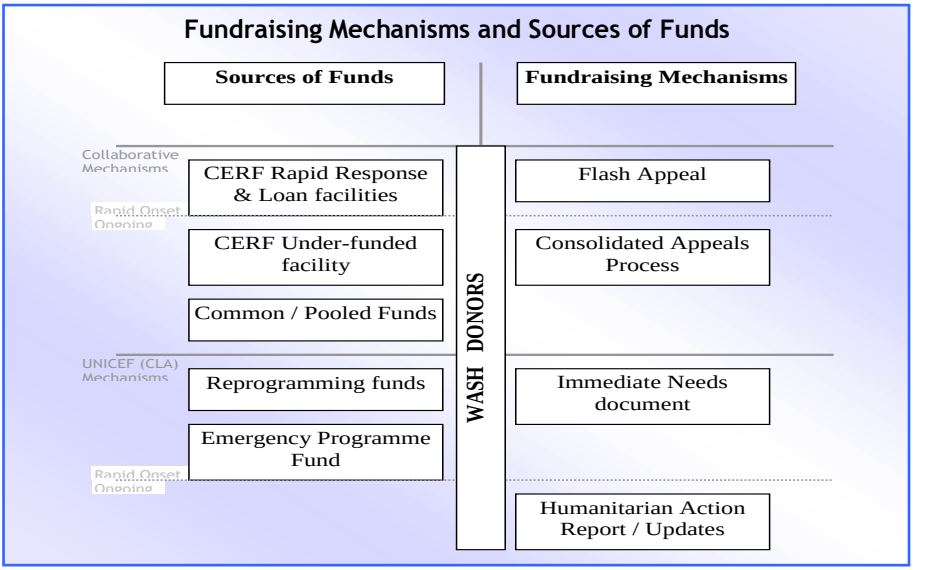
1. Fundraising Mechanisms and Sources of Funds

This section covers the various tools that are available to humanitarian actors in order to facilitate the rapid mobilisation of funds for an emergency response.

Fundraising tools, both collaborative for the WASH sector and internal to an individual agency, are a means to attract contributions and funds from donors.

Funding mechanisms are distinct from fundraising tools, in that the funds are available for direct release under certain pre-conditions. These include grant mechanisms and pooled fund mechanisms available to the Cluster for humanitarian response, and cash-flow mechanisms available to the Cluster or internal to an individual agency.

The section is structured as per the figure below. Fundraising and cash-flow mechanisms internal to UNICEF are also considered given that UNICEF will usually act as the WASH Cluster Lead Agency (CLA) at a country-level. In addition, profiles of some traditional WASH donors are provided, including their relevant policies and procedures.



2. Roles and Responsibilities

Cluster Lead Agency / WASH Cluster Coordinator

Roles and Responsibilities

WASH Cluster Lead Agency

- ✓ The WASH Cluster Lead Agency has primary responsibility for funding and supporting WASH Cluster Coordination activities.

The WASH Cluster Coordinator:

- ✓ Represents the interests of the WASH Cluster in discussions with the Humanitarian Coordinator and other stakeholders on prioritisation and resource mobilisation;
- ✓ Advocates for donor funding for WASH actors to carry out priority activities;
- ✓ Encourages WASH actors to mobilise resources for their activities through their usual channels;
- ✓ Promotes and supports the strengthening of WASH capacity amongst humanitarian partners, national/local authorities, and civil society;
- ✓ Identifies core WASH advocacy concerns, including resource requirements, and contributes key messages to broader advocacy initiatives of the HC, UNICEF and other actors.

The Cluster Lead Agency and WASH Cluster Coordinator (WCC) have a responsibility to raise funds for:

- ✓ WASH Cluster Coordination activities;
- ✓ The WASH sector as a whole.

WASH Cluster Coordination activities will require funding and support from the CLA and might include:

- Assessments and on-going monitoring and review
- Information Management (IM) support
- Translation and interpretation services
- Evaluation and lessons learnt
- Advocacy activities
- Training and capacity building for WASH cluster participants

In mobilising funds for **the WASH Sector as a whole**, the WCC will need to be able to provide a realistic overview of existing funds / commitments for WASH interventions,

and will also need to identify gaps and thus prioritise actions for an effective WASH response. Some considerations on approaching these activities – extracted from the WCC Handbook - are presented in the sections below.

3. Coordinating funding requirements

To get a realistic overview of the funding required to meet critical WASH Cluster needs, information will be needed about the funds available and/or committed for WASH Cluster agency projects.

Gathering this data may be difficult, particularly in the early response when information is hazy or agencies are reluctant to provide financial data. However, continuous effort is needed, through on-going partner mapping and review, to ensure that additional donor funding is prioritized to meet the most critical – and under-resourced - aspects of WASH.

Measures to encourage exchange of funding information include:

- ✓ The 'pull factor' of potential funding;
- ✓ Participation of WASH Cluster agencies in response planning and prioritization;
- ✓ Efforts to represent the interests of all WASH Cluster actors among the projects submitted for funding – though not at the expense of agreed strategic priorities;
- ✓ Potential for collaborative action bringing different actors together with shared resources;
- ✓ Negotiations / trades to secure the necessary information, e.g. support in securing materials, agreement to working in particular areas etc.;
- ✓ Highlighting Cluster agencies that fail to meet information requirements within the Cluster, and in extreme cases to government, and donors.

Potential funding as a 'pull factor' for cluster participation – experience from DRC

The "pull factor" of pooled funding was key to increasing Cluster participation in DRC.

Over three years, both the CAP and Humanitarian Action Plan (HAP) budgets reflected very significant growth in activities (and capacity) of actors within the WASH sector:

- ✓ WASH in CAP budget 2005 : 1 million USD (restart of UNICEF WASH activities)
- ✓ WASH in HAP funding 2006: 13 million USD (4 per cent of the total financing).
- ✓ WASH in HAP budget 2007: 99 million USD (15 per cent of the total budget).

This exponential growth clearly indicated the growing strength of the WASH Cluster. However there was some fear that participation may diminish for actors whose financing opportunities were limited, mainly local NGOs and national institutions.

Referral to the **Financial Tracking Service** (FTS) is useful in gathering an overview of funding commitments. FTS is an online database showing global humanitarian funding requirements and financial and in-kind contributions made (see www.reliefweb.int/fts). Regular donor liaison will also assist in providing guidance on:

- Donor priorities,
- funding availability and restrictions,
- funded amounts and implementing partners.

In addition to funding for WASH response, remember funding for WASH Cluster coordination activities, for example:

- Assessments and on-going monitoring and review
- Information Management support
- Translation and interpretation services
- Evaluations and lessons learnt
- Advocacy activities
- Training and capacity building for WASH Cluster partners, including local authorities

4. Prioritising projects for funding

5-10 days after an emergency onset, details of individual priority WASH responses may need to be submitted for a Flash Appeal (see below) as part of a systematic response planning process. Guidelines are available from the OCHA website[1].

Considerations for the prioritization process within the WASH Cluster

The selection of appropriate projects can be a very sensitive process, particularly when projects proposed by the WASH CLA are also under consideration. Some cluster partners will also be unfamiliar with the restrictions and criteria for funding.

To help **facilitate the prioritisation of WASH sector response plans in a Flash or other appeal:**

- ✓ Provide clear guidance and supporting information about pooled funding mechanisms and criteria (e.g. core competencies, capacity, prior presence in locality, targeting un-met needs, alignment with Cluster priorities, etc.).
- ✓ Emphasise that inclusion of interventions within a Flash Appeal is not a guarantee of funding.
- ✓ Establish a systematic process for the prioritisation of needs, identification of gaps, and subsequent selection of response plans (see section 5.2), and ensure broad representation of WASH Cluster actors in this process.
- ✓ Request donor cooperation in abiding by Cluster priorities and not 'cherry picking' projects with particular agencies.

A structured mechanism for prioritising needs, identifying gaps, and outlining the necessary activities for an effective WASH response, will also assist in keeping the WASH response plan objective and open. Where possible, include projects for as wide a range of Cluster actors as possible, including international and national NGOs and local organisations and institutions, keeping in mind the strategic results to be achieved by the sector.

The WCC will play a key role in:

- ✓ Coordinating the collection of information about on-going and proposed responses among Cluster actors;
- ✓ Providing necessary information about funding requirements and the prioritization process;
- ✓ Assisting local and national organisations in the preparation of documentation for funding appeals;
- ✓ Establishing a representative but timely mechanism for the assessment and selection of Cluster planned interventions;
- ✓ Collaborating with government partners and other Clusters to maximise complementarities in the response.

[1] http://ochaonline.un.org/humanitarianappeal/webpage.asp?MenuID=9198&Page=1481

As with response planning, it may be prudent to manage the prioritization of activities through a steering or advisory group, such as the SAG (spell out), but particular effort will be needed to ensure that the group is genuinely representative of the diverse interests within the Cluster. A group dominated by international agencies, or with inadequate government representation, may lead to serious mis-understanding and loss of confidence in the Cluster Approach.

5. Disbursing funds within the Cluster

Clusters may be tasked by the HC / RC not only to recommend funding allocations from pooled funding mechanisms but also to manage fund disbursement. In such an instance, consideration should be given to the establishment of a dedicated team within the Cluster for the administration, monitoring and oversight of contracts. Funding for such activities should be incorporated into coordination requirements for the Cluster.

Additional resources

📖 …
► …

1.2 Fundraising Tools

1. Collaborative Fundraising for Rapid Onset Emergencies

1.1 The Flash Appeal

The Flash Appeal is a tool for structuring a coordinated humanitarian response for the **first three to six months** of an emergency. It provides a concise overview (max 10 pages) of urgent life saving needs and early recovery (ER) projects that can be implemented within the Flash Appeal timeframe.

Multiple donors use the Appeal document as the basis for rapidly identifying the areas they want to support. They then approach agencies directly to agree individual terms for funding etc. or may decide to pool resources in a pooled funding mechanism if established at country level. Funds are usually not channelled through the WASH CLA but are counted as funding towards meeting the overall WASH cluster needs.

Who prepares a Flash Appeal?

The WCC coordinates the information required for the WASH section of the Appeal document. This will normally be based on an initial rapid appraisal of the emergency and early response planning. The drafting of the document (max 1 page) may be done by a WASH steering or advisory group established for that purpose.

The overall content for a Flash Appeal is coordinated and compiled by the Humanitarian Coordinator and UNOCHA, with input from the Humanitarian Country Team, usually within 5-10 days of an emergency onset. The WCC will be required to attend an inter-cluster meeting to input the requirements for WASH. IASC Guidelines for completion of a Flash Appeal are included under Resources below and can alos be located via the OCHA website[2].

The Flash Appeal has a scheduled general revision about a month after the appeal's initial publication to incorporate more complete information, improved and in-depth assessments, and more clearly defined early recovery projects. If considered necessary, the appeal may be developed into a Consolidated Appeal (CAP) if the emergency continues beyond six months. Flash Appeal interventions that address life-saving activities can also be easily adapted for submission to the emergency response window of the Central Emergency Response Fund (see below *Joint Funding Mechanisms for Rapid Onset Emergencies)*. It is recommended that applications to the CERF rapid response window be prepared in tandem with the Flash appeal in order not to delay the receipt of funds for life-saving activities.

Who is eligible to participate in a Flash Appeal?

UN agencies and NGOs are eligible to submit response plans under the WASH cluster, and government activities may be considered if incorporated under UN or NGO plans.

[2] http://ochaonline.un.org/humanitarianappeal/webpage.asp?MenuID=9198&Page=1481

The WASH CLA may also submit response plans, including funding needed to support WASH cluster coordination activities.

Revised Flash Appeal
A revised Flash Appeal is usually prepared about one month after the initial appeal. This takes the same format but will be based on more detailed assessment data and new or revised response plans.

What to do:
- ✓ Coordinate information and response plans for the WASH Cluster.
- ✓ Attend inter-Cluster meetings to input WASH requirements into the Appeal.
- ✓ Track WASH funding against the Appeal.

What to remember:
- ✓ Where a Consolidated Appeal has already been issued, there can be a Flash Appeal if there is a sudden on-set emergency or a new situation arising needing international assistance. If circumstances deteriorate in an on-going emergency in countries that already have a Consolidated Appeal, a 'revision' of the Consolidated Appeal may be prepared upon endorsement of the host government.
- ✓ Full details of the procedures and related documents can be found in the IASC Guidelines for Flash Appeals, available via the OCHA website: www.ochaonline.un.org.

2. Collaborative Fundraising for Ongoing Emergencies

2.1 The Consolidated Appeals Process

If an emergency continues beyond the timeframe of a Flash Appeal (3-6 months), the UN Emergency Relief Coordinator and the IASC, in consultation with the UN Humanitarian Coordinator and the IASC country team, may determine the emergency to be 'complex' or 'major', necessitating a Consolidated Appeal.

The Consolidated Appeals Process (CAP) is a forum for ensuring a strategic approach to humanitarian action through collaborative planning, coordination, funding, implementation and monitoring of activities by aid agencies. It is coordinated by UNOCHA and should involve close collaboration between government, line ministries, donors, NGOs, UN agencies, IOM and the Red Cross and Red Crescent Movement. In complex emergency situations, the CAP is prepared and launched on an annual basis, in agreement with the government.

Multiple donors use the appeal as a catalogue to select and fund particular "projects", or as a means of providing funds through a more flexible pooled funding mechanism. The project sheets contained in the CAP document are presented also as a way of specifying who is doing what, where, budget needs, etc.

NGOs should take part in the CAP to ensure visibility and also to make it easier to hold donors accountable for supporting all priority humanitarian actions. NGO response plans can be included in the appeal document separately, rather than under the umbrella of a UN agency (i.e. UNICEF), which can help to allay NGO concerns about autonomy. UNICEF is responsible only for the projects that UNICEF is appealing for, whether they are implemented directly, by government or NGO partners.

It is important to work within the Cluster to prioritize responses. This helps to publicise the full scale of humanitarian action and resource needs in the most strategic manner and to highlight funding shortfalls in the WASH sector and reinforce advocacy messages.

The Common Humanitarian Action Plan

A consolidated appeal (CAP) consists of a Common Humanitarian Action Plan (CHAP) and a set of response plans necessary to achieve this strategy. If the situation changes, or new needs emerge, the CAP can be revised at any time through the On-line Project System (OPS) managed by UNOCHA. The CHAP includes:

- Analysis of the context;
- Best, worse and most likely scenarios;
- Assessment of needs and statement of priorities;
- Detailed response plans, including who does what, where;
- The link to longer term objectives and goals;
- A framework for monitoring the strategy and revising it if needed.

From the UN OCHA 2008 CAP leaflet

In cases where the host-government is not supportive of a CAP process for political reasons, the Humanitarian Country Team may seek the endorsement of the

government and/or local authorities to develop a CHAP, "advocacy note", "prioritization statement/ humanitarian response plan", and local plans of action, etc. Such mechanisms, which aim to bring visibility to a humanitarian situation, are often more agreeable to governments who associate CAPs with failed states. Sample CHAPs, prioritisation statements and PoAs are included in the resources below.

Who prepares a CAP / CHAP?

The HC leads a one month (approx) consultation exercise with the Humanitarian Country Team (or CAP sub group) to consider detailed assessments, priorities and appropriate strategies for a longer term response. Selected response plans form the basis for the Common Humanitarian Action Plan (CHAP). Planned interventions are evaluated in accordance with the local context and in light of:

- **Organisational criteria**: the appealing organization has the technical expertise, in-country capacity, and mandate to implement the response.
- **Demographic criteria**: the response plan will address a priority need, as determined by the IASC Country Team.
- **Geographic criteria**: the response plan will be implemented in a region that is considered to be a priority.
- **Sectoral criteria**: the appealing organisation's response helps to achieve the response plan's objectives.
- **Temporal criteria**: the interventions can make a measurable impact in the timeframe of the appeal (usually one year).
- **Other context-specific criteria**: e.g. response plans that include a focus on HIV/AIDS; actions that help to build local capacity.

The preparation and implementation of the CAP / CHAP hinges on the effective leadership of the Humanitarian Coordinator and, among other issues, an efficient way of bringing together and organising the various UN and non-UN humanitarian agencies. On the latter issue, the Cluster Approach can assist the CAP / CHAP considerably. Each Cluster is responsible for and expected to:

- ✓ Identify key UN and non-UN partners in the WASH sector;
- ✓ Forge a common understanding of the needs and priorities and advocate accordingly;
- ✓ Ensure that relevant capacities exist to implement the response;
- ✓ Prepare a prioritised strategy and plan for common response; apply standards and monitor performance;
- ✓ Report; and
- ✓ Ensure links with other Clusters to support a more strategic approach to humanitarian action.

The WCC is responsible for coordinating and submitting information in the CAP format, about all on-going or planned response plans under the WASH cluster – whether funded by other donors or not. A CAP Project Submission template is provided in the Tools Section, and might be circulated during the mapping and on-going monitoring of WASH cluster agency activities.

Who is eligible to participate in the CAP / CHAP process?

UN agencies, IFRC and NGOs are eligible to submit response plans under the WASH cluster, and government activities may be considered if incorporated under a UN or NGO plan.

Individual donors will approach agencies directly to agree individual terms for funding of a response plan, etc. or may decide to pool their funds for a country response, e.g. in the case of 'pooled funds', UNDP and UNOCHA may have responsibility for disbursement and administration of funding to individual agencies. In this case, a Letter of Understanding will be required between the individual project holder and the administrative or managing agent (often UNDP).

What to do:

- ✓ Participate in the process with other agencies to assess the situation and develop a joint strategy to achieve strategic objective(s).
- ✓ Ensure coordination of information and response plans for the WASH Cluster.
- ✓ Attend IASC Country Team meetings to input WASH requirements into the Appeal.
- ✓ Ensure tracking of WASH funding against the Appeal.

What to remember:

- ✓ Full updated details of the procedures and related documents and templates can be found in the Technical Guidelines for the Consolidated Appeals, available via the OCHA website: www.ochaonline.un.org

3. Individual Agency Fundraising for Rapid Onset Emergencies

Individual Cluster members may have internal fundraising tools through which they can mobilise funds from their respective donors and supporters for humanitarian response. Given that UNICEF is likely to act as in-country CLA, fundraising tools internal to UNICEF are presented below.

The WCC has a responsibility to encourage individual Cluster members to engage in fundraising through their regular channels, in addition to the collaborative tools covered above.

3.1 UNICEF Immediate Needs document

Where an emergency requires funding in excess of the programme fund diversion limits (see *Internal Funding Mechanisms* below), a brief Immediate Needs document (IND) should be issued within 24-72 hours. The IND serves to jump-start the fundraising process by providing governments and National Committees with an analysis of the situation and the action UNICEF is taking to deal with it. The IND sets a new emergency funding target for UNICEF and funding amounts against the IND is tracked in the financial system.

Where UNICEF is the WASH CLA, the WCC incorporates cluster coordination activities and UNICEF WASH response plans into the IND.

The IND should be prepared quickly without waiting for the completion of a full UN assessment, but should strongly indicate the coordination of effort in the UN assessment and first response. If an inter-agency (Flash) appeal is expected, the IND should refer to this process and how UNICEF is feeding into it. The UNICEF Country Office should also consider not releasing an IND if the window of 72 hours has already passed, and an inter-agency Flash appeal is imminent - this may be perceived negatively and EMOPS – Humanitarian Field Support Section (HFSS) in New York should be consulted. Full details of the procedures and related documents can be found in the UNICEF Humanitarian Action Guidelines on Emergency Appeals available in the additional resources section, or via the UNICEF intranet.

What to do:

- ✓ Ensure that WASH elements are included in the situation analysis and that WASH Cluster Coordination and UNICEF WASH activities are included in the appeal.

What to remember:

- ✓ The IND is a ***UNICEF appeal*** which is distributed electronically among donor missions in New York, Geneva and National Committees, posted on UNICEF's website and ReliefWeb, and circulated at donor briefings and press briefings.

4. Individual Agency Fundraising for Ongoing Emergencies

4.1 UNICEF Humanitarian Action Report

The Humanitarian Action Report (HAR) is a UNICEF annual appeal that is used to highlight UNICEF's response to the needs of children in humanitarian emergencies in both CAP and non-CAP countries. All CAP countries are included in the HAR. The HAR has proven useful in advocating the needs of women and children in emergencies, and in fundraising amongst donor governments and national committees.

Where UNICEF is the WASH CLA, the WCC can advocate to ensure the highlighting of funding gaps for WASH Cluster Coordination activities, and for UNICEF-supported emergency WASH responses. The impact of under-funding or neglect by the international community should be exemplified.

The HAR is developed annually by EMOPS Geneva, in collaboration with country and regional offices and with DOC and PARMO. Guidelines and templates are available as additional resources to this handbook, and can also be obtained directly from EMOPS Geneva, or from the UNICEF Intranet.

4.2 UNICEF Humanitarian Action Updates

A Humanitarian Action Update (HAU) is primarily a follow-up document to a collaborative UN Appeal, or a Humanitarian Action Report as applicable. It gives the UNICEF Country Office an opportunity to report on achievements and to outline the remaining funding gap to donors, the likely impact of under-funding, and priority requirements. For CAP/ HAR countries, the HAU should ideally be prepared every three months to bring visibility to children and women affected by humanitarian issues in the country.

Guidelines and templates are available as additional resources to this handbook, and can also be obtained directly from EMOPS Geneva, or from the UNICEF Intranet.

What to do:

- ✓ Ensure the inclusion of WASH coordination activities and UNICEF WES projects, and their funding status, within the HAR and HAUs.

What to remember:

- ✓ The HAR and HAUs ***are UNICEF appeals*** which are distributed electronically among donor missions in New York, Geneva and National Committees, posted on UNICEF's website and ReliefWeb, and circulated at donor briefings and press briefings.

1.3 Funding Mechanisms

1. Joint Funding Mechanisms for Rapid Onset Emergencies

The Central Emergency Response Fund (CERF) is a pooled funding mechanism established and managed by UNOCHA to enable more timely and reliable humanitarian assistance. The CERF is intended to complement – not to substitute – existing humanitarian fundraising mechanisms. It comprises of a $450 million grant facility - for rapid response and for underfunded emergencies - and $50 million loan facility (i.e. loan to cover period prior to a forthcoming donor pledge).

In a rapid onset emergency, the CERF acts as a donor, providing seed funding to jump-start critical operations and fund life-saving programmes which may have been developed for a Flash Appeal, but are not yet covered by other donors. Two components of the CERF can be used in this regard: the loan facility; and the rapid response grants facility.

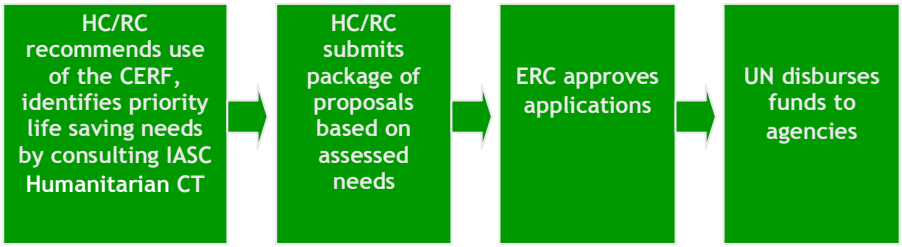
1.1 CERF Rapid Response Grant Facility

When should a CERF Rapid Response Grant be considered?
A CERF rapid response grant is intended to promote early action and response, and to enhance response to time-critical requirements. For example:

- Sudden onset emergencies or crisis (natural or complex)
- Rapid deteriorations of existing complex emergencies
- Response to slow onset natural disasters
- Time critical funds to prevent escalation, reduce impact and costs

From the CERF website

Who prioritises projects for CERF Rapid Response Grants?
The prioritisation of projects for a CERF rapid response grant is through a field-driven decision-making process, laid out in the diagram below:



As part of the IASC Humanitarian CT, the WCC is responsible for selecting suitable WASH response plans and submitting them to UNOCHA using the CERF format. This

may be done through a WASH steering or advisory group bearing in mind the following criteria:

- ✓ based on needs assessments;
- ✓ chosen from the core humanitarian programmes - also permissible are common humanitarian services that are necessary to enable life-saving activities;
- ✓ essential for the humanitarian response (prioritized by the HC/RC and Country Team);
- ✓ life-saving actions - that within a short time span remedy, mitigate or avert direct loss of life, physical harm or threats to a population or major portion thereof.

From the CERF website

It should be remembered that life-saving activities prioritized for the Flash Appeal can be easily submitted for a CERF grant, though this is possible only for agencies who are eligible to receive a CERF grant (see below). The submission must be:

- ✓ endorsed by the HC;
- ✓ put into the CERF format;
- ✓ submitted by a UN agency (i.e: an activity appealed for by the UN agency, to be implemented directly or by an implementing partner)

In some instance the ERC may decide to fund against a Flash Appeal or a similar document. In this instance, the HC/RC submits a summary table with list of prioritized projects and requested funding amounts for each.

Who is eligible for CERF Rapid Response Grants?
UN agencies, programmes and IOM are eligible to submit applications, and NGO or government activities may be considered if incorporated under a UN response plan. Funding is disbursed by UNOCHA through a Letter of Understanding, to the relevant UN agency ; CERF can not fund NGOs directly.

In the case of the WASH cluster, all submissions would be sent to UNOCHA by UNICEF as the CLA. Some cluster participants may be reluctant to enter an arrangement under which funding for their projects is channeled through UNICEF, particularly if this compromises the opportunity to source their own funding elsewhere.

Applying for a CERF Rapid Response Grant
All submissions for a CERF rapid response grant must use the CERF Application Template (unless the ERC decides to fund against a Flash Appeal) and the CERF Specific Budget Template.

These documents are available as additional resources to this handbook, and can also be found via the CERF[3] and OCHA[4] websites.

What to do:

[3] http://cerf.un.org
[4] http://ochaonline.un.org/Default.aspx?alias=ochaonline.un.org/cerf

- ✓ Ensure coordination of information and project submissions for the WASH Cluster.
- ✓ Attend IASC CT meetings to input WASH requirements into the Appeal.

What to remember

- ✓ CERF rapid response funds should be committed within three months of their release, at which point any remaining balance may be cancelled.

1.2 CERF Loan Facility

When should a CERF loan be considered?

If an official pledge or commitment from a donor has been received for humanitarian activities, but there is a delay between the commitment and the transfer of funds, a CERF loan should be requested. The loan mechanism is intended to bridge this critical time gap, allowing rapid access to funds in order to initiate humanitarian operations.

Who is eligible for a CERF loan?

The UN, its funds, programmes, and specialized agencies, as well as the International Organization for Migration (IOM), and the Office for the Coordination of Humanitarian Affairs (OCHA) are eligible to apply for loans.

Applying for a CERF loan

An official letter from UNICEF – as an operational UN agency - should be sent to the ERC, with a copy to the CERF secretariat (cerf@un.org), specifying why the loan is needed, and exactly how it will be used. All requests must specify that the loan is intended for humanitarian response, and must include the following documents:

- A completed CERF Loan Budget Template;
- A completed Letter of Understanding;
- A copy of the donor pledge/commitment letter received by the agency, as evidence that the agency will be able to repay the loan.

These documents are available as additional resources to this handbook, and can also be found via the CERF website: http://cerf.un.org.

What to do:

- ✓ Ensure coordination of information and project submissions for the WASH Cluster.
- ✓ Request the UNICEF CO to make the official submission.

What to remember

- ✓ All CERF loans must be repaid within one year from the date of disbursement.

2. Joint Funding Mechanisms for Ongoing Emergencies

2.1 CERF Under-funded Grants Facility

When should a CERF Under-funded Grant be considered?
The CERF under-funded grants facility is open only to those countries selected by the Emergency Relief Coordinator on a bi-annual basis (around February and July?). Countries are selected on the basis of funding data from the Financial Tracking Service, recommendations from UN agencies, inter-agency consultation, and discussions with UN Humanitarian / Resident Coordinators. Details of the decision making process can be found as additional resources to this handbook, and can also be found via the CERF website: http://cerf.un.org.

Who prioritises projects for CERF Under-funded Grants?
The ERC allocates funds for each country, against which the HC /RC puts forward life-saving projects for funding. With the IASC Humanitarian CT, the HC / RCs identify gaps in humanitarian response, determine priorities, and recommend humanitarian projects for funding. As part of the IASC Humanitarian CT, the WCC is responsible for selecting suitable WASH projects and submitting them to UNOCHA in the CERF format. This may be done through a WASH steering or advisory group bearing in mind the following criteria:

- based on needs assessments;
- chosen from the core humanitarian programmes - also permissible are common humanitarian services that are necessary to enable life-saving activities;
- essential for the humanitarian response (prioritized by the HC/RC and Country Team);
- life-saving actions - that within a short time span remedy, mitigate or avert direct loss of life, physical harm or threats to a population or major portion thereof.

From the CERF website

In countries where a Consolidated Appeals Process (CAP) has been instituted, HC / RCs may use the CAP as a catalogue of response plans from which to set priorities based on assessed needs/capacities, and to identify priority actions that are appropriate for CERF funding. In these instances, funding is provided against the CAP, and CAP project sheets can be submitted in place of the CERF Application Template.

Who is eligible for a CERF Under-funded Grant?
UN agencies, programmes and IOM are eligible to submit projects, and NGO or government activities may be considered if incorporated under a UN response plan. Funding is disbursed by UNOCHA through a Letter of Understanding, to the relevant UN agency.

In the case of the WASH cluster, all UNICEF-supported *life-saving* WASH response and coordination activities would be submitted by UNICEF. Some cluster participants may be reluctant to enter an arrangement under which funding for their projects is

channeled through UNICEF, particularly if this compromises the opportunity to source their own funding elsewhere.

Applying for a CERF Under-funded Grant
All submissions for a CERF under-funded grant must use the CERF Application Template (unless the ERC decides to fund against a CAP) and the CERF Specific Budget Template.

These documents are available as additional resources to this handbook, and can also be found via the CERF website: http://cerf.un.org.

What to do:
- ✓ Advocate in the decision-making process of which countries are eligible.
- ✓ Participate in IASC CT meetings to determine gaps and priority activities.
- ✓ Ensure coordination of information and project submissions for the WASH Cluster.

What to remember
- ✓ …

2.2 Pooled Funds

In certain countries, a number of donors and agencies have agreed to establish a pooled or common funding mechanism at the country level for humanitarian activities. Relevant countries in 2008 include:

- Sudan – Common Humanitarian Fund (CHF - http://workplan.unsudanig.org/chf)
- Southern Sudan – Emergency Response Fund (ERF – a window of the CHF)
- DRC – Democratic Republic of Congo Pooled Fund (DRCPF - www.rdc-humanitaire.net)

Pooled funding mechanisms are intended to provide early and predictable funding, and to support the timely allocation and disbursement of the funds to meet the most critical humanitarian needs. Typically, donors will pool their funds, while the HC / RC take responsibility for the management of the funds usually with support from OCHA and UNDP as managing and administrative agent.

Pooled funds are distinct from the CERF grant facilities in that non-UN agencies are generally eligible to apply directly for funding for activities in line with agreed priorities. Each pooled fund is country-specific, with different allocation mechanisms and requirements. Details can be found via the websites of each pooled fund.

3. Individual Agency Funding Mechanisms for Rapid Onset Emergencies

Individual Cluster members may have internal mechanisms available to provide funds for humanitarian response. Given that UNICEF is likely to act as in-country CLA, cash-flow mechanisms internal to UNICEF are presented below.

The WCC has a responsibility to encourage individual Cluster members to mobilise funding through their regular internal channels, in addition to the collaborative mechanisms covered above.

3.1 UNICEF Internal Cash-flow Mechanisms

In any given emergency, the UNICEF Country Office has several options for the mobilisation of funds for initial activities. Where UNICEF is the WASH CLA, the WCC can request funds via these mechanisms to support Cluster Coordination and UNICEF-supported WASH activities.

Diversion of Programme Funds
The UNICEF Representative is authorised to divert programme funds up to a given ceiling:

- $200,000 (supplies and funds) for countries with a Regular Resources (RR) allotment of $2 million or more;
- $150,000 (supplies and funds) for countries with an RR allotment of less than $2 million.

Reprogramming Programme Funds
Reprogramming country programme funds requires external approval:

- For Regular Resources, approval must be obtained from the Regional Director and from Government authorities;
- For Other Resources, approval must be obtained from the Donor via PARMO, or the local embassy representative depending on where the contribution was negotiated.

What to do:
✓ Where UNICEF is the CLA, advocate for the diversion of funds, if needed, for WASH Cluster Coordination and UNICEF WASH activities.

Emergency Programme Fund
Additional financial resources may be available from the Emergency Programme Fund (EPF), a reimbursable fund managed by EMOPS.

The Emergency Programme Fund can be used when no inter-agency or UNICEF Appeal has been launched, or when an Appeal has been launched but no donor contributions have been received. The funds can be used to finance UNICEF participation in inter-agency assessment missions when the Country Office is unable to pay for it, to support special inter-agency operations, or for emergency staff and administration. A strong fundraising outlook will be needed in the proposal when requesting the EPF. Since the EPF is a loan made to country offices, the funds are not counted/ reported as UNICEF income.

Complete details can be found in the 'Emergency Programme Fund (EPF): A Practical Guide for Field Offices' available in the additional resources section or via the UNICEF intranet.

What to do:

- ✓ Where UNICEF is the CLA, ensure that WASH Cluster Coordination and UNICEF WASH activities are included in the EPF proposal.

What to remember:

- ✓ Allocations from the Emergency Programme Fund must be replenished by the Country Office.
- ✓ EPF funds should be committed within three months of their release, at which point any remaining balance can be cancelled.

1.4 WASH Donor Profiles

1. Top 11 WASH Donors

The following table was developed based on an analysis of donor contributions to emergency WASH activities over the years 2000 – 2008. The information was gathered from OCHA's Financial Tracking System (FTS), and identified the top 11 international WASH donors.

Not all donors have emergency funding windows available to humanitarian actors. The profiles below represent those top 11 donors with emergency humanitarian funding windows, and provides information on their policies, priorities and procedures.

Key considerations when approaching Donors:
UNICEF PARMO interact with many of these same donors at an organisational level, and as such where UNICEF is the CLA its important to maintain contact when approaching donors for funds. For Who Does What in PARMO, please see the UNICEF Intranet[5].

- ✓ It is important to maintain close contacts with local donor embassies. When in funding discussions with local embassies, ensure PARMO is kept informed.
- ✓ If related to fundraising for UNICEF activities, any contacts with donor capitals should always go through PARMO or take place with PARMO's knowledge and guidance.

[5] http://www.intranet.unicef.org/PFO/PFOInfoV3.nsf/Site%20Pages/Page0101

European Commission

European Commission's Humanitarian Aid Office	
General Humanitarian / WASH Policies and Priorities	**Acute Crises:** ▪ Needs based approach based on rapid, multi-sectoral assessments ▪ Disaster mitigation should be incorporated into all aspects and phases of response, *following the immediate life-saving phase*. ▪ Results-based focus in assessing impact ▪ Cost-recovery / income-generation schemes should not be considered. **Chronic Crises:** • Needs-based approach based on comprehensive field-level assessments • Emphasis towards more protracted, chronic, 'forgotten' crises. • Disaster mitigation should be incorporated into all aspects and phases of response, following the immediate life-saving phase. • Results-based focus in assessing impact • Cost-recovery / income-generation schemes: users should cover a proportion of investment and recurrent costs where feasible
Emergency WASH specific Policies and Priorities	**Acute Emergencies:** • Timeliness of interventions is of primary importance. • ***Water Supply*** interventions should provide a 'reasonably clean and safe water supply, in sufficient quantities in the fastest possible time'. • ***Environmental Sanitation*** interventions should focus on: immediate and safe excreta disposal (temporary communal toilets / defecation fields and hand-washing facilities); protection of drinking water sources; solid waste disposal measures; vector control measures. • ***Hygiene Promotion*** should focus on a limited number of the most important interventions (e.g: hand-washing and excreta disposal) **Post-Acute Emergencies:** • In the post-acute phase, many aspects of WASH interventions and approaches require more permanent and durable interventions and the re-establishment of institutional, social and organizational structures to manage these systems, laying the groundwork for development-type interventions. • Hygiene improvement is an important element and should be achieved through long-term behaviour change. • Longer-term sustainability, cost-recovery, and disaster mitigation measures are important aspects of this phase. **Chronic Emergencies:** • Interventions should respond to acute needs, move towards self-sufficiency and development efforts. • ***Water Supply*** should provide 'safe water supply, in sufficient quantities to meet the needs of the affected populations'. Priority should be on appropriate, affordable technologies with lower operation and maintenance requirements. • ***Environmental Sanitation*** should include excreta disposal that is more durable, at a household level, and appropriate to local social and cultural

	preferences. Users should provide the bulk of construction costs. Interventions to remove and dispose of solid waste and control of disease vectors are also important. • ***Hygiene Promotion*** should focus on achieving 'long-term behaviour change in key areas known to reduce the risk of disease transmission' efforts should be made to increase long-term capacity for sustained behaviour change at all levels.
Windows and Timeframes	**Acute Emergencies:** ▪ For activities within the first three months; three month funding duration. **Post-Acute Emergency:** ▪ For activities within the first 9 months; 6 month funding duration **Chronic Emergency:** ▪ For activities after the first 6 months; up to 18 months funding duration.
Eligibility and Criteria	Humanitarian Assistance is available to IO and NGO agencies who have entered into a **Framework Partnership Agreement (FPA).** For WASH Cluster partners who have not entered into an FPA, submissions may be made under a partner that has (e.g: UNICEF).
Application Procedures and Forms	**Framework Partnership Agreement – Guidelines and Forms:** http://ec.europa.eu/echo/about/actors/fpa_en.htm
Focal Point Contacts	**Geographic Desk contacts for submissions:** http://ec.europa.eu/echo/about/what/who_en.htm **Regional WASH Support persons for advice:** • Christophe Paterson (Brussels): christophe.pateron@ec.europa.eu (+32 (0) 2 29 64691) • Benoit Collin (Nairobi): benoit.collin@ec.europa.eu (+254.20.280.24.04) • Francisco Gonzalez (Dakar): francisco.gonzalez@echoce.org (+221.869.80.08)

United States of America

USAID Office of Foreign Disaster Assistance (USAID/OFDA)	
General Humanitarian / WASH Policies and Priorities	• Needs-based approach based on individual agency or collaborative needs assessments. • Where a thorough NA is not possible (rapid onset emergencies), guidance should be sought from the USAID/OFDA program staff. • Interventions should be locally appropriate and build on existing local capacities. • Coordination with other agencies in the project design and implementation is strongly encouraged. • Staff Security issues and plans should be included. • Both output and impact indicators should be used in measuring the results of a program.
Emergency WASH specific Policies and Priorities	• The following WASH sub-sectors are funded: Water Supply; Hygiene Promotion; Sanitation (household level); Environmental Health (including solid waste and vector measures). • Emergency WASH interventions should be seen as the first step of assistance; every effort should be made to incorporate sustainability, links to transition, and incorporating institutional partners. • Intra- and inter-sector activities should be integrated in WASH interventions. • Cross-cutting issues should be integrated in WASH interventions, including at a minimum protection and gender issues. • Sphere Guidelines should be incorporated into WASH interventions
Windows and Timeframes	▪ Emergency programs are funded for up to 1 year at a time. ▪ Prevention, mitigation, planning and preparedness programs may be funded for multiple years in annual installments.
Eligibility and Criteria	Support from local OFDA mission critical to funding decision in Washington. For UNICEF, proposal must be submitted by PARMO in NYHQ.
Application Procedures and Forms	**Guidelines for Unsolicited Proposals and Reporting:** http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/updated_guidelines_unsolicited_proposals_reporting.pdf
Focal Point Contacts	**Geographic Desks Contacts:** http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional_teams_new.html **WASH Focal Point for advice:** http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/drm_new.html

United Kingdom

UK Department for International Development (DfID)	
General Humanitarian / WASH Policies and Priorities	**Emergency Response Funding:** • DfID funds Relief, Rehabilitation and Early Recovery activities in natural and man-made disasters. • DfID financial support is available to INGOs, NGOs, UN agencies, IOM, ICRC/IFRC, and IFIs. • Emergency Response Funding allocations are guided by assessment of needs and critical gaps. **Disaster Risk Reduction:** • Relief and Early Recovery activities incorporating an element of DRR can be submitted separately to the DRR section in London or to the DfID country office. • After a major natural disaster, up to 10% of DfID's response funding may be available for dedicated DRR activities.
Emergency WASH specific Policies and Priorities	No humanitarian WASH-specific guidance. WASH allocations are made on the basis of assessed needs and critical gaps.

Windows and Timeframes	**Rapid-Onset Emergency:**
	• Proposals can be accepted at any time. Relief Proposals are usually for up to 6 months.
	
	Protracted Emergencies:
	• Contact the DfID Office, as routine funding applications may be encouraged at a certain time.
	  ○ *Relief Proposals* are usually for up to 6 months.
	  ○ *Recovery Proposals* can be 12 months or more (depending on emergency)
	
	Disaster Risk Reduction:
	• DRR Proposals can be 12 months or more (this differs according to the emergency)

Eligibility and Criteria	**UN and Red Cross:** UN Agencies and the ICRC/IFRC can apply on the basis of standard Appeals documents. UN Agencies may be asked to provide supplementary documentation if needed. **NGOs:** NGO funding proposals are governed by specific guidelines: www.dfid.gov.uk/funding/humanitarian-funding.asp
Application Procedures and Forms	**Humanitarian Funding Guidelines for NGOs:** http://www.dfid.gov.uk/funding/11696-Humanitarian4th.pdf
Focal Point Contacts	**Emergency Response Funding - First Contacts:** Louisa Roberts Tel: +44 (0)207 023 0348

	Mob: +44 (0)7901 553 712 Email: L-Roberts@dfid.gov.uk Jack Jones Tel: +44 (0)207 023 0040 Email: J-Jones@dfid.gov.uk **Rapid-onset Emergency - General Contact:** Conflict, Humanitarian and Security Department (CHASE) Tel: +44 (0)20 7023 0040 Tel: +44 (0)7776 180012 (24 hour) **Chronic, protracted or small-scale emergencies - General Contact:** Country Office (if no Country Office exists, contact the Regional Office or the Regional Desk in London). Tel: +44 (0)20 7023 0000 (24 hour) Web: www.dfid.gov.uk **Disaster Risk Reduction - General Contact:** DRR section, London Tel: +44 (0)20 7023 0569

Netherlands

Humanitarian Aid Division, Human Rights and Peace-building Department, Ministry of Foreign Affairs

General Humanitarian / WASH Policies and Priorities	**Acute Crises:** • Support to emergency aid and initial rehabilitation activities in support of refugees / IDPs, with focus on most vulnerable. • Funding Channels - a large proportion is generally channeled through the UN and IFRC / ICRC Appeals (80%). NGOs meeting their criteria can also apply directly (20%) – where a CAP is in place, applicant NGOs must be actively engaged with the CHAP. **Chronic Crises:** • Priority countries / sectors are updated annually – a listing is available on request to the humanitarian aid division. • For non-priority chronic crises countries, short activities can also be funded. If a CAP is in place applicants must be involved in the CHAP to receive funding.
Emergency WASH specific Policies and Priorities	**Acute Crises:** Support to WASH emergency aid and initial rehabilitation activities in support of refugees / IDPs, with a focus on the most vulnerable. **Chronic Crises:** WASH is a recognized priority area.
Windows and Timeframes	**Acute Crises:** Up to 12 month duration. **Chronic Crises:** Up to 24 month duration.
Eligibility and Criteria	**Individual Grants:** • The majority of aid is channelled via international appeals (80%). • Individual grants are available to UN Agencies; IFRC / ICRC; Dutch NGOs; International NGOs. • NGOs must meet the Criteria outlined in the Policy Rules.
Application Procedures and Forms	**Policy Rules:** http://www.minbuza.nl/binaries/en-pdf/humanitarian-aid-policy-rules-2008-bz90898a.pdf **Handbook for Grant Applications:** http://www.minbuza.nl/binaries/en-pdf/handbook-for-humanitarian-aid-2008-bz90898b.pdf
Focal Point Contacts	**General Contact:** Ministerie van Buitenlandse Zaken Bezuidenhoutseweg 67 Postbus 20061 2500 EB Den Haag Tel.: +31 (0)70 348 6486 Fax: +31 (0)70 348 4848 Internet: www.minbuza.nl Email: DMH-HH@minbuza.nl

	WASH Focal Point: Nelly Blokker, Humanitarian Aid Division, Ministry of Foreign Affairs, The Hague, Netherlands Tel: +31 (0)70 3486119 Email: nc.blokker@minbuza.nl

Japan

Ministry of Foreign Affairs	
General Humanitarian / WASH Policies and Priorities	• Traditionally, humanitarian aid has been concentrated in Asia, and is expanding to Africa. Nevertheless, Japanese humanitarian aid is allocated on a needs-basis and there are no thematic or geographic priorities per se. • Requests for assistance can be made at any time via Japanese Embassies/Missions or the MOFA. Requests are prioritized by the embassy, and then by the MOFA based on International Appeals and information from the embassies. • UN Agencies can access large amounts of finance given the systems in place (millions). • INGOs and local NGOs can access between USD 50 – 100,000.
Emergency WASH specific Policies and Priorities	No specific WASH guidance – allocations are based on needs.
Windows and Timeframes	**Field-based window:** Requests can be made at any time to the in-country embassy/mission. **Japan-based window:** Requests can be made at any time by agencies with a Tokyo-based office to the MOFA **Large Requests** should be submitted in December/ January. The MOFA may then request emergency allocations from budget surpluses in February/ March.
Eligibility and Criteria	Open to all
Application Procedures and Forms	Updated requirements available from the Embassies
Focal Point Contacts	**Japanese Embassies worldwide:** http://www.mofa.go.jp/about/emb_cons/over/index.html

Germany

Humanitarian Aid Department, Federal Ministry for Economic Cooperation and Development (BMZ)	
General Humanitarian / WASH Policies and Priorities	• The BMZ funds immediate life-saving activities, and short-term transitional activities. • Humanitarian assistance is allocated according to needs, both geographically and amongst disadvantaged groups acutely affected by a disaster. • In instances of natural disasters, humanitarian aid supports disaster reduction measures (5-10% of funds). • Humanitarian aid follows a recognized requirement hierarchy: **Top Priority**: *Potable water* and food. **Medical care**: basic medical services. **Protection**: *Sanitation*, Shelter, household items; physical security; legal protection. • The majority of funding is channeled via UN agencies and Appeals, the ICRC/IFRC, and partner NGOs (mostly German). • Applications for individual projects by UN agencies, ICRC/IFRC, and humanitarian NGOs can be directed to the humanitarian unit of the BMZ.
Emergency WASH specific Policies and Priorities	• In a given humanitarian situation, humanitarian support to WASH is approached on a needs-basis. • If in-country response capacity is not available, the German Civil Protection Agency can be mobilized to provide water and sanitation services (this was done in Myanmar and China in 2008). • All emergency relief and DRR WASH activities should be directed to the BMZ. • For longer-term transitional and longer-term development activities, a separate window exists within the Ministry of Economic Cooperation and Development.
Windows and Timeframes	**Emergency Humanitarian Aid** must be spent by the end of the German budgetary year in which they are granted. **Disaster Risk Reduction** Assistance must be spent within 24 months.
Eligibility and Criteria	
Application Procedures and Forms	Made available directly to Agencies indicating their intention to apply for project funding.
Focal Point Contacts	**Task Force for Humanitarian Aid – general contact:** Arbeitsstab Humanitäre Hilfe Auswärtiges Amt Werderscher Markt 1 10117 Berlin Tel.: +49 (0)30 5000 2296 Fax: +49 (0)30 5000 52296 **Focal Point - for international organisations:** Peter Felten, Counselor Tel: +49 (0)30 5000 2232

	Fax: +49 (0)30 5000 52932 E-mail: peter.felten@diplo.de

Norway

Humanitarian Affairs Section, Ministry of Foreign Affairs	
General Humanitarian / WASH Policies and Priorities	• The majority of grants are awarded on the basis of international humanitarian Appeals (Flash / CAP), and internal plans and strategies for efforts in the geographic area in question. • Individual Project Grants are available to UN Agencies (i.e: via UNICEF), to Norwegian NGOs (i.e: via the NCA), or to NGOs with a Norwegian-based office (e.g: MSF, Care). • Sufficient reserves are maintained to respond to two new humanitarian crises annually, without this being at the expense of other priority countries/regions. • Proposals can be submitted to the MFA or the Norwegian Missions. • For UNICEF: MFA provide humanitarian thematic contributions to UNICEF for individual Appeals, these are not earmarked for specific sectors. Where UNICEF submits a proposal, the focus of resource mobilization should not be on a specific sector.
Emergency WASH specific Policies and Priorities	**Humanitarian Assistance Grants:** • WASH is considered a major strategic area in humanitarian relief activities. • Emphasis is placed on the integration of gender, protection and coordination measures in all phases of response. • Local capacity building and local handover should as far as possible be integral elements of the project. **Transitional Aid:** • Funding is also available for transitional humanitarian WASH activities. These should contribute to the longer-term organizational and economic sustainability of basic (WASH) service provision.
Windows and Timeframes	For most humanitarian grants: 12 months from the date of allocation. For UNICEF: the timeframe is according to the thematic humanitarian PBA (programme budget allotment).
Eligibility and Criteria	Individual Grants are available to UN Agencies; to Norwegian NGOs; or other NGOs with a Norwegian-based office.
Application Procedures and Forms	**Guidelines:** http://www.regjeringen.no/upload/UD/Vedlegg/Hum/14%2012%2007%20Guidelines%20for%20grant%20recipients%20-%20163%2070-71%20and%20164%2070.pdf
Focal Point Contacts	**General Contact:** Section for Humanitarian Affairs, Norwegian Ministry of Foreign Affairs, P.O. Box 8114 Dep., NO-0032 Oslo, Norway. Tel: + 47 22 24 36 00 Fax: + 47 22 24 95 80/+ 47 22 24 95 81 Email: post@mfa.no **Contacts for Submission:** General Section Email:

	hum_seksjonen@mfa.no Humanitarian Section Head: susan.eckey@mfa.no Humanitarian Executive Officer: paul.bjordal@mfa.no Tel: +47 2224 37 63 Mob: +47 920 87 324

Canada

International Humanitarian Assistance Directorate, Canadian International Development Agency (CIDA)	
General Humanitarian / WASH Policies and Priorities	• CIDA IHA funds short-term responsive programming for emergency relief. With the exception of disaster preparedness activities, multi-year projects are not normally funded. • Response to natural disasters can be made within hours through established IASC channels. • Complex and ongoing emergencies require a more extensive appraisal. • Grants are awarded based on: a convincing needs assessment; credible results-based proposal; organizational capacity; available funding; contributions of other donors and relief agencies. • Humanitarian programming must target one of the following areas of activity: Health; *Water and Sanitation*; Shelter and household items; Safety; IHL and IRL related protection; livelihood education; interagency coordination. • Cross-cutting themes include: Gender; Consultation and participation; capacity-building; coordination; environment; recognized international principles and standards; sustainability.
Emergency WASH specific Policies and Priorities	Water and Sanitation activities include: water supply; sanitation; disease and pest vector control; hygiene promotion and products; human and solid waste disposal; communal management capacities.
Windows and Timeframes	Up to 12 months
Eligibility and Criteria	Humanitarian Grants are available to UN Agencies, IOM, the Red Cross movement and Canadian NGOs. International NGOs are funded only in exceptional circumstances. UNICEF can apply on behalf of their implementing partners and would remain accountable for the funding received.
Application Procedures and Forms	**Guidelines for Emergency Humanitarian Assistance Project Proposals and Reports:** http://www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUImages/Funds/$file/guidelines02.pdf
Focal Point Contacts	International Humanitarian Assistance Directorate, Canadian International Development Agency, 200 Promenade du Portage, Gatineau, Quebec, K1A0G4 Tel: +1 819 997 5006 Toll free: +1 800 230 6349 Fax: +1 819 953 6088 Email: info@acdi-cida.gc.ca

Ireland

Emergency and Recovery Unit, Department of Foreign Affairs	
General Humanitarian / WASH Policies and Priorities	**Emergency Humanitarian Assistance Fund (EHAF):** • To save and protect lives in emergency situations through the provision of emergency relief • Available for all countries classified as 'developing countries' by the Development Assistance committee of the OECD (exceptions may be considered). • Funds activities in: water, sanitation and health services; distribution of emergency supplies; refugee protection and support. **Emergency Preparedness and Post-Emergency Recovery Fund (EPPR):** • To assist the most vulnerable people in post-emergency societies to reestablish their lives and livelihoods, and to support governments to address institutional and human resource issues to create conditions for peaceful, just and inclusive societies. • Available to all countries classified as 'developing countries' by the DAC of the OECD. However, in practice this is focused on a limited number of regions/countries. • Funds activities in: capacity building for emergency preparedness; rehabilitation of physical and institutional infrastructure following major emergencies; activities with a short timescale for implementation.
Emergency WASH specific Policies and Priorities	No specific WASH guidance – allocations are based on needs.
Windows and Timeframes	**EHAF:** Up to 6 months **EPPR:** Up to one year, with possibility for follow-on funding to a maximum of three years in total. Contributions will usually be between €75,000 and €250,000
Eligibility and Criteria	Operational UN Agencies, Red Cross Movement, NGO partners
Application Procedures and Forms	**Guidelines and Application form:** www.irishaid.gov.ie/Uploads/EHAF and EPPR Guidelines and application form.doc
Focal Point Contacts	**EHAF / EPPR,** Emergency and Recovery Unit, Irish Aid, Department of Foreign Affairs, Riverstone House, 23-27 Henry St., Limerick, Bishop's Sqaure, Redmond's Hill,

	Dublin 2, Ireland. General tel: +353 1 408 2000 ERU tel: +353 1 408 2527 / 2325 Fax: +353 1 408 2880 Email: eandr@dfa.ie (mark emails as either EHAF or EPPR)

Australia

	Australian Agency for International Development (AusAID)
General Humanitarian / WASH Policies and Priorities	**Periodic Funding Agreement for Disaster Risk Management** • Humanitarian action includes: immediate protection and material assistance; capacity building; vulnerability reduction; promotion of disaster and emergency prevention and preparedness measures. • Humanitarian action is primarily focused on the Asia-Pacific region, however, depending on the scale of the disaster, humanitarian assistance may also be provided in other parts of the world, particularly Africa. • Humanitarian assistance is channeled through six accredited Australian NGOs through a Periodic Funding Agreement (PFA) for Disaster Risk Management, to undertake disaster prevention, preparedness, mitigation, response and recovery activities. The NGOs have demonstrated capacity in emergency response in the Asia-Pacific region. **Direct Aid Program** • Each Australian Embassy/ High Commission has limited funds for local agencies/NGOs to undertake aid activities, including disaster relief. Application procedures vary by country circumstances, and should be sought directly from the local Embassy/ High Commission.
Emergency WASH specific Policies and Priorities	No specific WASH guidance – allocations are based on needs.
Windows and Timeframes	**PFA for DRM:** As per the PFA **Direct Aid Program:** Up to 12 months
Eligibility and Criteria	**PFA partners:** Austcare; Australian Red Cross; Caritas Australia; Care Australia; Oxfam Australia; World Vision Australia (until 30 December 2009). **Direct Aid Program:** Local NGOs/ Agencies.
Application Procedures and Forms	**NGO Funding Schemes:** http://www.ausaid.gov.au/ngos/ngopi.cfm (separate to the PFA process) When funding becomes available for Australian NGOs to implement a disaster response, a formal request is sent to PFA NGOs requesting a 2-page concept note detailing their proposed emergency response activities. These concept notes are competitively assessed by AusAID.
Focal Point Contacts	**PFA for DRM:** Street Address: 255 London Circuit Canberra ACT 2601 Australia

	Postal address: GPO Box 887 Canberra ACT 2601 Australia Telephone: +61 2 6206 4000 Fax: +61 2 6206 4880 ABN: 629 215 588 38 Email: infoausaid@ausaid.gov.au **Direct Aid Program:** Australian Embassies/High Commissions worldwide: http://www.dfat.gov.au/homs/index.html

Sweden

Swedish International Development Cooperation Agency (SIDA)	
General Humanitarian / WASH Policies and Priorities	• Humanitarian aid is provided based on needs for those affected by armed conflict, natural disasters and other disaster situations (epidemics, industrial or environmental accidents, or other events that affect coping and survival mechanisms). • Grants are provided to UN agencies, the ICRC/IFRC, Swedish and International NGOs with significant humanitarian experience. • In addition to immediate life-saving needs, funds are also allocated for preparedness and prevention measures (especially for natural disasters), and for initial reconstruction programs. • Emphasis is placed on transitional programs in areas likely to recover from a disaster situation.
Emergency WASH specific Policies and Priorities	No specific WASH guidance – allocations are based on needs.
Windows and Timeframes	No specific time-limits
Eligibility and Criteria	
Application Procedures and Forms	**General conditions for SIDA Grants:** http://www.sida.se/shared/jsp/download.jsp?f=SIDA2449en_General+ConditionsWEB.pdf&a=2699 **Guidelines for SIDA grants to humanitarian NGOs:** http://www.sida.se/shared/jsp/download.jsp?f=SIDA30432en_Guidelines+NGOs_web.pdf&a=25432 **Guidelines for General Grants for Minor Humanitarian Projects (Swedish NGOs only):** http://www.sida.se/shared/jsp/download.jsp?f=SIDA30797en_Guidelines+web.pdf&a=25797
Focal Point Contacts	**General Contact:** Swedish International Development Cooperation Agency (SIDA) Valhallavägen 199 105 25 Stockholm Sweden Tel: +46 8 698 50 00 Fax: +46 8 20 88 64 Email: sida@sida.se **Contacts for Submissions:** Staff list by Regional-/Country- Desks: http://www.sida.se/sida/jsp/sida.jsp?d=605&a=4329&language=en_US

Additional resources

- 🕮 IASC CAP sub-working group: Guidelines for Flash Appeals (2006)
- 🕮 UNOCHA: Guidelines for Consolidated Appeals 2009
- 🕮 UNOCHA: NGOs in CAPs (2007)

- 🕮 UNOCHA: CERF Application Template
- 🕮 UNOCHA : CERF Budget Template
- 🕮 UNOCHA : CERF Life-Saving Criteria (2007)
- 🕮 UNOCHA : CERF Technical Guidelines and Application Template for Under-Funded Grants (2007)

- 🕮 UNICEF: Humanitarian Action Guidelines on Emergency Appeals (2006)
- 🕮 UNICEF: Emergency Programme Fund Guidelines (2007)

- ► http://cerf.un.org – UN CERF website with information on the different windows, and application toolkits.
- ► www.humanitarianappeal.net – Website for the Flash Appeal and the CAP, with a range of 'best practice' examples and guidelines on the appeals process.
- ► http://reliefweb.int/fts - Webpage for the OCHA financial tracking service

2 HUMAN RESOURCES

The purpose of Chapter Two is to:

- ✓ Outline the relevant roles and responsibilities with regards HR mobilisation;
- ✓ Provide guidance on mobilising and enhancing in-country capacities;
- ✓ Provide an overview of the WASH CLA and global surge capacity systems in place to source human resources, and the relevant procedures of each system.

The chapter is split into the following **three sections**:

2.1	Introduction	▪ Potential HR needs ▪ Roles and Responsibilities of the WCC and CLA ▪ Strategies to increase HR capacity
2.2	Mobilising In-Country Capacity	▪ Options and considerations in mobilising and enhancing in-country HR capacities
2.3	Mobilising International Surge Capacity	▪ HR mobilisation within UNICEF ▪ HR mobilisation through global surge mechanisms

2.1 Introduction

1. Roles, Responsibilities and Strategies in mobilising human resources

A range of skills and human resource capacities will be needed to support WASH Cluster coordination. These can be drawn from existing Cluster participants, civil society, academic institutions, government bodies, affected communities, increasing the capacity of available personnel, or through mobilising international personnel. They included amongst others:

- Needs Assessment
- Information Management
- Logistics and Telecommunications
- Translation and interpretation
- Local knowledge of WASH situation pre-emergency
- Hygiene Promotion
- Monitoring and Evaluation

The CLA, in this case UNICEF at country level, is responsable for appointing a WCC and any other support staff required for effective functioning of their Cluster.

The WCC has overall responsibility for exploring and facilitating a range of strategies that may be used to increase human resource capacity, although implementation of specific activities may be undertaken by the UNICEF country office as the CLA, the IM focal point or a designated working group.
Such strategies include:

- Mapping and optimising use of available capacities (WCC / IM focal point);
- Promoting and supporting training for WASH cluster actors, based on the mapping (WCC / working group);
- Increasing the capacity of WASH cluster participants, particularly national and local actors (WCC / working group);
- Timely exchange of accurate information and useful resources to minimise wasted time and human resource capacity (IM focal point);
- Mobilising international surge capacity through the in country CLA, UNICEF's DHR Emergency Unit, and global WASH partners (WCC).

WASH Cluster agencies also have an equal responsibility to mobilise human resources through their own surge capacity mechanisms, local partners or staff in other countries.

2.2 Mobilising In-Country Capacity

1. Mapping and effective use of available capacities

Taking all cluster capacities into account

The human resource capacities of international WASH cluster participants may be more apparent and familiar, with national and local actors seen as something of an 'unknown'. I am not sure what this means? Can you please elaborate?

However it will pay dividends to develop a full understanding of the mandate, focus and staffing capacity of all WASH cluster participants, through a capacity mapping process. Ideally this would take place prior to an emergency as part of a preparedness process, and the GWC has developed tools in this regard for use pre-emergency in hotspot countries. Specific capacity mapping tools have also been developed for use at the onset of an emergency. These tools can be found via the GWC website.

This will also protect against:

- Underutilisation of existing cluster capacities,
- overlooking valuable skills and experience,
- de-motivation of cluster participants,
- inadequate involvement of national and local organisations,
- errors and insensitivities due to inadequate local knowledge.

Team approach in Bangladesh

The WASH Bangladesh cluster took a collective approach to data analysis contributing to team building and a strong collective identity. This was achieved through shared analysis of overall WASH cluster capacity (budgets) and matching capacities to assessed needs – without attribution to individual agencies.

Delegating responsibilities within the WASH cluster

The structure, coordination and decision making mechanisms of the WASH cluster, will impact on its human resource capacity.

Dividing responsibilities vertically i.e. between national, regional / hub levels and, horizontally i.e. through advisory, strategic, sub or technical working groups, will increase the cluster's ability to manage a large volume and range of activities in a short space of time.

Advocating for the necessary specialist staff (i.e. Information Manager) will also help ensure that the WCC focuses on guiding the overall direction, interaction and

progress of cluster coordination activities, rather than taking on too many direct responsibilities.

Adequate provision will need to be made in any funding appeals to cover WASH cluster human resource costs and the attendance and participation of other WASH actors.

2. Increasing the capacity of WASH cluster actors

Useful strategies for increasing the capacity of WASH cluster actors include:

- ✓ Mentoring between more and less experienced cluster agencies;
- ✓ Mixed working groups – rather than continuously selecting the most experienced people;
- ✓ Using widely participatory methods i.e. in contingency planning / on-going strategy development (may not be feasible in early stages);
- ✓ Promoting an equitable balance of international and local interests and experience in WASH steering and working groups to increase mutual capacity and understanding;
- ✓ Facilitating training and coaching in WASH cluster processes and best practice i.e. standard tools, hygiene promotion, early recovery etc;
- ✓ Providing translation in meetings and translating minutes, information and key tools as required;
- ✓ Supporting community driven initiatives and maximising the involvement of community based organisations at all stages of the project cycle (see section 4.3 for further details).

Drawing on local capacity in Somalia

Due to prevailing security conditions and the limited capacity of international agencies, UNICEF was not always able to reach the people most in need. Forging partnerships with local organisations and mobilising small scale funding for them, through the WASH CLA, were essential in improving coverage of the drought relief response.

There is a tendency to assume that the need for capacity building applies solely to national and local actors. This risks over-estimating the degree of appropriate skills and contextual understanding amongst international actors, and can undermine valuable local capacities.

In evaluating the impact of the tsunami response on national and local capacities, the Tsunami Evaluation Coalition found that "local ownership of the tsunami response was undermined and some local capacities were rendered more vulnerable by the response to the disaster …. **only 20% of claim-holders were satisfied with the way their skills had been used**".
Scheper B., Parakrama A. and Patel S. (2006), Impact of the tsunami on National and Local Capacities, London. TEC

In addition to NGOs, there may be a range of national and local actors that the WASH cluster can draw on to increase capacity i.e.

- **Government ministries and departments** – for technical expertise, logistics (transport, warehousing etc), analysis of country context, emergency

preparedness, communication / information exchange at national level, advocacy;

- **Civil society** – for community liaison and mobilisation, translation and interpretation, early recovery strategies, communication / information exchange at local level, situational assessment, analysis and monitoring, mapping local capacities, liaison with local and traditional authorities, advocacy;
- **Academic or research institutions and professional associations** – for technical expertise, research, data collection and data analysis, information management capacity, translation and interpretation, analysis of context.

Opportunities to engage national and local capacities can be enhanced through:

- ✓ Minimising information and reporting requirements to save time and accommodate weaker IT / reporting capacities of some agencies.
- ✓ Providing information and training in forms which are appropriate to the recipients i.e. consider use of language / terminologies, translation, understanding of signs and diagrams.
- ✓ Promoting good human resource management practice including a policy of working through local organisations – rather than poaching skilled staff (see www.peopleinaid.org for further information).

3. Training opportunities for WASH cluster actors

Addressing training and capacity building needs amongst WASH cluster actors can be undertaken by a dedicated sub- / working group. This will involve:

- Assessing the capacity building and training needs amongst cluster participants at national and field levels;
- Highlighting training opportunities being offered by other clusters / humanitarian actors in response to the emergency;
- Facilitating training opportunities in priority topics such as needs assessments and monitoring and evaluation, Sphere, hygiene promotion, emergency preparedness etc;
- Organising training through cluster agencies themselves or specialist external trainers / training organisations.

GWC training materials

A series of training modules have been developed within the various GWC projects. A complete list of the various GWC tools currently available can be found in Section 6.1.

GWC Training materials include:

- National WCC training materials;
- Hygiene Promotion training modules for Community Mobilisers, Hygiene Promoters, and HP Coordinators;
- Technical Training modules for most WASH components;
- Information Management training modules for Information Managers, and for WASH practitioners;
- Training module and self-learning CD on the Human Right to Water and Sanitation in Emergencies.

The GWC CAST maintains a list - and RedR can act as a pool - of qualified trainers for most of these materials. Further materials are likely to be developed as a part of other ongoing projects, and up to date information can be found on the GWC website.

Sphere training

Sphere training may be facilitated through trained Sphere trainers within participating WASH agencies, or other local Sphere focal points. A full list of trainers can be found at: http://www.sphereproject.org/index.php?option=com_peoplebook&search_category=93&Itemid=231

4. Timely exchange of information and resources

The availability of timely, accurate and consistent information about the WASH cluster and its activities will increase WASH cluster participant's capacity to respond, and assist in identifying where they have capacities to best support the cluster.

General briefing information on the expectations of the humanitarian reform process and cluster approach, and standard tools and approaches being used by the global WASH cluster can be provided from the Cluster Coordinator Handbook or reference to the humanitarian reform web-site http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=70

2.3 Mobilising International Surge Capacity

1. Mobilising resources through UNICEF and global surge mechanisms

All WASH cluster agencies have an equal responsibility to mobilise human resources through their own surge capacity mechanisms, local partners, or staff in other countries.

As CLA, UNICEF has a particular responsibility to appoint staff as required to support the effective functioning of the WASH cluster. As such, the first point of contact for mobilising any additional personnel to support the functioning of the cluster will be through the UNICEF Country Office.

A variety of mechanisms to mobilise human resources are available through UNICEF as CLA, and through other global surge mechanisms. Where another organisation acts as CLA, surge capacity can be drawn from its own mechanisms and the global surge mechanisms below, as per the organisation's internal procedures.

The following figure illustrates the three broad human resource options available to a UNICEF CO: Internal Redeployment; Standby Arrangements; External Recruitment.

Each of these areas is considered below.

2. Internal Redeployment

2.1 UNICEF Internal Redeployment

UNICEF staff may be internally redeployed on short-term missions (from a couple of weeks and up to 3 months) from other Country Offices to the CO facing the emergency. ToRs must be provided when requesting staff for internal redeployment, further guidance on administrative arrangements as well as generic ToR can be found on the HR in Emergencies intranet page[6].

Requests are made via the Regional HR Emergency Focal Point (if applicable). Alternatively they are made through the CO HR Officer, the CO Representative, the Regional HR Chief, or the Regional Emergency Advisor. The CO may also post requests directly on the Temporary Work Opportunities intranet website[7].

For medium and large scale emergencies, support can be requested through the DHR Emergency Unit (dhremergency@unicef.org).

What to do:

- ✓ Specify the type of expertise required, the duration of the need, and provide TORs. Request the CO to make the request through the appropriate channel.

What to remember:

- ✓ Staff members are only released for redeployment with the agreement of their Country Representative. Never contact staff directly, always submit requests for internal redeployment through the CO Representative.
- ✓ Staff members are generally available for deployment within 1 – 2 weeks of confirmation, pending deployment arrangements.

2.2 Regional Emergency WASH Advisors

Regional Emergency WASH Advisors (REWAs) were established to increase the capacity of UNICEF to prepare for and take on the role of WASH Cluster Lead. As such they engage in Cluster awareness raising, WASH capacity development, UNICEF and Inter-Agency WASH preparedness (in hotspot countries) across the region.

REWAs are also available to provide short-term emergency WASH support, either to UNICEF WASH programming, or to WASH Cluster Coordination, wherever necessary. The Regional Office should be able to deploy the REWA within 48 hours of a request from a Country Office.

What to do:

[6] Intranet link: http://www.intranet.unicef.org/dhr/dhrsite.nsf/Site%20Pages/Page0502
[7] Intranet Link: http://intranet.unicef.org/DHR/tftwork.nsf/

- ✓ Specify the type of support needed and request the CO to make a request for the support of the REWA.

3. Standby Arrangements

3.1 UNICEF Standby Partners

Standby arrangements with UNICEF partners allow for rapid deployment of non-UNICEF staff in an emergency. Standby partners maintain rosters of qualified and experienced professionals who are trained to support emergency humanitarian actions. A wide range of profiles are available including WASH, Logistics, Telecommunications, Emergency coordination, etc.

Consultants deployed via standby arrangements are financed by the standby partners, and as such they are usually at no costs to UNICEF. In acute situations, standby personnel can be deployed within 72 hours.

Overview of WASH Stand-by Partners

At the end of 2008, 14 organisations have entered into a Standby Agreement with UNICEF, of which 10 hold WASH capacity.

Standby Partner	Sectors Supported	Length of deployment	Special Conditions	WASH Comments
Norwegian Refugee Council	WASH, Telecoms, Logistics, Child Protection, Education, Nutrition	3 - 6 months		Significant UNICEF experience
Danish Refugee Council	WASH, Logistics, Emergency Coordination, Child Protection	3 months, extendable up to 6 months		Significant UNICEF experience
RedR Australia	WASH, Telecoms, Logistics, Emergency Coordination, Health, Protection	2 weeks - 6 months	Asia & Pacific, Africa, Middle East	WASH speciality
Norwegian Church Aid	WASH			Strengthening WASH capacity
Canadem	WASH, Logistics, Telecoms, Monitoring, Protection	Max. 3 months	Over 30% bilingual French/English	
Swedish Rescue Services Agency	WASH, Logistics, Telecoms, Construction	3 - 6 months, extendable up to 1 year		WASH speciality
Swiss Agency for Development and Cooperation, Humanitarian Aid Division	WASH, Child Protection	1 month, 3 - 6 months, or 1 year depending on the unit.		Particular strength in environemental engineering
DfID	WASH, Child Protection, Nutrition, Health	Max. 3 months	Where DfID already funds a UNICEF programme,	

			staff deployment may come out of allocated funds.	
Irish Aid	WASH			
Veolia	WASH	2 weeks – 1 month		Technical and specific WASH expertise, particularly related to urban areas and camps

Stand-by Partner Procedures
For details of the complete Terms and Conditions of deployment, including the selection, arrival, and end-of-assignment processes please refer to the 'Guidelines on external staff in emergencies: Standby Arrangements' in the additional resources section, and for more information and additional documentation related to deployment refer to the UNICEF intranet[8].

What to do:
- ✓ Specify the types of expertise required and prepare TORs (generic ToRs can be found on the UNICEF Intranet under 'HR in Emergencies').
- ✓ Request the CO to complete the formal request form and forward to the EMOPS focal point in Geneva.

What to remember:
- ✓ It can be extremely important to act quickly when considering use of standby personnel. In large emergencies, many organisations make use of the same general pool of standby personnel.

3.2 WASH Cluster Rapid Response Team
A Global WASH Cluster Rapid Response Team has been established as a 2008/2009 pilot in order to provide high calibre WASH personnel for rapid deployment (48 hours) in the first phase (4-8 weeks) of an emergency to support the overall WASH Sector Response.

The RRT is made up of three high calibre WASH professionals, hosted individually by ACF, CARE and Oxfam. The team covers the range of necessary core competencies to cover critical support needs for the WASH Cluster emergency response at country level within the first phase of the response, namely: (a) WASH Cluster Coordination; (b) Needs Assessment; (c) WASH Strategy Development/Appeals; (d) Technical Support, and; (e) Information Management.

[8] Intranet Link: http://www.intranet.unicef.org/geneva/sba.nsf

Deployment is at no cost to the CO, although cost recovery will be sought where possible to assist sustainability.

The decision to deploy the RRT – either as a team or individual RRT members – will be taken jointly by UNICEF as Global WASH Cluster Lead Agency and the host organisations based on assessment and request from the country lead agency. Deployment of RRT members will be managed through Standby Agreements under EMOPS.

What to do:

✓ Refer to the Standby Partner Procedures above

4. External Recruitment

Where UNICEF has taken on the in-country CLA role, external recruitments are likely to be UNICEF recruitments, and as such UNICEF staff rules and regulations are to be adhered to. For more information please contact the local UNICEF HR or OPS person, or DHR emergency unit in NY.

4.1 Global WASH Cluster Rosters

As a part of the Global WASH Cluster's projects, the following rosters are in development and will be made available via the Global WASH Cluster website:

- **WASH Cluster Coordinators** – a roster of competent and trained WASH CCs;
- **Hygiene Promotion Mentors** – a database of potential HP Mentors;
- **Information Managers** – a roster of trained WASH IM persons;
- **Environmental Specialists** – a roster of identified environmental experts;
- **Technical Specialists** – a roster of identified experts in a range of specified technical skills;
- **WASH Sector Trainers** – a roster of suitable trainers to deliver technical WASH training at different stages of an emergency.

What to do:

- ✓ Access the relevant roster to identify potential candidates: www.humanitarianreform.org/WASH
- ✓ Contact DHR Emergency Unit for support in sourcing suitable candidates for WCC assignments as well as other WASH Cluster support functions.
- ✓ Refer to the Global Web Roster procedures below to recruit identified candidates.

4.2 WASH Cluster Agencies

It may be possible to draw on the surge capacity of WASH Cluster participants at a country or global level.

Although experienced staff will inevitably be prioritized for their own programmes, this mechanism may assist in identifying people with particular specialized skills, to support the WASH cluster in an advisory capacity.

What to do:

- ✓ Specify the types of expertise required and prepare TORs (generic ToRs can be found on the UNICEF Intranet under 'HR in Emergencies').
- ✓ Request WASH cluster participants to review and contact potential candidates.
- ✓ If they are to be recruited by UNICEF as CLA, rather than the cluster participant agency, refer to the Global Web Roster procedures below to recruit identified candidates.

4.3 UNICEF Global Web Roster

The Global Web Roster (GWR) is a database of external candidates for review and selection when hiring on Special Services Agreements (SSA) or Temporary Assignments (TA) contracts for emergency surge capacity.

As the GWR is a decentralized database, GWR Focal Points have been trained in each RO and in HQ locations. The role of these Focal Points is to coordinate the screening and candidate transactions for those candidates based in their region. They are also responsible for maintaining candidates' profiles and availabilities. A candidate profile contains P11/CV/references and a technical assessment of the candidate.

Each specific recruitment will still require the usual range of interviewing, etc, of individuals against a specific job profile. The CO is responsible for this selection process. All staff members can view and search the GWR for candidates through the UNICEF intranet. If access to profiles of candidates is required for recruitment purposes, the CO should contact the Regional GWR Focal Points for access to the full profile

Global Web Roster Procedures

For details of the complete GWR procedures please refer to the Global Web Roster Guidelines and Procedures. An updated version of the Guidelines and all related documents are available on UNICEF intranet[9].

What to do:

- ✓ Specify the types of expertise required and prepare TORs (generic ToRs can be found on the UNICEF Intranet under 'HR in Emergencies').
- ✓ Request the Country Office to: review and contact potential candidates; prepare a funding source for additional needs, and; contact the emergency focal point in DHR to process the recruitment.

What to remember:

- ✓ It is preferable to recruit external candidates on TA rather than as consultants on SSA contracts. TA contracts provide staff with benefits and entitlements such as the UN laissez-passer, insurance, annual and sick leave and some relocation costs. UN Consultants are not entitled to these benefits but are covered by malicious acts insurance.

4.4 UNICEF Temporary Work Opportunities

This Intranet site can be used by the CO to post vacancies directly. The site is open to internal UNICEF staff members, and generally reaches external candidates through referrals.

What to do:

[9] Intranet Link: http://www.intranet.unicef.org/DHR/Roster.nsf

- ✓ Specify the types of expertise required and prepare TORs (generic ToRs can be found on the UNICEF Intranet under 'HR in Emergencies').
- ✓ Refer to the Global Web Roster procedures above to recruit identified candidates.

4.5 OCHA Register of Rosters of Disaster Management Expertise

Register of Rosters of Disaster Management Expertise (Register of Expertise) contains data on rosters of internationally available disaster management expertise, be it of a general nature or in a specialized field, which exist within the United Nations (UN) family, in inter- and non- governmental organizations and Governments.

For each roster, the Register of Expertise provides information on such key items as the roster name, host organization, 24-hour contact points, expertise covered, modalities of cooperation with the UN, other organizations and disaster affected countries, etc.

What to do:

- ✓ Access the Register and relevant roster to identify potential candidates: http://ocha.unog.ch/cr
- ✓ Refer to the Global Web Roster procedures above to recruit identified candidates.

Additional resources

- 🕮 Global Web Roster Guidelines and Procedures
- 🕮 Guidelines on external staff in emergencies: Standby Arrangements
- 🕮 WASH Cluster RRT – Promotional leaflet
- ► www.ecbproject.org – Emergency Capacity Building project website with a range of research and resources to build staff capacities.
- ► www.managing.peopleinaid-org and www.peopleinaid.org – People In Aid website with comprehensive resources to support effective human resource management in emergencies.
- ► www.humanitarianreform.org/WASH - Global WASH Cluster website, with a range of tools, training materials, and specialized rosters.

3 MATERIALS & SUPPLIES

The purpose of Chapter Three is to:

- ✓ Provide guidance on mobilising and managing materials and equipment within the Cluster
- ✓ Outline UNICEF procedures for local and offshore procurement,
- ✓ Outline an ongoing WASH Cluster project to provide emergency materials during the initial phases of an emergency,
- ✓ Provide an overview of externally available stocks, and the relevant procedures to follow in requesting them.

The chapter is split into the following **four sections**:

3.1	Mobilising and Managing Materials and Equipment	▪ Roles and Responsibilities of the WCC and CLA ▪ Strategies and considerations for mobilizing and managing emergency materials within the Cluster
3.2	UNICEF Local and Offshore Procurement	▪ UNICEF procedures for local, regional and offshore procurement ▪ UNICEF Procurement options for Cluster partners
3.3	WASH Cluster Emergency Materials	▪ WASH Cluster Emergency Materials Project
3.4	Donor In-Kind Assistance	▪ UNICEF procedures for accepting IKA ▪ OCHA administered stockpiles ▪ OCHA register of external stockpiles

3.1 Mobilising and Managing Materials and Equipment

Tips for material selection and mobilisation

- ✓ Procure local goods and materials where possible.
- ✓ Kits / cash voucher schemes allow people to make their own choices.
- ✓ In an immediate disaster aftermath, only mass distribute culturally acceptable items i.e. soap, water containers.
- ✓ A phased approach to distribution, based on comprehensive assessment data enables identification of more specific needs and sensitivities.

1. WASH cluster actions in mobilising materials

WASH cluster strategies for mobilising and stockpiling materials should link in with – and can strengthen government Emergency Preparedness plans. For example, in Uganda the WASH cluster emergency material and equipment stocks are integrated within District Response Plans.

While the WCC has ultimate responsibility for advocating for overall cluster resource requirements, individual cluster agencies have responsibility for mobilising the resources required for their own projects / activities.

WASH cluster support in mobilising and coordinating material requirements can provide very tangible benefits for cluster participants – useful in promoting and maintaining the participation of WASH agencies in the cluster.

A collaborative approach to mobilising materials and equipment will need to be guided by individual cluster participants, or a sub- / working group, with logistics expertise and sufficient knowledge of the local context. This can have a marked impact on the speed and efficiency of material logistics and procurement.

WASH cluster strategies to assist resource mobilisation include:

- ✓ Identifying core WASH material resource requirements in assessment and response planning;
- ✓ Identifying and monitoring in-country and stock-pile capacities;
- ✓ Encouraging WASH cluster agencies to collaborate in procurement and logistics where feasible, drawing on their usual supply channels;
- ✓ Engaging government support in clearance, transportation, warehousing etc;
- ✓ Engaging the support of the CLA and other clusters in procurement and logistics.

2. Identifying and selecting materials

Material selection and procurement should be considered as an integral part of the assessment and planning process, so that selection is made based on contextual suitability and taking into account supply constraints. In response planning, consideration of available materials and logistics / supply capacities is needed, in identifying the fastest and most effective response strategies.

WASH materials and equipment can be specified from a range of sources such as the UNICEF catalogue available at: www.supply.unicef.dk/Catalogue/.

Points to consider in selecting appropriate materials and equipment

- ✓ Observe **cultural norms and sensitivities** in selection- particularly in relation to sanitation and personal hygiene items. Involve hygiene promoters in the selection and distribution of hygiene items.
- ✓ Sensitise affected groups to the requirements for **disposal of hygiene items** as part of the supply and distribution process.
- ✓ Consider the **special needs** of people with disabilities, HIV and AIDS, the elderly, women, girls and children in specification of materials.
- ✓ Adapt family water kits as necessary to suit the **local context**.
- ✓ Provide instructions for the use of water kits, water purification materials, bleach, and chlorine in pictures and / or **local language**(s). See the WASH Visual Aids library CD at http://www.humanitarianreform.org/Default.aspx?tabid=343 for examples in different languages.
- ✓ Consider the **environmental impact** of different material options- including use of local materials such as timber, sand, locally burnt bricks, and the long term impact of temporary, emergency structures i.e. latrines, concrete structures.

- ✓ Avoid undermining local markets and livelihoods by procuring locally where possible. **Livelihood opportunities** may be created through the supply of some goods i.e. mosquito nets, blankets, water containers, pit latrine slabs etc

3. Non-Food Items and the Emergency Shelter Cluster

Hygiene kits in Pakistan

In 2006, an IFRC evaluation of the hygiene kit distribution found that:

- Only small and medium size underwear was distributed for women and often not used.
- Women were unfamiliar with disposable sanitary towels, and sanitary towels and underwear should have been packaged separately in the family hygiene kits.
- Men tended to have beards and so razor blades were unnecessary.
- Some people felt razor blades were being imposed to try to change local culture and religion.

Adapted from Global WASH Cluster HP project - WASH Related NFIs - A briefing paper

There is an area of overlap between the WASH and Emergency Shelter Clusters in the area of NFIs. At the global level, the clusters have developed a matrix of proposed roles and accountabilities in areas of overlap. The following extract provides guidance - as a basis for negotiation in the field - with regards the definition and specification of NFI packages:

Area of Potential Overlap	*Specific Activity*	*Responsibilities*	
		Emergency Shelter (ES)	*WASH Cluster*
For all phases: Preparedness, Rapid onset and Ongoing Emergencies			
General Household Support Package [1] (NFI's)	Define overall package	- Coordinated by ES - Define Shelter-related items	Define WASH related items
	Define Specifications	- Coordinated by ES - Specify Shelter-related items	Specify WASH related items
	Distribution, tracking and monitoring	- Coordinated by ES - Share information with other clusters	Encourage WASH agencies to coordinate with ES
Household (HH) WASH Support Package [2] (NFI's)	Define overall package, specifications, distribution, tracking and monitoring	Encourage ES agencies to coordinate with WASH	- Responsible - Share information with inter-cluster mechanism
	Coordinate and define the common approach to promotion and use	Encourage ES agencies to coordinate with WASH	- Responsible - Cooperate with ES on HH Support Package tracking - Share information with inter-cluster mechanism
Household Shelter Construction Support Package [3] (NFI's)	Define overall package, specifications, distribution, tracking and monitoring	- Responsible - Share information with inter-cluster mechanism	Encourage WASH agencies to coordinate with ES
	Coordinate and define the common approach	- Responsible - Cooperate with WASH on HH Support Package tracking - Share information with	Encourage WASH agencies to coordinate with ES

Area of Potential Overlap	*Specific Activity*	*Responsibilities*	
		Emergency Shelter (ES)	*WASH Cluster*
		inter-cluster mechanism	
Preparedness for all Support Package items (where stocks are held at country level)	Determine which items are either Shelter or "WASH related"	Appraise proposed items and reach agreement with WASH	Propose WASH related items and reach agreement with ES
	Emergency stockpiles: Agree quantities to stock, Stockpiling locations, fundraising, purchase, release criteria, replenishment, monitoring of stocks	For shelter-related NFIs	For WASH related NFIs

[1] **General Household Support Package:** is usually defined as items that can be distributed without additional instruction/promotion/education – e.g. cooking sets, blankets, jerry cans, buckets, etc.

Where the specification of General NFIs is linked to an item from the WASH package, these should be agreed with or distributed by WASH actors – e.g. water containers should be of a volume corresponding with the quantity of water treated by the disinfection chemical. This will also impact on the instructions given.

[2] **Household WASH Support Package:** is usually defined as items that need additional instruction/promotion/education – e.g. household water treatment, mosquito nets.

[3] **Household Shelter Construction Support Package:** is defined as items that need additional instruction/promotion/awareness raising – e.g. tool kits, construction materials

The complete Matrix of Roles and Accountabilities between the WASH and Emergency Shelter Cluster is available in Section 6.1, along with additional matrices developed between WASH and other clusters with whom WASH interacts in the field.

4. Mobilising materials

Initial WASH cluster strategies to address life-threatening needs should ideally draw on materials that are already available or can be readily procured or supplied in country. This may be through:

- UNICEF in-country stockpile items or supply agreements,
- Government partners,
- Cluster agencies (through mapping of material / equipment capacities),
- Private sector suppliers, contractors and local markets.

In the initial response – it is advisable to restrict import of supplies that are unavailable locally to emergency materials and equipment only. In the sections below, details are provided with regards:

- Material procurement within UNICEF (for UNICEF-supported projects and for Cluster agencies using UNICEF's Procurement Services);
- From the global WASH Cluster (for initial Cluster projects);
- From donors (via UNICEF as CLA).

Coordinating import requirements with the UNICEF Country Office and other clusters can save time, money and significant resources in the administration of multiple shipments.

5. Material storage, transport and distribution

Storage / warehousing

The warehousing and distribution of emergency materials is essentially the responsibility of the government but in many situations they may lack the capacity to coordinate requirements.

The government, other national and local WASH Cluster actors, other UN agencies such as WFP, and other clusters such as the Logistics Cluster, can play a key role in supporting the WASH Cluster in identifying appropriate storage locations and facilities.

WASH Cluster response strategies will need to take account of storage and stockpiling requirements, particularly when:

- The evolving emergency situation is unpredictable i.e. with uncertain population movements or potential insecurity or deterioration in conditions;
- A prolonged response is expected;
- There are likely to be fluctuations in supply and distribution;
- A high level of turnover of supplies anticipated;
- There is limited transport available or the transport infrastructure is poor / badly damaged.

There may be significant value in stockpiling some items to:

- ✓ Ensure continuity of supplies;
- ✓ Provide effective security;
- ✓ Allow more flexibility in transportation methods and schedules and;
- ✓ To stagger distributions.

Stockpiling chlorine supplies from UNICEF at strategic warehouses, enhanced timely delivery and use of chlorine by WASH cluster participants in the Somalia drought response.

Transport

Transport and distribution options may be affected by physical damage or poor infrastructure, security, weather conditions and, lack of drivers, fuel or spare parts.

Where transportation is likely to be a major constraint, try to minimise the weight, volume and overall quantities of materials requiring distribution.

Similarly in response planning, make adequate allowance for transportation times / delays taking into account clearance and security checks, road conditions, available transport /fuel /drivers etc.

6. Coordinating materials requirements

It may be appropriate to establish a separate (sub-)working group to coordinate material logistics (storage, transport and distribution) and procurement needs.

The following actors will also be key to effective coordination:

- ✓ **UN Joint Logistics Centre** -
  The UNJLC is a UN Common Service which is activated when intensified field-based inter-agency logistics information is required. http://www.unjlc.org/
- ✓ **The Logistics Cluster** -
  The Logistics Cluster facilitates an uninterrupted supply chain of life saving relief items to the affected population (inc. establishing staging areas, strategic cargo movements, mobile storage, ground transport capacity and infrastructure repair). http://www.logcluster.org/
- ✓ **Other clusters** -
  Particularly those involved in the procurement of WASH NFIs or similar materials i.e. CCCM (NFIs), Health (mosquito nets), Shelter (tools, plastic sheeting etc)
- ✓ **UNICEF Logistics staff** -
  Involved in procuring materials for UNICEF as CLA and other WASH cluster participants if contracted as implementing partners.
- ✓ **Relevant government departments** -
  i.e. for warehousing and distribution and customs and excise, ports and airport authorities etc.

Additional resources

- 🕮 UNICEF (2005), Emergency Field Handbook - *pages 357-388 provide comprehensive guidance on the materials supply and logistics.*
- 🕮 UNJLC (2006) Logistics Operations Guide - *provides information about services offered by the UNJLC.*

📖 Global WASH Hygiene Promotion project (2007), WASH related non-food items – *a briefing paper providing details of standard material requirements for hygiene promotion interventions.*
📖 UNHCR (2004) Catalogue of Emergency Response Resources

- http://www.supply.unicef.dk/catalogue
  Web-based version of the UNICEF supplies catalogue
- http://www.unicef.org/supply/index_about.html
  Information about standard UNICEF stockpile items, water kits etc
- http://www.icrc.org/emergency-items/
  Web-based version of the IFRC supplies catalogue
- http://www.unjlc.org/
  The UNJLC web-site
- http://www.logcluster.org/
  The Logistics cluster web-site

3.2 UNICEF Local and Offshore Procurement

1. UNICEF Procurement

UNICEF Procurement options are typically for UNICEF activities, or for other organizations implementing a UNICEF-supported project. However, in certain cases UNICEF procurement services can be made available to other non-profit organisations.

The following sections outline the mechanisms available to a UNICEF Country Office, and also outline the procedures for an outside agency to make use of UNICEF's procurement services.

2. Local and Regional Procurement

Every UNICEF Country Office is able to procure from local or regional markets for their own programmes - or on behalf of other COs in the Region. Local or Regional procurement is done by the Country Office – with no ceiling limitation – and does not usually involve Supply Division. Exceptions include drilling rigs and associated equipment, groundwater surveying equipment, and other high-tech or medical goods.

What to do:
- ✓ Specify the emergency WASH materials required.
- ✓ Identify a funding source.
- ✓ Request the Country Office to initiate procurement.

What to remember:
- ✓ This option is available **for UNICEF supported projects only**, unless an MoU for Procurement Services has been signed with another agency (see below).

3. Offshore Procurement

Off-shore procurement refers to ordering and importing supplies outside of local or regional markets. Two options are available for offshore procurement. Where an agreement has been made between Supply Division and a private company for the supply of certain materials, a Country Office will be advised to make a Direct Order to the private company. All other offshore procurement is managed through the Supply Division, Copenhagen.

Certain standard items are warehoused in Copenhagen and are available to be dispatched within 48 hours, and arrival in-country within 72 hours. However, for all

non-standard items and non-warehoused items, offshore procurement should only be considered when products of suitable quality and sufficient quantity are not available on the local market, as the offshore procurement of non-standard items and its transportation to the country in question may result in delays.

For WASH items, a list of standard WASH emergency materials and an accompanying handbook can be found at: www.supply.unicef.dk/Catalogue/

Offshore-procurement during an emergency:
During an emergency, any order made through Supply Division can be classified as a 'Rapid Response Emergency' order, or as an 'Emergencies-Other' order.

Rapid Response Emergency orders will be given immediate priority and will be air-freighted to the country. Rapid Response Emergency orders are possible during the initial stages of an emergency and also for new humanitarian challenges during an ongoing emergency.

'Emergencies-Other' orders will be given priority over regular programmes, however, these may be shipped by sea-freight.

For any offshore procurement orders via Copenhagen during a rapid onset emergency, materials should be broken up according to these two categories, with immediate life-saving materials ordered through the first category, and other materials ordered through the second category.

What to do:
- ✓ Specify the emergency WASH materials required.
- ✓ Separate materials according to the 'Rapid Response Emergency' or 'Emergencies-Other' categories.
- ✓ Identify a funding source.
- ✓ Request the Country Office to initiate procurement.

What to remember:
- ✓ This option is available **for UNICEF supported projects only**, unless an MoU for Procurement Services has been signed with another agency (see below).
- ✓ For urgently required supplies, it is important to establish direct dialogue – by phone if necessary – with the Supply Division emergency coordinator to discuss item specifications and delivery possibilities.

4. Supplying implementing partner NGOs

UNICEF can act as a supplier for partner NGOs implementing UNICEF supported projects and programmes.

Where a PCA has been signed with the partner NGO, UNICEF can budget to provide materials directly to the partner NGO, or can provide funds to the NGO to buy materials directly.

Such arrangements are established through a PCA with the implementing partner. For the provision of materials directly to the NGO, the Country Office might engage in local or regional procurement, or, for offshore materials through a request from the Country Office to Supply Division, detailing the materials to be provided.

5. Procurement Services for External Agencies

UNICEF can extend its procurement capacities to other agencies with which a written Memorandum of Understanding has been signed (Procurement Services). Such services are offered to UN agencies, governments, NGOs, etc., where the supplies and equipment to be procured are consistent with the aims and policies of the Organization - as reflected in the country's Consolidated Appeal (CAP) document.

A handling fee is charged for such services, which varies according to the country and commodity group. WASH equipment for Least Developed Countries (LDCs) will incur a handling fee of 8%. In addition, material costs must be reimbursed - unless the agency in question is an implementing partner of a UNICEF programme – and a buffer of 10% for non-warehoused goods is required to protect against currency fluctuations (the unused portion is returned).

Full details of the costs and how to access such services can be found in the resources section below, or via the UNICEF Intranet[10]. A soliciting agency must:

- ✓ Complete the Registration Form;
- ✓ Complete a Request for a Cost Estimate form;
- ✓ A Cost Estimate is then prepared by Supply Division;
- ✓ A Memorandum of Understanding is signed prior to procurement;
- ✓ Advance payment is made and an Order Confirmation is released;
- ✓ A Final Statement of Accounts is completed once goods are received.

Additional resources

- 🕮 Procurement Services – 'How to order'
- 🕮 Procurement Services – 'Registration Form'
- ► http://www.supply.unicef.dk/catalogue
  Web-based version of the UNICEF supplies catalogue.

[10] http://www.intranet.unicef.org/Denmark/DanHomepage.nsf

3.3 WASH Cluster Emergency Materials

1. WASH Cluster Emergency Materials Project

The project is envisaged to develop a small stockpile to cover the needs of 50,000 persons for the first month. The purpose of these stocks is to fill initial gaps at the onset of an emergency, and which would target those implementing organisations (national or international) with limited logistical and procurement capacity in-country.

The project relies on strengthening partnerships and supply chains in order to ensure availability and access to pre-agreed WASH items. WASH Cluster stocks will be held by Cluster agencies with existing rapid deployment capacity who will provide capacity to WASH partners on behalf of the WASH Cluster.

Meanwhile, donors will be actively encouraged to support the initiative as partners through the provision of funding, in-kind materials, or the holding of stocks for direct release.

This project remains under development. Upcoming outputs and tools can be found via the WASH Cluster website at www.humanitarianreform.org/WASH, or via UNICEF Programme Division, WES Section.

Additional resources

- 🕮 Emergency Materials Concept Note
- ► …

3.4 Donor In-Kind Assistance

1. Donor In-Kind Assistance

Donor In-Kind Assistance (IKA) refers to materials provided by donors in an emergency. Many donors hold their own stockpiles of materials for humanitarian actors during an emergency, and which can be mobilised for UNICEF-supported activities, or for the wider WASH Cluster.

The mobilisation of IKA for UNICEF or for the wider WASH Cluster follows two distinct processes which are outlined below.

2. UNICEF and IKA

UNICEF has strict procedures for the acceptance of IKA. This is of particular importance where donors are also providing financial assistance to other UNICEF programmes, and who might deduct the cost of the materials from their support elsewhere.

UNICEF considers several categories of IKA, which it defines as 'materials and services at no cost to UNICEF'. Contributions In-Kind are requested and accepted in accordance with UNICEF's specifications and for use in its approved programmes. There are four parties involved in the processing of an IKA request.

1. **The Donor:** Who offers the materials
2. **The fund-raising unit** (PARMO for all government donations, and PARMO, PSD or GRO for other institutions): These will conduct an initial screening and approval of the IKA proposal.
3. **Supply Division:** For technical screening of the IKA materials and for an official valuation of the IKA. This value will be used to calculate possible recovery costs and will also be used in recognising the IKA as Income to UNICEF.
4. **Comptroller:** Who determines the accounting treatment and the valuation to be applied.

From a field level, the UNICEF CO will approach the donor to determine a list of requested IKA items, the number of items, and the value of the items as per the donor. This list will be submitted with an 'IKA Assessment – Approval Form' directly to Supply Division, who will liaise with the relevant sections in New York.

What to do:

- ✓ UNICEF CO approaches donor in the field or via OCHA's Central Register (see below).
- ✓ UNICEF CO provides a list of IKA items, the number of items, and the value of the items as per the donor.

- ✓ The list is submitted with an 'IKA Assessment – Approval Form' to Supply Division, who will then liaise with the relevant sections in New York.

OCHA-Administered Stocks:
OCHA administered stocks are stored in the UN Humanitarian Response Depot (UNHRD), managed by WFP. The UNHRD serves as a logistics and storage facility that allows the UN to respond rapidly to crises. OCHA is responsible for the management, replenishment and dispatch of its stocks.

The stocks include various types of relief goods (such as items household items, electricity supply, water storage & supply, latrines, etc.). If approved, the costs for the stocks as well as the transport of items are covered by the donor.

Stocks can be requested by UN agencies. Where UNICEF makes a request, UNICEF is accountable for the materials provided, consequently this is for UNICEF supported activities only.

More information on the UNHRD and the OCHA stocks, including a generic list and general specifications of the OCHA items in the UNHRD stock are available under www.unhrd.org or from lsu@un.org.

What to do:
- ✓ HC/RC or UNICEF emails OCHA Geneva (LSU@un.org; demuyser-boucher@un.org), and copies UNICEF SD, and the Global WASH Cluster Coordinators. The email request should include all relevant information related to the needs of the affected population and logistics arrangements , including:
  1. Details on beneficiaries (numbers, type);
  2. Intended distribution scheme (location, timeframe, who will take care of the distribution);
  3. Required items;
  4. Quantity of required items;
  5. Airport of destination;
  6. Contact details of the consignee;
  7. Contact details of notify party.
- ✓ If approved, WCC establishes a working group to facilitate in-country logistics, transport and monitoring of IKA materials.

3. The WASH Cluster and IKA

While IKA can in theory be mobilized through UNICEF as a contribution to the wider WASH Cluster this option is unlikely to be used in practice as this is a very cumbersome process for UNICEF, and has implications for accountability for the materials, and potential implications for donor support to other ongoing UNICEF activities.

Instead, IKA contributions can be sought from donors to support the wider WASH Cluster directly. In such instances, the WASH CLA and Cluster partners would support and facilitate in-country logistics, transport and monitoring of the items in coordination with the warehouses in the field.

The WCC would identify the Cluster's material needs, and approach the identified Donor.

Where UNICEF is the WASH CLA, UNICEF Supply Division should be aware of any such IKA transfers, but would be directly involved only if logistical support is required for the Cluster.

Donor Stockpiles:
The Register of Emergency Stockpiles of Disaster Relief Items (Register of Stockpiles) contains information on emergency stockpiles which are run by different humanitarian organizations and primarily oriented towards providing disaster relief items, by these organizations directly or on their behalf, free of charge to a disaster-stricken country.

The Register of Stockpiles provides the following information on each emergency stockpile: location, responsible organization (stockpile holder), contact persons, disaster relief items stocked and their specifications, regions and organizations serviced, conditions and procedures for access to the stocks, existing facilities and arrangements for Customs clearance and transportation, previous experience in relief operations.

Inclusion of an emergency stockpile in the Register of Stockpiles does not mean that the stocked disaster relief items are automatically available for international humanitarian assistance; it serves as an indication only that they may be made available subject to the decision of the stockpile holder on a case-by-case basis.

What to do:
- ✓ WCC approaches donor in the field or via OCHA's Central Register (see below) for initial agreement
- ✓ No SOPs exist. It will be important to clarify the conditions and establish mechanisms for in-country coordination and logistics, transportation, and monitoring of the materials.

What to remember:
- The Register of Stockpiles database is not uniform. There are different levels of technical specification of items, and the organisation of WASH items will vary from stockpile to stockpile (e.g.: jerry cans may be listed as a shelter item, mosquito nets may be listed as a health item, etc.).

Additional resources

- 🕮 IKA Assessment/Approval Form
- ► http://www.intranet.unicef.org/pd/pdc.nsf/0/4f28bc5a8dfe2c8085256ecf0069f930?OpenDocument
  UNICEF In Kind Assistance Executive Directive

4 SPECIALISED TECHNICAL EXPERTISE

The purpose of Chapter Four is to:

- ✓ Outline considerations for the mobilisation and management of specialised technical expertise;
- ✓ Lay out two ongoing WASH Cluster projects to provide specialised technical expertise;
- ✓ Provide links to externally available specialised technical expertise.

The chapter is split into the following **three sections**:

4.1	Mobilising and Managing Specialised Technical Expertise	▪ Outline of the need for technical expertise ▪ Guidance on sourcing and managing technical expertise within the Cluster
4.2	Global WASH Cluster Projects	▪ Outline of relevant ongoing WASH Cluster projects and their outputs: ▪ Technical Support Services Project ▪ Environment Project ▪ Information Management Project ▪ Hygiene Promotion Project
4.3	Global Sources of Expertise	▪ Links to key institutions ▪ Links to global-level pools of expertise

4.1 Mobilising and Managing Specialised Technical Expertise

1. Specialised Technical Expertise

When is specialised technical expertise required?
Specialised technical support is a means by which WASH actors can obtain advice and guidance from experts on a specific technical issue. This may be in the form of specific technical advice or information from individuals with relevant expertise, or other forms of guidance materials and technical notes.

In any given emergency, the nature of expertise required will vary according to the context. Some examples might include: guidance on WASH interventions in extreme environments (sub-zero temperatures, hot and dusty climates); hydro-geological expertise; environmental dynamics; peri-urban WASH interventions; information management, etc.

Timely access to specialised technical expertise is likely to be necessary to ensure effective response by WASH practitioners during a humanitarian emergency. The WCC has a responsibility to identify specific technical needs, mobilize relevant technical support, and ensure that technical guidance informs the WASH interventions of the sector as a whole.

It is important to note that different WASH actors will have different internal technical capacities. In such instances, external technical support may neutrally inform the development of a best-practice strategy for the Cluster as a whole. This might be further supported by relevant technical trainings for local WASH actors.

This section outlines various options available to the WCC in sourcing technical expertise, and some considerations regarding appropriate platforms to make this expertise available to all WASH stakeholders, including civil, national and international agencies and institutions.

Where can specialized technical expertise be sourced?
Specialised technical expertise may refer to the recruitment of an expert to assist the cluster in an advisory capacity. In such instances, please refer to Chapter 2: Human Resources for details of the recruitment of outside consultants. Alternatively, specific technical information or guidance documentation might be sourced from within or external to the Cluster.

The CLA has a responsibility to provide personnel to support the functioning of the Cluster, and the WCC has a responsibility to identify and advocate for specialist support. Several options are available:

- Internal to the cluster: Cluster agencies / institutions may have specific technical guidance, staff with relevant expertise, or contact with external specialists in-country or internationally;

- In-country: Specialist institutions or individuals may exist in-country and be available to be contracted by the Cluster / CLA to provide technical input;
- Regional or Global level support: UNICEF REWAs or the Global Cluster may be able to assist in identifying regional or global technical institutions or individuals who can be contacted to provide support. Cluster agencies should also be encouraged to seek out relevant technical guidance or support within their own organizations to share with the Cluster;
- Regional or Global level services: Certain institutions provide a technical query service for professionals in the field. A table of key institutions is included in Section 4.3 below.
- Global level rosters: A number of specialist rosters exist both internal and external to UNICEF. Details can be found in Section 4.3 below and in Chapter 2, Section 2.3.
- Global WASH Cluster: Several GWC projects are in development (see Section 4.2 below) and will provide technical guidance and / or a roster of relevant experts available for short missions.

How can specialized technical expertise be managed?
Specialized technical expertise should be shared with all Cluster participants to inform the activities of the WASH sector as a whole. This can be done in a variety of ways:

- Cluster website: technical guidelines, briefs and other information can be posted for reference and use by all WASH sector actors.
- Information Management: the IM focal point might circulate relevant guidelines, briefs and other information directly to Cluster participants.
- Strategic planning: technical specialists can advise the Cluster or SAG as appropriate with regards best practice approaches.
- Technical problem solving: technical specialists can be called on to resolve or guide actions related to a specific technical issues as and when they arise.

Additional resources

📖 …
► …

4.2 Global WASH Cluster Projects

The GWC, through its various projects has developed or is developing a variety of tools and resources for use in the field. A complete listing of project outputs can be found in Section 7.1. The following represent projects that may have relevance in mobilising technical support materials or persons to support the WASH Cluster field-implementation.

1. Technical Support Services (TSS) Project (under development)

This project aims to develop a framework for TSS for the WASH sector through the review of currently available technical support services, analysis of gaps in provision of such services, drafting of terms of service for a few selected potential partners and then implementation of a pilot service for the Emergency WASH Sector. The project will also compile a list of potential experts who may be able to deploy for short periods of time to an emergency to resolve highly technical problems.

Thus the project will have two key outputs for the field-level:

- Availability of an internet portal with access to key emergency WASH technical knowledge (guidelines and tools) and data on specific locations;
- Availability of specialized technical experts for short-term deployment during emergencies

This project remains under development. Upcoming outputs and tools can be found via the WASH Cluster website (TSS Project) at www.humanitarianreform.org/WASH, or via the UNICEF Programme Division WASH Section.

2. Information Management Project

In any emergency response, data collection (both quantitative and qualitative) and its subsequent transformation to information and ultimately knowledge, is key to a timely and effective humanitarian response. However, there are very few standard ways of collecting and analysing data within the WASH sector to produce useful information by which to guide our overall WASH humanitarian response. This project has developed the following:

- A tool to generate context-specific assessment formats / templates, tally sheets and data entry formats;
- A tool to map who is doing what where and by when;
- A tool to collate data from the above tools and generate tables and maps;
- Training modules on the tools;
- A roster of trained IM persons available to support WASH IM in the field.

A roster of trainers and the IM tools developed under this project are available via the WASH Cluster website (Information Management Project), where any additional materials will also be posted.

3. Environmental Expertise Project (under development)

This project aims to ensure that the environment is taken into account as a cross-cutting issue in current phases of work and future responses. The first phase will define the scope of the problem and intended audience, based on desk reviews and consultations. The second phase will build on the scoping study and will have three key outputs:

- An agreed Global WASH Cluster environmental policy;
- A series of practical guidance notes, tools, technical guidelines and training materials for field-level implementation;
- A potential roster of environmental experts who could be deployed to assist at field level or for specialised environmental issues.

This project remains under development. Upcoming outputs and tools can be found via the WASH Cluster website (Environment Project) at www.humanitarianreform.org/WASH, or via the UNICEF Programme Division WASH Section.

Additional resources

📖 …
► …

4.3 Global Sources of Expertise

1. External Institutions

A number of institutions provide technical query services. The following table is not comprehensive, but provides links to certain key global institutions that can be approached for specific technical information and advice.

Organisation	Website	Subjects	Aid Type
Agromisa	www.agromisa.org	Agriculture	Email Q&A
Red-R	www.redr.org/redr/support/TSS	WASH	Email Q&A
WaterAid	www.wateraid.org/uk/contact_us/5620.asp	WASH	Email Q&A
Engineer Aid	www.engineeraid.com	Engineering (incl. WASH)	Email Q&A, Publications
WOT	www.wot.utwente.nl	Water pumps	Email Q&A, Publications
Engineers against poverty	www.engineersagainstpoverty.org	Eng/Development interface	Email Q&A
OASIS	www.oasis-water.net/html/help_desk.html	WASH, Environment	Email Q&A
UNOSAT	http://unosat.web.cern.ch/unosat	Mapping, Aerial photos	Email requests
DEW Point	www.dewpoint.org.uk	WASH, Hydrology	Email Q&A, Publications
Practical Action	www.itdg.org	WASH	Publications
WELL/WEDC	www.lboro.ac.uk/well	WASH	Email Q&A, Publications

2. Internal and External Sources of Expertise

A number of rosters and other mechanisms exist within UNICEF, the WASH Cluster, and externally, and which can be drawn on for identifying specific technical experts for recruitment. These include:

Source	Description	Link
UNICEF Global Web Roster	Web-based roster maintained by UNICEF, allowing one to search for persons by particular skill sets	http://www.intranet.unicef.org/DHR/Roster.nsf
UNICEF Standby Partners	Not a roster per se; Standby Partners are often able to provide specialized technical expertise (refer to Section 2.3)	http://www.intranet.unicef.org/geneva/sba.nsf
WASH Cluster Agencies	WASH Cluster members are likely to have their own rosters, links with technical institutions, or internal technical guidance / tools.	Via the in-country WASH Cluster members, or the GWC network
GWC HP Project	Developed a database of potential HP Mentors	Available through the GWC website
GWC IM Project	Will develop a roster of trained IM persons	Available through the GWC website
GWC Environment Project	Will develop a roster of individuals with key environmental expertise	Available through the GWC website
GWC TSS Project	Will develop a roster of individuals with key technical expertise	Available through the GWC website
OCHA Central Register	Provides a database of existing rosters of disaster management expertise	http://ocha.unog.ch/cr

Additional resources

📖 …
► …

5 MAPPING

The purpose of Chapter Five is to:

- ✓ Provide an overview of the importance and use of GIS mapping capacity, including potential sources of GIS capacity and considerations for its management within the Cluster;
- ✓ Set out possible sources of ready-made maps.

The chapter is split into the following **two sections**:

5.1	Mobilising and Managing GIS Mapping Capacity	▪ Outlines possible sources of in-country GIS mapping capacity ▪ Provides considerations for mobilising and managing mapping capacity within the Cluster
5.2	Ready-made Maps	▪ Provides potential in-county sources of ready-made maps ▪ Provides links to potential external sources of ready-made maps

5.1 Mobilising and Managing GIS Mapping Capacity

1. GIS mapping capacity

When is GIS mapping capacity needed?
GIS mapping is intrinsically linked with wider Information Management, providing a means to graphically present or analyse data.

Geographic Information (mapping) systems (GIS) will be crucial in supporting a wide range of analytical activities within the WASH Cluster i.e. damage assessments, gap analysis, response strategies, contingency planning.

As with data collection, GIS activities should be closely coordinated with UN OCHA/HIC and other clusters to minimize duplication and adhere to agreed global / national data and technology standards. This latter aspect will be crucial to ensure that data collected by different Clusters / agencies will be comparable and be used for cross-sectoral analysis of information.

Where can GIS mapping capacity be sourced?

The WASH Cluster Coordinator has a responsibility to identify and arrange GIS mapping capacity for the WASH Cluster in-country. Several options exist including:

- **Cluster members:** where a Cluster member has strong mapping capacity, they may be requested to take on the mapping requirements of the Cluster.
- **OCHA / HIC:** OCHA field offices are often a first stop for in-country datasets, and for GIS mapping capacity if this is not available within the Cluster. OCHA has a responsibility to provide surge support in this regard, however, in practice their capacity may be insufficient for the Cluster's mapping needs.
- **External association:** an agreement can be made between the WASH Cluster and an external organisation with strong mapping capacity, such as Map Action, Carte ONG, or the ICRC. Details of GIS service providers are provided under the Resources below.
- **Local outsourcing:** the WASH Cluster may outsource its mapping needs to a local private company. In practice, this is the most common solution. A sample contract for WASH Cluster GIS monitoring services is provided under the Resources below.

How can GIS mapping capacity be used?

Thematic or other maps developed with GIS can be used for a variety of purposes:

- **Planning:** mapping needs and gaps within the sector will be crucial in informing the development of strategic planning within the Cluster
- **Information sharing:** providing thematic maps and maps illustrating which organizations are active where will be important in informing WASH interventions by the Cluster as a whole.
- **Advocacy:** mapping gaps, or other thematic issues will be helpful in supporting advocacy efforts by the WASH Cluster Coordinator.

Specific IM tools have been developed by the GWC to assist in generating maps based on collated data from assessment forms and 4W forms (Who, What, Where, When) to illustrate severity of need by WASH sub-sector, coverage by sub-sector, and gaps. The tools, along with further information are available via the GWC website.

How can GIS mapping capacity be managed?

Given its intrinsic link with data collection, any GIS mapping capacity mobilised by the Cluster should be managed by the Information Management focal point.

As with other information and data, maps should be shared and accessible to the WASH sector as a whole, in addition to other Clusters for cross-sectoral analysis. This can be done through mechanisms developed to share other data or technical information within the Cluster, for example:

- Cluster website: maps and data can be posted for reference and use by all WASH sector actors, and other interested parties.
- Cluster email lists: the IM focal point might circulate relevant maps and data directly to Cluster participants and other Clusters / OCHA.

Additional resources

- 🕮 GIS service providers
- 🕮 Sample WASH Cluster GIS service contract
- ► …

5.2 Ready-Made Maps

1. Ready-made maps

In the initial phases of an emergency, ready-made maps will be of use in planning, needs assessment, and for reference. The necessary data and GIS mapping capacity will have yet to been identified and gathered.

Where to source ready-made maps?

In any given country, ready-made maps could be sourced from the following:

- **OCHA / HIC:** The OCHA field office will usually have administrative, physical, road and other more thematic maps available.
- **Intra-Cluster:** Cluster partners active in-country prior to the emergency will usually have key reference maps.
- **The national / local mapping authority:** Local mapping authorities are likely to have key reference maps and datasets available. They should be approached by OCHA on behalf of other humanitarian actors.
- **External sources:** Ready produced reference and thematic maps are available from a multitude of sources. Key sources include the UN Cartographic Section, UNOSAT and OCHA/ReliefWeb.

External sources of ready-made maps

The following table is far from comprehensive - it lists key institutions and the maps that they maintain. The first four institutions should be the first to be explored for general reference maps of a given country / area, and also provide links to other institutions and sources of thematic and country maps. The remaining institutions provide specialised maps on specific themes.

Organisation	Type of maps	Link
UN Cartographic Section	Country profile, peacekeeping	www.un.org/Depts/Cartographic/english/htmain.htm
UNOSAT	Maps, radar images and photographs from space	http://unosat.web.cern.ch/unosat/
OCHA/ReliefWeb	Thematic and country	www.reliefweb.int/rw/rwb.nsf/doc114?OpenForm
Perry Castañeda Library Map Collection	Administrative, relief, topographical, thematic	www.lib.utexas.edu/maps/
National Geographic Map Machine	Physical	http://maps.nationalgeographic.com/map-machine
Dartmouth Flood Observatory	Inundation and surface water	www.dartmouth.edu/~floods/
Global Volcanism Program	Volcano locations and characteristics	www.volcano.si.edu/gvp/volcano/index.htm
Drought monitor	Drought affected areas	http://drought.mssl.ucl.ac.uk/drought.html
Drought monitoring and crop yield forecasting	Environmental analysis and remote sensing for Africa and Europe only	www.earlywarning.nl/
Tropical Storm Risk	Hurricane, Typhoon and Cyclone	www.tropicalstormrisk.com/

Additional resources

📖 …

- http://www.reliefweb.int/rw/rwc.nsf/doc427?OpenForm&query=MAP - A complete listing of sources used for reference maps found on ReliefWeb

6 OTHER CLUSTERS

The purpose of Chapter Seven is to:

- ✓ Set out inter-Cluster matrices which provide potential roles and responsibilities between Cluster at a country level,
- ✓ Provide an overview and links to other useful materials and resources related to resource mobilisation developed by other Clusters.

The chapter is split into the following **two sections**:

6.1	Inter-Cluster Matrices	▪ Provides inter-cluster matrices of roles and accountabilities between WASH and: ▪ Camp Coordination & Camp Management ▪ Emergency Shelter ▪ Health & Nutrition ▪ Education ▪ Early Recovery
6.2	Other Cluster Resources	▪ Link to the Health Cluster Coordinator Handbook; ▪ Emergency Shelter NFI Handbook ▪

6.1 Inter-Cluster Matrices

Inter-Cluster matrices

✓ Inter-Cluster matrices provide *indicative* roles and responsibilities for each Cluster – **they are not intended as a rigid guideline!**

1. Inter-cluster Matrices

The matrices define responsibilities and accountabilities of each cluster during a humanitarian intervention in areas of potential overlap. Each matrix has been developed through a broad consultative process at a global level and should be considered an 'indicative' framework.

Clusters at a field or national level can use the matrices as a starting point to negotiate and define specific responsibilities and accountabilities which take into account the context and available capacity.

The following matrices have been developed with the global WASH Cluster:

- CCCM/WASH
- Health/Nutrition/WASH
- Emergency Shelter/WASH
- Education/WASH
- Early Recovery/WASH

These, and any others since developed, can be found via the WASH Cluster website: www.humanitarianreform.org/WASH

Additional resources

- 🕮 CCCM/WASH Matrix
- 🕮 Health/Nutrition/WASH matrix
- 🕮 Emergency Shelter/WASH matrix
- 🕮 Education/WASH Matrix
- ► ..

6.2 Other Cluster Resources

1. Emergency Shelter Cluster Field Coordination Toolkit

This toolkit is designed for use by coordination teams deployed by the Emergency Shelter Cluster co-chairs UNHCR and IFRC to chair in-country Emergency Shelter Cluster Working Groups. Documents and reference materials contained in the kit have been collected from previous Emergency Shelter Clusters in the field; other documents have been made specifically as guidance for future emergencies.

The coordination toolkit will be kept updated with materials from the field and guidance developed by the IASC, IFRC and UNHCR. It can be found via the Emergency Shelter Cluster website within: www.humanitarianreform.org/Shelter

2. Emergency Shelter Cluster Non-Food Items Handbook

New Handbook – overview and link to be inserted

3. Health Cluster Coordinator Handbook

Overview and link to be inserted

4. Guidance Note on Early Recovery

Overview and link to be inserted

5. Camp Management Toolkit

Overview and link to be inserted

6. Protection of Conflict-induced IDPs: Assessment for Action

Overview and link to be inserted

7. Handbook for the Protection of IDPs

Overview and link to be inserted

Additional resources

📖 ...
► ...

7 TOOLS, GUIDELINES & RESOURCES

The purpose of Chapter Six is to:

- ✓ Provide an overview of other specialised tools and resources developed by the Global WASH Cluster;
- ✓ Provide an overview of other specialised resources available to UNICEF staff facing a humanitarian response situation;
- ✓ Provide an overview of relevant IASC Guidelines and Tools related to the Cluster Approach.

The chapter is split into the following **three sections**:

7.1	Global WASH Cluster Resources	▪ Outlines various GWC guidance and tools
7.2	UNICEF Emergency Resources	▪ Links to emergency resources available within UNICEF
7.3	IASC Guidance Notes and Tools	▪ Links to relevant IASC guidance and tools related to the Cluster Approach

7.1 Global WASH Cluster Resources

1. Global WASH Cluster Project Resources

Specialized resources are being developed through several GWC Projects for WASH professionals facing emergency response situations. Many of these tools and guidance are already available in hard copy or downloadable via the WASH Cluster website (www.humanitarianreform,org/WASH). They can be requested from the GWC CAST (washcluster@unicef.org), including:

Resource	Description
General Support	
WASH Cluster Rapid Response Team	Provides support during the initial phases of an emergency in: Coordination; Needs Assessment; Strategy Development/ Appeals; Technical Support; Information Management.
Cluster Coordination	
WCC Handbook	A Guide and Reference for WCCs covering all areas of their ToRs.
WCC Roster	A Roster of trained and assessed WCCs.
National WCC Training Materials	Training materials for national WCCs (RedR acts as a pool of qualified trainers).
Information Management	
IM Tools	1) Survey Tools produce assessment formats/ checklists, tally sheets, and data entry formats. 2) 4W form maps where agencies are planning to work, estimated beneficiaries, planned start/end dates, and funding status 3) The Data Tool collates information from assessments and 4W forms to produce tables and maps.
IM Roster	A Roster of trained IM persons.
IM Training	IM training modules for: WCCs; Information Managers.
Capacity Mapping	
National Capacity Mapping tools	A tool to assess and monitor National WASH emergency capacity, both prior to or at the onset of an emergency.
Hygiene Promotion	
HP Introductory Materials	An orientation package for generalists on HP best practices.
HP Training Modules	HP Training modules for: Community Mobilisers; Hygiene Promoters; HP Coordinators.
Database of HP Mentors	A database of potential HP Mentors.
HP Capacity Assessment Tool	A tool to assess the capacity of organisations undertaking HP training in emergencies.
Visual Aids	Contains common HP materials used in the field and allows the

Library	design/ adaptation to the country context.
Technical	
Technical Training Modules	A series of interchangeable technical training modules on all WASH topics (RedR acts as a pool of qualified trainers).
Advocacy	
HRTWS Training and Advocacy Tools	A Handbook, Self-Learning CD, and training modules on the legal framework and advocacy for the Right to Water and Sanitation in Emergencies.
WASH Advocacy Tools	A set of tools including: a model advocacy strategy template; a series of templates addressing a wide range of issues (press releases, talking point, official letters, etc.); management tools for advocacy (checklists, tasklists, etc.); M&E tools for advocacy (SMART objectives, impact assessment, etc.); and a one-day training module.
WASH Programming Evidence-Base	Represents a comprehensive collation of the existing evidence-base for WASH in emergencies.
Data Collection methodologies	Provides a set of endorsed data collection needs and alternatives for emergency WASH.
Cross-Cutting Issues	
Cross-Cutting Issue and WASH: compilation of guidance	A collection of tools and guidance for integrating technical and cross-cutting issues into WASH programming.
Environmental Guidance and Tools	Specific materials and training modules to improve WASH response by preventing or reducing the environmental impact of WASH interventions.
Early Recovery Guidance and Tools	A set of tools and guidance to address early recovery gaps in WASH programming.
DRR Guidance and Tools	A set of best-practice tools and guidance on integrating DRR into emergency response and early recovery programming.
Accountability	
Accountability Guidance and Tools	A set of tools and guidance to improve the accountability of WASH agencies to the people with and for whom emergency WASH programmes are undertaken.
WASH Cluster Performance Review Tool	A generic Performance (Self-)Review Tool of the implementation of the WASH Cluster Approach at a country-level.

7.2 UNICEF Emergency Resources

1. Additional Guidance Materials

Specialized resources are available to UNICEF staff facing emergency response situations. These publications have been made available in hard copy and/or CD to all offices, they can be located on the UNICEF intranet and can also be requested from EMOPS. They include:

Resource	Description	Intranet Link
Emergency Field Handbook	A tool for the UNICEF practitioner. Explains *what* needs to be done and *how* to do it, with extensive checklists and guidelines covering the programme areas and operational functions identified in the CCCs.	Emergency Field Handbook
Supply Manual	Provides general direction and guidance, and is focused on the Country Office. It includes a section on Supply in emergencies providing guidance on supply operations to deliver both imported and locally procured goods in emergency operations.	Supply Manual
Financial and Administrative Management in Emergencies	The guide was developed to help staff understand the principles and apply a risk management approach to financial and administrative management in emergencies. As such the guide brings together and explains UNICEF financial and administrative policies and procedures applicable to emergency situations.	Financial and Administrative Management
Technical Notes: Special Considerations for Programming in Unstable Situations	Provides technical guidance on the design and implementation of specific programmes and activities.	Technical Notes
Field Security Manual	Policy for the protection of UNICEF personnel and property in the field. The manual covers preventative security arrangements, staff emergency situations, SOPs for crisis management and emergency operations, and medical emergencies.	Field Security Manual
Pocketbook of Emergency Resources	Booklet describing emergency training materials, life saving supplies, programmatic guidance and staff support from UNICEF and other humanitarian sources.	Emergency Resources

Additional resources

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7.3 IASC Cluster Approach Guidance

1. Cluster Approach

The following documents were developed by the IASC with regards to the Clusters and Cluster Approach, and are to be periodically updated based on feedback from the field. These documents, along with any updates, can be found at: www.humanitarianreform.org

Resource	Direct Link
IASC Endorsed Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/Introduction/IASCGUIDANCENOTECLUSTERAPPROACH.pdf
Annex I of the IASC Guidance Note: TORs for the Cluster and Sector Leads at the Field Level	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/Generic%20Terms%20of%20Reference%20for%20Sector.doc
IASC Operational Guidance for New Emergencies	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/OPGUIDANCE-new%20emergencies-F.doc
IASC Operational Guidance for Ongoing Emergencies	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/OPGUIDANCE-ongoing%20emergencies-F.doc
IASC Operational Guidance on the Concept of 'Provider of Last Resort'	http://www.humanitarianreform.org/humanitarianreform/Portals/1/Cluster%20Approach/understanding%20the%20cluster%20approach/OPGUIDANCE-ProviderofLastResort-F.doc
Operational Guidance on Responsibilities of Sector / Cluster Leads and OCHA in Information Management	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/Res&Tools/IM/OperationalGuidance%20Information%20Management.pdf
Principles of Partnership	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/GHP%20Principles%20of%20Partnership51.doc
IASC Contingency Planning Guidelines for Humanitarian Assistance	http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/IA%20CP%20Guidelines%20Publication_%20Final%20version%20Dec%202007.pdf
IASC Tip Sheets	www.humanitarianreform.org/Default.aspx?tabid=425