

Disclaimer

The opinions expressed in this report are those of the authors and do not necessarily represent those of the members / standing invitees of the Inter-Agency Standing Committee.

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The Haiti evaluation mission has been conducted before a devastating earthquake hit the country on January 12, 2010. Many of those who facilitated our evaluation mission or provided input were deeply affected by the disaster. Our thoughts are with them.

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Acronyms

ACF	Action Contre la Faim
CDGRD	Provincial Committee for Risk and Disaster Management
CAMEP	Centrale Autonome Métropolitaine d'Eau Potable
CAP	Consolidated Appeals Process
CC CM	Camp Coordination and Camp Management
CERF	Central Emergency Relief Fund
CNGRD	National Committee for Risk and Disaster Management
CNSA	National Commission for Food Security
COU	Centre for Emergency Operations
CPIO	Comité Permanent Inter Organisations (French abbreviation for the IASC)
CRS	Catholic Relief Services
CT	Technical Committee of the International Community
DINEPA	National Department for Water and Sanitation
DPC	Department for Civil Protection
DPKO	Department for Peacekeeping Operations
DSRSG	Deputy Special Representative of the Secretary-General
DSNCRP	National Strategy for Growth & Poverty Reduction Paper
EC	European Commission
ECHO	European Commission Humanitarian Aid department
E-JOC	Extended Joint Operations Center
ETC	Emergency Telecommunications Cluster
FAO	Food and Agricultural Organization
FEWS NET	Famine Early Warning System Network
GBV	Gender-based Violence
GACI	International Coordination Support Group
HI	Handicap International
HRC	Haitian Red Cross
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross / Red Crescent
IDP	Internally Displaced Person
IFRC	International Federation of the Red Cross
INEE	Inter-Agency Network for Education in Emergencies
IOM	International Organization of Migration
MARNDR	Ministry for Agriculture, Natural Resources and Rural Development
MAST	Ministry for Social Affairs & Labour
MDM	Médecins du Monde
MICT	Ministry for the Interior and Territorial Entity
MINUSTAH	UN Stabilization Mission in Haiti
MINUSTAH/ HDCS	Humanitarian and Development Coordination Section of MINUSTAH
MINUSTAH/ HR	Human Rights Section of MINUSTAH
MSF	Médecins Sans Frontières

MSPP	Ministry of Public Health
MTPTC	Ministry of Public Works, Transport & communications
NFI	Non-food Items
NGO	Non-governmental organization
NSGRP	National Strategy for Growth & Reduction of Poverty
OAS	Organization of American States
OFDA	Office of US Foreign Disaster Assistance
OHCHR	Office of the High Commissioner of Human Rights
ONI	National Identity Office
PNH	National Police of Haiti
ProCap	Protection Standby Capacity Project
SNEP	Service National d'Eau Potable
SNGRD	National System of Risk and Disaster Management
TDC	Concertation Table
TS	Sectoral Table
UN	United Nations
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment & Coordination
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner of Refugees
UNICEF	United Nations Children's Fund
WASH	Water, Sanitation and Hygiene
WFP	World Food Program
WHO/ PAHO	World Health Organization/Pan-American Health Organization

Illustration 1
Haiti Map and Mission Itinerary



Executive summary

This report is one of six country reports of the global Cluster Approach Evaluation Phase 2, for which a global synthesis report is also being produced.¹ The evaluation assesses the operational effectiveness and the main outcomes of the cluster approach, as well as its interactions with other pillars of humanitarian reform. The report seeks to identify the added value of the cluster approach since its introduction in Haiti in early 2008 and to derive lessons for both improving the cluster system in Haiti and similar contexts in which the approach might be used in the future.

Haiti is one of the poorest nations in the Western Hemisphere. It suffers from a complex situation characterized by high levels of rural and urban poverty, weak governance structures, organized crime and sporadic outbreaks of violence as well as an extraordinary level of environmental degradation. The magnitude 7.0 earthquake that shattered the country on January 12, 2010 sadly highlighted Haiti's vulnerability to natural disasters.

This evaluation report does not cover the events of January 2010, since the evaluation mission and the drafting of the report took place in late 2009. Instead, it covers cluster coordination in the response to the tropical storms and hurricanes that hit the country in August and September 2008.

The assessment shows that the introduction of the cluster approach has helped improve coordination. It enhanced partnership between the UN and other international humanitarian actors, facilitated information sharing, improved the predictability of leadership, limited duplications and enhanced coherence. At the same time, the evaluators found a number of important shortcomings of the cluster approach in Haiti: it was weak on ownership and connectedness, demonstrated only a low level of accountability - both toward the Humanitarian Coordinator and affected populations - and could not significantly improve coverage. The report shows that the cluster approach in Haiti has not realized its full potential.

The table below summarizes key findings and recommendations on how to further improve cluster coordination in Haiti.

¹ The other country reports cover Uganda, the occupied Palestinian territory, Myanmar, Chad and the Democratic Republic of Congo. For more information on the Cluster Approach Evaluation Phase 2 see: http://www.gppi.net/consulting/cluster_approach/, accessed 07/01/10

Recommendation 1

Strengthen and harmonize the coordination framework

Findings related to recommendations

The introduction of the cluster approach was done in a top-down manner and in disregard of the local context and existing (national) coordination structures, potentially undermining local ownership.

§§ 14-17, 19-21, 71

The relationship between the cluster approach and humanitarian financing has been weak. Closer linkages could help translate coherent cluster plans into coherent action but risk aggravating possible conflicts of interest for operational lead agencies.

§§ 42, 54, 78, 80, 81

Recommendations

Cluster-related meetings should be introduced only if there is not already an equivalent forum. If a specific forum already exists (e.g. information meeting), integrate the cluster approach into it instead of creating parallel structures.

Restructure and limit the nature and number of meetings by defining a clear purpose, establishing clear terms of reference and appointing constituencies for cluster-related meetings on the basis of IASC guidance notes.

Develop a clear concept on how to integrate the cluster approach and the “table approach”. Clusters and “tables de concertation/ tables sectorielles” must have compatible designs. Clusters should support the national coordination system and replace it only where local assistance is strongly politicized.

Establish closer links between the cluster approach and humanitarian financing to allow for the implementation of common cluster strategies. Operational agencies in particular should mitigate the risk through dedicated cluster coordinators. Ensure transparent processes and learn from other countries’ experiences linking cluster coordination and humanitarian financing, e.g. DRC, the oPt, Uganda.

The cluster approach improved information sharing but information management was weak with much information getting lost or not being shared in a timely manner.

§§ 35, 39, 50

Information and knowledge management systems need to include all relevant actors and address specific information needs before, during and after the emergency, including a cluster “starter kit” and a well-maintained website based on technology that allows interaction (web 2.0).

No clear criteria for activation and deactivation of clusters in the context of reoccurring natural disasters exist, which undermines participation and promotes emergency thinking outside emergencies.

§ 40

Develop clear criteria to activate and deactivate clusters. To avoid confusion and ensure the smooth activation of clusters in emergencies there should be regular simulation exercises between the cyclone seasons (See illustration 4).

Recommendation 2

Make the cluster approach more inclusive

Findings related to recommendations

The cluster approach was too exclusive and did not reach out to important stakeholders such as national NGOs, the government and donors. This, at times, weakened local ownership, which created tensions with the government and undermined sustainable solutions to “build back better.” In cases where the clusters had successful links with the government and civil society actors, positive results were achieved.

§§ 51-52, 72, 75-77

The cluster approach strengthened the relationship between the UN and international NGOs.

§§ 49, 53

Gap filling and improved coverage were hampered by a lack of inclusion of relevant stakeholders

§§ 71, 73-74, 77, 82

Recommendations

Reach out actively to local NGOs. Systematically assess what hinders local NGOs in participating in cluster coordination and address these obstacles.

Develop a strategy how to involve other important non-humanitarian stakeholders while preserving the clusters’ space for open debate and information exchange. Actively reach out to international donors and MINUSTAH to coordinate with these important actors. They should not be included in cluster coordination per se but on a case-by-case basis. Non-humanitarian actors should not become cluster (co-)leads.

There was no guidance from the political level on the link between the cluster approach and MINUSTAH. As a consequence this link is weak, unclear and creates challenges for the cluster approach. The Protection Cluster faced important leadership problems because the responsibilities of integrated cluster leads toward MINUSTAH and the cluster members were not clearly defined. Non-UN agencies tended to reject the idea of integrated cluster leads.

§§ 47, 71, 73-74

Clarify the links between the cluster approach and integrated missions; particularly by clarifying the relations of cluster lead agencies vis-à-vis the mission and the division of labor regarding humanitarian coordination. Clarify the role of MINUSTAH in the Protection Cluster.

Recommendation 3

Mainstream cross-cutting issues into the cluster approach

Findings related to recommendations

Inter-cluster coordination and predictable leadership was weak regarding multisectoral and cross-cutting issues.

§§ 38, 42, 44, 46

Recommendations

Ensure the systematic inclusion of cross-cutting issues into the cluster approach. To do so, identify humanitarian gender and environmental focal points within the country team.² If such focal points do not exist, the country team should consider the deployment of GenCap or environmental advisors.

² These focal points are not necessarily the agency focal points for gender, who are often no experts in humanitarian assistance. It is important that the identified focal points will have an appropriate level of technical humanitarian expertise, seniority and an interest in gender issues. If necessary they can acquire additional gender expertise through the cooperation with the GenCap Project.

Recommendation 4

Toward greater coverage

Findings related to recommendations

The cluster approach helps to better identify duplications but, except for logistics services, the evaluators did not find evidence for improved gap filling and coverage. Gap filling and improved coverage were hampered by:

- Access problems
- Lack of funds
- Difficulties to prioritize needs
- Weak provider of last resort
- Lack of inclusion of relevant stakeholders

§§ 45, 64 -69

Recommendations

Improve the provider of last resort role by creating country-specific emergency budget lines.

Improve prioritization of needs and activities through cluster coordination. In the absence of a CAP process, OCHA Haiti should set up a process that helps individual clusters and the entire country team set common priorities including inter-cluster and cross-cutting issues.

Recommendation 5

Make accountability a central element of the cluster approach

Findings related to recommendations

Accountability is one of the weakest points of the cluster approach in Haiti: There were very low levels of accountability of cluster leads to the Humanitarian Coordinator, particularly because the link between the cluster approach and the Humanitarian Coordinator system is loose. Also, clusters did not promote participatory approaches or accountability toward affected populations. However, initial cautious steps toward peer accountability in the clusters have been taken.

§§ 54, 57-62, 79-81

Recommendations

Establish closer links between the Humanitarian Coordinator and the cluster approach through regular meetings between cluster leads and the Humanitarian Coordinator.

Improve peer accountability mechanisms within clusters and on the inter-cluster level through regular presentation and discussion of projects, monitoring of common indicators, common site visits and thematic discussions, after-action reviews etc.

Clusters need to promote participatory approaches through sharing of good practice.

Recommendation 6

Strengthen support for operations

Findings related to recommendations

The role of OCHA in cluster coordination was not entirely clear but a strong OCHA Office proved to be crucial for the functioning of the cluster approach. Still, the capacity of OCHA Haiti was too limited during the emergency response to meet the task.

§§ 21, 35-37

Training of cluster coordinators was a particularly relevant global cluster support. Cluster coordinators deployed as surge capacity helped lead agencies fulfill their obligations but lacked contextual knowledge. Existing guidance often did not consider urban disaster settings and where thus of little use to the field.

§§ 29-31, 33

Recommendations

Strengthen OCHA's capacities in-country to allow the Office to facilitate the functioning of the cluster approach

Continue and enhance training for cluster coordinators. Depending on resources and capacities, OCHA Haiti might also play a role in training cluster coordinators (e.g. through workshops on information management, meeting facilitation, use of existing templates, etc.) at the country level.

Ensure that cluster coordinators are deployed for (at least) several consecutive months.

The global clusters should update their cluster-specific guidelines with information on how to respond to urban crises.

1 Introduction

- 1 Haiti, a small Caribbean state, looks back on a remarkable history. In the early 19th century, after fighting French colonial control and slavery, it became the world's first black-ruled republican state. On the other hand, the country has been checkered by decades of political instability, foreign intervention, dictatorship and exposure to natural disasters. As a result, Haiti today is one of the poorest nations in the western hemisphere. It suffers from a complex situation characterized by high levels of rural and urban poverty, weak governance structures, organized crime and sporadic outbreaks of violence as well as an extraordinary level of environmental degradation.
- 2 The magnitude 7.0 earthquake that shattered the country on January 12, 2010 sadly highlighted Haiti's vulnerability to natural disasters.
- 3 However, this evaluation report, analyzing the effects and outcomes of the introduction of the cluster approach in Haiti, does not cover the events of January 2010, since the evaluation mission and the finalization of the report took place in late 2009. Despite the drastic changes in the country caused by the earthquake, the evaluators learned from conversations with field staff and a recent visit to Haiti in the context of another project that most of the findings and recommendations presented in this report remain valid.
- 4 This report covers cluster coordination in the response to the tropical storms and hurricanes that hit the country in August and September 2008. The extreme weather caused over 800 deaths, injuring 548 people and affecting a total of about 800,000 Haitians. Houses, already unstable livelihoods and parts of the country's infrastructure were destroyed. By comparison, the same storms caused widespread destruction but no fatalities in neighboring Cuba.³ The humanitarian response to Haiti's 2008 emergency was provided by a wide range of national and international actors, including the new Haitian government, national and international NGOs, UN agencies and the UN Stabilization Mission in Haiti (MINUSTAH). The newly introduced cluster approach was applied for the first time in Haiti to coordinate these relief efforts.
- 5 The report outlines the scope and methods of the evaluation mission (section 3), maps the coordination challenge in Haiti (section 4) and presents the main country-level findings as well as key recommendations and lessons learned (section 5). Section 6 concludes the report by addressing the questions of the cluster approach's effects, its added value and return on investment. Additionally, Annex 1 provides an overview of the performance of the individual clusters.

3 IFRC (2008)

2 Scope, method and limitations

- 6 This report is one of six country reports of the global Cluster Approach Evaluation Phase 2, for which a global synthesis report is also being produced. The evaluation assesses the operational effectiveness and the main outcomes of the cluster approach, as well as its interactions with other pillars of humanitarian reform. It offers recommendations for different stakeholders to better achieve the intended goals of the cluster approach. As the primary objective of the evaluation is to encourage learning, it aims to identify factors that hinder or support the cluster approach in achieving these goals.
- 7 The Haiti report covers the effects of the cluster approach on the humanitarian response in Haiti during the 2008 emergency and the preparation phase for the 2009 hurricane season. Where possible, the outputs, outcomes and effects of the cluster approach are compared to earlier and other existing forms of coordination.
- 8 The report is based on extensive document analysis and an 18-day country visit by two evaluators. Please see Annex 3 for the itinerary of the mission and a list of persons interviewed. Annex 4 contains a list of documents and literature consulted. Preliminary findings were presented to and discussed with the Humanitarian Coordinator ad interim, the Head of Office of the Office for Coordination of Humanitarian Affairs (OCHA), members of the Inter-Agency Standing Committee (IASC) Country Team, government representatives and international donors.
- 9 The evaluation mission to Haiti faced a number of limitations, including:
 - *Timing of the evaluation and limited possibilities for triangulating results.* The evaluation mission took place over a year after the devastating 2008 hurricane season. Emergency response was largely over and many international actors were no longer in-country, rendering direct observation of cluster activities largely impossible. Therefore, the performance of the cluster approach during the emergency response had to be reconstructed from interviews and document analysis. This approach proved to be challenging, given high staff turnover, weak institutional memory and varying degrees of availability and quality of data. Additionally, the former Humanitarian Coordinator could not be interviewed for this study. As a consequence, various data sources and interviews with local staff were used to fill information gaps rather than triangulate results, affecting the depth of the analysis.
 - *Limited availability and quality of relevant quantitative data.* Due to the ex-post nature of the evaluation as well as limited availability of relevant quantitative data, the analysis of the performance of the cluster approach is based on qualitative data. This is also the case because where quantitative data was available, observable developments could not be attributed ex post to the cluster approach.

- *Lack of comparable data.* To assess the coverage and quality of humanitarian interventions and their progress over time, the evaluation team had to rely on existing data. In many cases, the data turned out not to be comparable over time, as information from earlier coordination efforts was not available, key indicators were changed or data raised for different geographical areas.
 - *Limited interaction with local stakeholders.* Interviews and meetings arranged by OCHA Haiti for the evaluation mission did not include local stakeholders. The evaluation team tried to arrange interviews independently with local NGOs and government representatives but was successful only in a limited number of cases. Some local NGOs participated in the briefing and discussion on preliminary findings at the end of the mission. Additionally, one year after the emergency most affected people have returned to their normal lives. The evaluation team visited one of the remaining camps for displaced persons but could not include beneficiary perspectives into the analysis in a systematic manner.
- ¹⁰ A more detailed description of the evaluation methodology can be found in the Inception Report of the evaluation.⁴

⁴ Available at http://www.gppi.net/fileadmin/gppi/ClusterIIEval_Incep_Rep.pdf. The terms of reference can be accessed from http://www.gppi.net/fileadmin/gppi/ToR_Cluster_Evaluation_Final_TOR_23_02_09.pdf and the evaluation framework from http://www.gppi.net/fileadmin/gppi/Phase_II_Cluster_Evaluation_Framework.pdf

3 The coordination challenge in Haiti

- 11 The cluster approach in Haiti was not set up in a coordination vacuum. There were a number of existing coordination structures, most of which still exist today and run in parallel to cluster coordination. The following sections will show that Haiti is a country where the main coordination challenge is not necessarily a lack of coordination, but an abundance of parallel and sometimes dysfunctional coordination mechanisms.

Duplication of coordination mechanisms

3.1 National coordination

- 12 In 1999, the *Système National de Gestion des Risques et des Désastres* (SNGRD) was established in Haiti.⁵ The SNGRD consists of 26 governmental and non-governmental institutions involved in disaster preparedness and response. Its work is facilitated through a permanent secretariat. Policy development and decision-making lie with the *Comité National de Gestion des Risques et des Désastres* (CNGRD) which is led by the Ministry for the Interior. Therefore, the *Ministère de l'Intérieur et des Collectivités Territoriales* (MICT) has the main responsibility for risk and disaster management. The MICT executes this responsibility through the *Direction Générale* and the *Direction de la Protection Civile* (DPC).⁶ The DPC is responsible for operational coordination and is thus often described as the government's OCHA. The DPC is present at the national, provincial and municipal levels. In emergencies, the *Centre d'Opération d'Urgence* (COU), bringing together the members of the SNGRD's permanent secretariat and the DPC, is responsible for disaster response.⁷

The national system for risk and disaster management

- 13 National coordination is often hampered by weak capacities and capabilities as well as conflicting political loyalties, particularly at the municipal level. While some members of the administration are loyal to the national structures, others are loyal to the mayor and his networks. Furthermore, Haiti has seen an important level of politicization of aid, with officials channeling humanitarian aid to their advantage (e.g. in election campaigns) or even withholding it.⁸

Weaknesses of the national system

3.2 Coordination between national and international actors

- 14 Within the SNGRD, the Haitian government has established the *Groupe d'Appui de la Coopération Internationale* (GACI). The GACI is subject to the *Comité national de gestion des risques et des désastres* and brings together UN agencies, MINUSTAH, international development agencies, the respective embassies, donors and international NGOs. The group's mandate is to coordinate international actors involved in disaster preparedness and response activities, mobilize funds

The Government's coordination mechanism

5 See Annex 2 for an organizational chart of the SNGRD

6 *Communauté internationale en Haïti* (2009): 11

7 Interviews, including with government representatives

8 Interviews, including with government representative and national staff; cluster documentation

and ensure technical cooperation. In case of emergency, the international actors are asked to participate regularly in meetings, share information, participate in multisectoral assessments, integrate their response into an action plan developed by the government in coordination with the UN and provide a final report about their activities.⁹

15 MINUSTAH is an integrated mission. In the aftermath of the devastating Hurricane Jeanne in 2004, MINUSTAH proposed strengthening this national coordination mechanism of humanitarian and development actors at the provincial and communal levels by establishing so-called tables de concertation (TDC). The TDCs are complemented by tables sectorielles (TS) dealing with technical issues in different sectors (e.g. Agriculture, Water and Sanitation, Infrastructure, Education). By July 2009, the TDCs and TSs were implemented in three out of Haiti's ten provinces. The aim of the "table approach" is to "create a forum for dialogue, discussion and exchange of information [in order to] satisfy and better channel the needs for humanitarian aid, the identification of problems, the filling of gaps and activities for early recovery and regional development."¹⁰ In other words, the aim of the "table approach" closely resembles that of the cluster approach.

"Tables de concertation"

16 While the TDC system seems to be developing slowly, MINUSTAH's Humanitarian and Development Coordination Section (HDCS) plans to reinforce this coordination mechanism and to "play the role of coordinator within MINUSTAH and as liaison with UN agencies and other actors."¹¹ Furthermore, MINUSTAH intends to render the national coordination mechanism via the SNGRD more transparent and efficient by integrating it into the "table approach".

17 The link between the "table approach" and the cluster system is not spelled out in MINUSTAH's coordination policy. Rather, the document implicitly assumes complementarity between the two approaches, with the cluster approach seen as coordination on the national level and the "table approach" covering the provincial and communal levels. Since the cluster approach in Haiti has also been applied at the local level (e.g. in Gonaïves) complementarity is not a given. Furthermore, the evaluators could not find any evidence that the Inter-Agency Standing Committee (IASC) Country Team and OCHA had clarified the link between the "table approach" and the cluster approach as well as the delineation of MINUSTAH's and OCHA's roles with respect to humanitarian coordination.¹² As a result, the risk of duplicated efforts, inefficient use of resources and incoherent action is high.

What is the link between the cluster approach and the TDC?

Risks of duplication and inefficiencies

9 Communauté internationale en Haïti (2009); SNGRD (2008)

10 MINUSTAH/ HDCS (2009): 2; translation by the authors

11 MINUSTAH/ HDCS (2009): 8; translation and emphasis by the authors

12 United Nations (2009a). This is the only official document addressing the relationship between the Mission and the cluster approach.

- 18 Many humanitarian organizations' general resistance to cooperating with the government further obstructs coordination between national and international actors. While the scope of the politicization of aid in Haiti should not be underestimated, the context of natural disaster response in a country with a nascent governance structure demands close coordination with national and local authorities. It is the only way to show respect for national structures, safeguard acceptance for international presence in the longer term and allow for knowledge transfer and capacity strengthening.¹³

International actors are reluctant to work with the Government

3.3 International coordination

- 19 There are also numerous fora to coordinate activities among the various international humanitarian actors. Firstly, there is the IASC/CPIO¹⁴ Haiti, composed of international organizations, UN agencies and NGOs¹⁵. The IASC/CPIO Haiti coordinates humanitarian response on a strategic level and meets on a monthly basis, chaired by the Humanitarian Coordinator. Secondly, there is the Comité technique de la communauté internationale (CT), bringing together focal points of international organizations, UN agencies, MINUSTAH and NGOs. Chaired by OCHA, the CT coordinates humanitarian response on a technical level in emergencies. Finally, there is the Humanitarian and Development Forum, which has largely the character of an information meeting and meets on a bi-weekly basis. It deals, contrary to its name, mainly with humanitarian issues. Most of these coordination fora have unclear terms of reference and constituencies. Given the small size of most agencies present in Haiti, often the same persons participate in these meetings. Such a setup is prone to creating inefficiencies, frustration and meeting fatigue.
- 20 Furthermore, in Haiti the UN works through an integrated mission, designed to “facilitate a coherent, system-wide approach to the United Nations engagement in [Haiti].” Integrated missions aim to support a fragile peace process through unified leadership and with civilian, policy and military resources. In integrated missions, the Humanitarian Coordinator also acts as Resident Coordinator and Deputy Special Representative of the Secretary General (DSRSG).¹⁶ The relationship between the UN Country Team and MINUSTAH is strained. There is an overlap of mandates between MINUSTAH/HDCS and OCHA regarding humanitarian coordination and the obligation of cluster lead agencies towards the

A high number of unclearly defined international coordination fora

Roles and responsibilities of OCHA and MINUSTAH not clear

13 Interviews, including with local authorities

14 The French equivalent for IASC, the Inter-Agency Standing Committee, is CPIO, Comité Permanent Inter-Organisations. Since in Haiti the abbreviation CPIO is better known than IASC, the following text will always give both abbreviations.

15 At the time of the evaluation, nine NGOs participate in the IASC/CPIO as “representatives” of the NGO community.

16 DPKO/DSF (2008): 69

integrated missions and cluster members in cases of conflict between the mission's approach and the cluster's approach are not clear. These factors further complicate international coordination in Haiti (cf. Chapter 5.7).¹⁷

- 21 Humanitarian actors in Haiti have recognized the need to clarify the purpose and composition of the various meetings. Some vocal international NGOs and the new Head of OCHA are pushing for a clarification and review of the respective terms of reference and constituencies. Also, OCHA is currently carrying out an inventory of all existing coordination mechanisms to gain a clearer view on how to better implement the cluster approach within the existing coordination system in Haiti.¹⁸ However, current efforts to delineate roles and responsibilities focus too much on operational questions and MINUSTAH's logistical role in disaster response to really solve the issue. The final division of labor between OCHA and HDCS will depend both on operational and political will to allow OCHA to pursue its coordination mandate by clearly backing this with the necessary resources and capacities.¹⁹

First attempts to consolidate coordination

3.4 Cluster Coordination in Haiti

- 22 The cluster approach was formally introduced in Haiti in August 2006, before OCHA had a presence in-country and before the IASC/CPIO Country Team and the relevant sectors/clusters were established. However, since Haiti is not in a chronic humanitarian situation but affected by reoccurring sudden-onset natural disasters, clusters were not activated before 2008.
- 23 According to the very scarce information available for that time, confusion and skepticism among humanitarians and donors alike followed the introduction of the cluster approach.²⁰ While some clusters started meeting to prepare for the hurricane season in summer 2008, they were formally activated by the IASC/CPIO Haiti in September 2008 in response to the devastating series of storms. The clusters were activated in Port-au-Prince (capital level) and Gonaïves (local level), a city in Haiti's Province Artibonite particularly badly affected by the storms.

Activation of clusters

17 See section 5.7 of this report for an analysis of the relationship between the cluster approach and MINUSTAH. Interviews, participation in coordination meetings, documentation, MINUSTAH/ HDCS (2009a); Communauté internationale en Haïti (2009; SNGRD (2008):

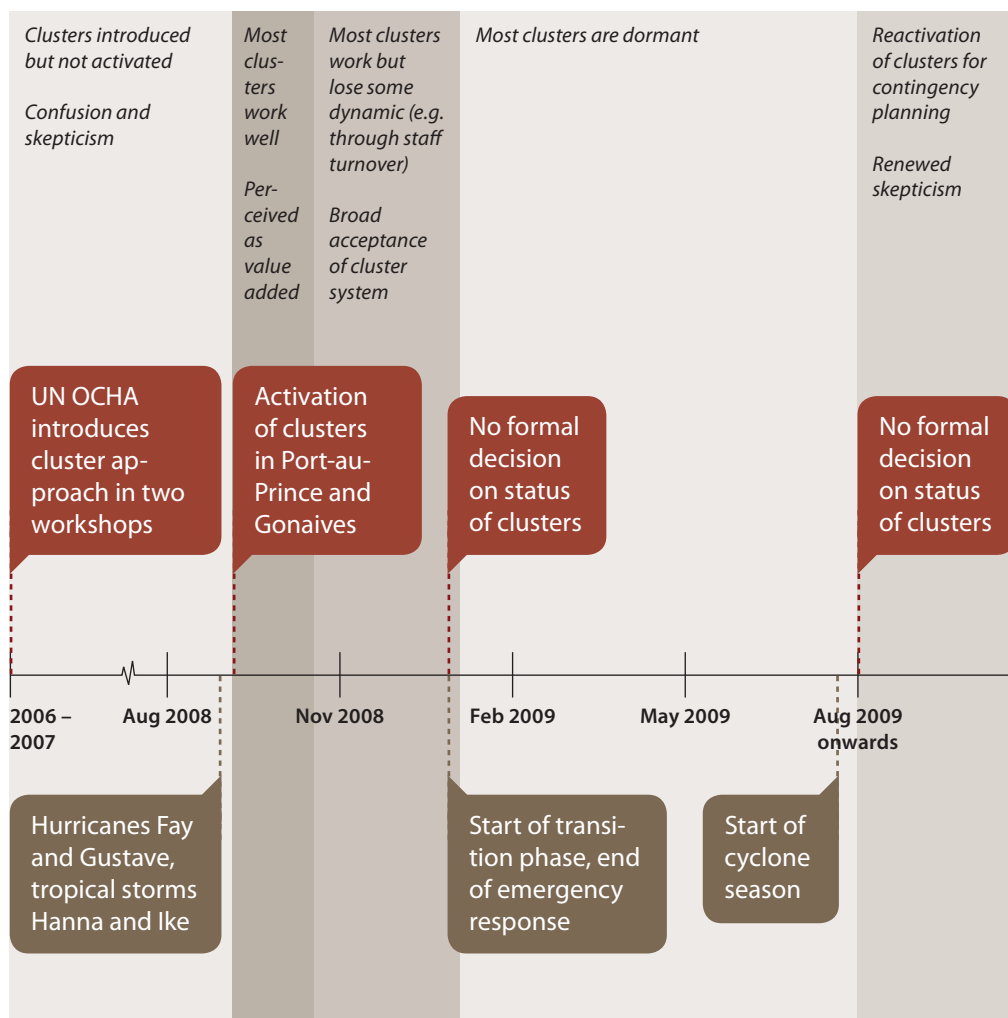
18 Interviews

19 United Nations (2009a); United Nations (2009b); MINUSTAH / HDCS (2009b) Call; Ch. T. (2009); interviews

20 Interviews, including with national staff; UN OCHA (2008b); OCHA (2007A); OCHA (2008c); OCHA (2009b); www.humanitarianreform.org/humanitarianreform/.../Haiti/Haiti%20diagnostic%20tool.doc, accessed 29/12/2009.

Illustration 2

Timeline of events and cluster system dynamics

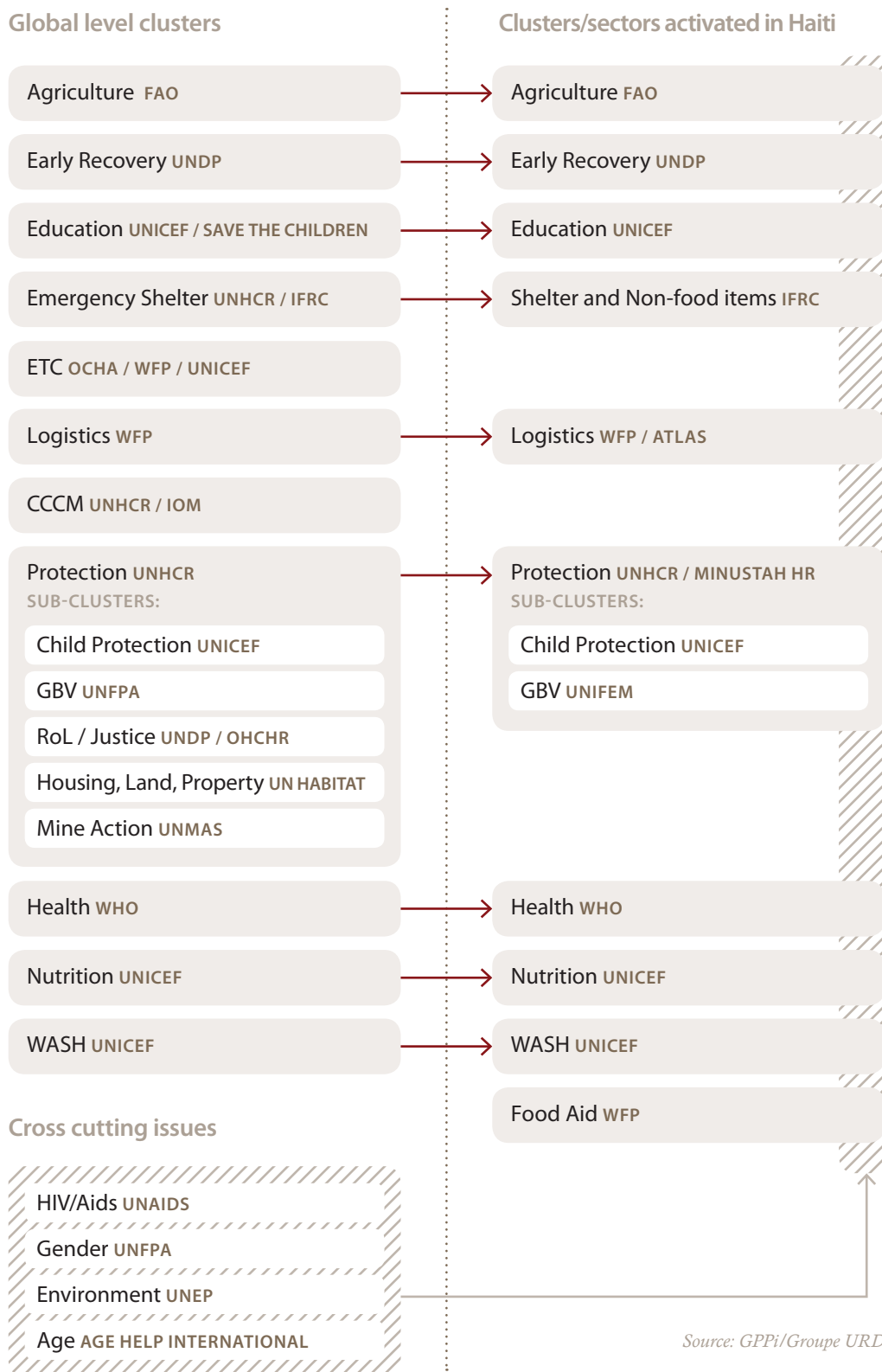


Source: GPPi/Groupe URD

- 24 Successively, the following clusters were activated: Agriculture (FAO),²¹ Education (UNICEF), Early Recovery (UNDP), Food Assistance (WFP), Health (WHO/PAHO), Logistics (WFP), Nutrition (UNICEF), Protection (HDCS/OHCHR), Shelter and Non-Food Items (IOM), WASH (UNICEF).

21 The agencies named in brackets are the cluster lead agencies.

Illustration 3 Global clusters/cross-cutting issues and clusters/sectors activated in Haiti



25 Cluster coordination was implemented through regular cluster meetings in Port-au-Prince and in Gonaïves. In Port-au-Prince meetings were usually held on a weekly basis, decreasing in frequency after the end of the emergency (from January/February 2009 onwards). In Gonaïves meetings during the peak of the emergency were held daily, later on a weekly basis and irregularly after the end of the emergency. Additionally, there were weekly inter-cluster meetings on both levels. During the response, inter-cluster meetings in Gonaïves were held daily. The clusters were not formally related to any of the existing coordination mechanisms. Since the MINUSTAH compound was literally the only intact building, the mission hosted most humanitarian actors. Living and working together on the compound facilitated informal inter-cluster coordination.

Clusters not linked to other coordination mechanisms

4 Findings

- 26 This chapter summarizes the evaluation results of the overall performance of the cluster system in Haiti. Following the logic model for the cluster approach developed in the Phase Two Cluster Evaluation Framework,²² the chapter addresses global support for clusters, predictable leadership, partnership and cohesiveness, accountability, gaps filled and greater coverage, ownership and connectedness, as well as interactions with other pillars of humanitarian reform.
- 27 Each sub-section first describes what the cluster approach was intended to achieve. It then outlines the main achievements and progress made, followed by a discussion of the main problems and areas for improvement. An assessment of the performance of the individual clusters in Haiti along 19 indicators can be found in Annex 1.

Structure of the chapter

4.1 Global level support: global clusters and the IASC

- 28 Under humanitarian reform, global clusters are intended to strengthen system-wide preparedness and technical capacity and support humanitarian response by developing standards and policies, building response capacity and providing operational support.²³ Through global cluster appeals, over \$57 million was raised to finance the activities of global clusters between 2006 and 2008.
- 29 Generally, global support varies substantially among the various clusters but overall, humanitarian actors in Haiti felt they had received little support from global clusters and the global IASC. Cluster coordinators were generally more positive about global level support than cluster members. However, the real level of global support to the clusters in Haiti was hard to evaluate, since in most cases neither interviewees nor available documents could help to attribute received support to its source. This attribution gap is partly related to the fact that cluster coordinators communicated with their agency's desk officers, who in turn might or might not have communicated with the global clusters.

Attribution gap

Main achievements and progress made

- 30 Global cluster lead agencies provided support in clarifying the roles and responsibilities of the national cluster leads in cases where lead responsibility was unclear at the activation of clusters (e.g. Protection and Shelter).²⁴ The training of cluster coordinators proved to be particularly helpful. Trained cluster coordinators were reported to have clearly passed the message to cluster members about the

Clarification of roles and responsibilities

22 Cf. Alexander, J. (2009)

23 Cf. IASC (2006a): 4

24 Interviews

cluster approach's purpose and functioning. Furthermore, cluster meetings and activities facilitated by trained cluster coordinators appeared better organized than those facilitated by coordinators without training. Some cluster coordinators were surge capacity which helped lead agencies meet their responsibilities. At the same time staff turnover increased and staff often lacked contextual knowledge.²⁵The Logistics, Shelter, and WASH clusters stood out as examples with relatively high levels of global support. This included training, technical surge capacity (e.g. shelter experts) and guidance (e.g. terms of reference, short presentation of the global cluster, handbooks). Also, the cluster coordinators of these clusters were in-country during the entire emergency response and afterwards. The global logistics cluster provided a self-assessment tool for the cluster coordinator that also included all relevant IASC guidance notes, etc. Such a tool seems particularly helpful in mitigating the impact of staff turnover of cluster coordinators.²⁶

Global training of cluster coordinators

Good Practice: No staff rotation on the cluster coordinator position during and in the direct aftermath of the emergency

Good Practice: Self-assessment tool for cluster coordinators

Main problems and areas for improvement

- 31 Guidance from the global level on the setup and working of the cluster approach seemed particularly weak. Confusion about the cluster approach was reported to be high before the emergency and some cluster members, including NGOs that participate in or even co-lead global clusters, are still unclear about the approach today. The IASC Guidance Note and Operational Orientation were probably distributed within the country team before the emergency but most interviewees were unaware of the existence of these and similar documents.²⁷
- 32 Health and Agriculture²⁸ were clusters with a particular low level of global cluster support, the effects of which were still observable at the time of the evaluation mission. For example, in both cases the cluster coordinators were not aware of the cluster's terms of reference. In the case of the Agriculture Cluster the cluster coordinator was not even aware of or properly informed about the purpose of the cluster approach. Staff turnover is particularly difficult in this context. Individual examples, e.g. from the Health Cluster, indicated that cluster information could be handed on from the first to the second cluster coordinator but was likely to get lost during additional staff turnover, especially if the hand-over period took place within a time of little cluster activity.²⁹
- 33 Cluster coordinators and cluster members did not actively seek global level support.

High level of confusion about cluster approach

25 Interviews; cluster documentation; participation in cluster meetings

26 Interviews; cluster documentation; Global Logistics Cluster: Cluster Approach Self-Assessment,

27 Interviews; cluster documentation (that most of the time did not include a cluster TOR or a up-to-date cluster strategy); OCHA (2008b), OCHA (2007A), OCHA (2008c), OCHA (2009b)

28 Note that the global Agriculture cluster was launched much later than the other clusters and was not included in the global appeals.

29 Interviews; cluster documentation

4.2 The role of OCHA

³⁴ Within the United Nations architecture, OCHA has the main responsibility for humanitarian coordination. In the context of the cluster approach, OCHA's role has been poorly defined, though it and the Humanitarian Coordinators are customarily responsible for inter-cluster coordination. Effective inter-cluster coordination is necessary to ensure that multidisciplinary issues that cannot be tackled by individual clusters alone are addressed appropriately and that inter-cluster duplications and gaps are eliminated.³⁰

³⁵ Overall, the evaluation found that OCHA's role is crucial for the successful introduction and functioning of the cluster approach. With two fulltime staff, the capacities of OCHA Haiti were too limited at the time to properly meet the task. In Haiti OCHA was involved in the following coordination tasks:

- Information management;
- Setup of a coordination framework (purpose and constituencies of different coordination meetings; rules for activation and deactivation of clusters, etc.);
- Inter-cluster coordination.

Main achievements and progress made

³⁶ Many interlocutors mentioned that OCHA's presence in Gonaïves during the emergency response was absolutely crucial to ensuring the proper functioning of cluster coordination.³¹ Also, the allocation of roles and responsibilities between cluster lead agencies and OCHA was largely clear.

OCHA is crucial

Main problems and areas for improvement

³⁷ OCHA's humanitarian reform workshops in 2006 and 2007 were of limited effectiveness and thus confusion and initial resistance to the cluster approach were high. OCHA's limited capacity to setup new or reform existing coordination meetings with clearly understandable purposes and constituencies added to the confusion (cf. chapters 4.3 and 4.4).

³⁰ Cf. IASC (2009); IASC (2008b) OCHA (2007b); OCHA strategic plan; draft cluster coordinator terms of reference. In its strategic plan 2010, OCHA states that one of its objectives is to develop a "more rigorous and standardized OCHA approach to supporting inter-cluster coordination", available at <http://ochaonline.un.org/ocha2010/strategicplan.html>, last accessed February 2010.

Interviews: cluster documentation; pa

³¹ Interviews;

- 38 Inter-cluster coordination in particular was found to be weak. This was because instead of coordinating clusters, the meetings resembled inter-agency meetings. Participants reported about the issues and challenges of their individual agencies instead of cluster issues and how these related to the work of other clusters. Also, lead agencies usually addressed inter-cluster topics reactively, not proactively, in cases where the neglect of inter-cluster coordination caused problems. As a result, inter-cluster coordination neglected multidisciplinary questions and cross-cutting issues, which were left to the individual clusters. These sometimes tried to bridge the gap by participating in each other's meetings (e.g. the Shelter and Education cluster coordinators). These attempts were neither effective nor efficient since they were reactive in nature and further increased the amount of time spent in meetings. For example, the Protection and Food Aid Clusters joined forces to address women's needs in food aid distribution only after important problems had been recognized and the Early Recovery Cluster took charge of cleaning the city of Gonaïves, which helped other clusters greatly in taking up their work, but was a rather limited approach to Early Recovery. Weak inter-cluster coordination
- 39 Information management was a very weak point of cluster coordination in Haiti. Once collected, information was poorly managed both within and among clusters. OCHA's "Who does What and Where" was not timely, information got lost and the cluster's institutional memory barely existed. The low quality of information management was partly related to OCHA's stretched capacities during the emergency – the OCHA Office at the time had only two main staff and some administrative support – and partly to a lack of effective approaches and methods. For example, 3W maps and other information sharing templates lacked dates and instructions for using templates were confusing. Weak information management
- 40 Also, OCHA and the Humanitarian Coordinator did not establish clear procedures to activate and deactivate clusters. As a result, most cluster coordinators felt compelled to keep up cluster meetings (albeit less frequently), undermining participation and promoting emergency thinking.³² No clear criteria for (de) activation of clusters

4.3 Predictable leadership

- 41 The cluster approach was designed to improve humanitarian response by clearly designating lead organizations that are expected to coordinate activities, ensure attention to cross-cutting issues and act as providers of last resort for all key sectors.³³

32 Interviews; cluster documentation; participation in a cluster meeting

33 IASC (2006a); IASC (2008)

- 42 The clusters in Haiti saw varying degrees of leadership, with some barely operational (e.g. Agriculture and Protection) and others very vibrant and active in encouraging information exchange and coordination (e.g. Shelter, WASH and Education). Despite this discrepancy, the cluster approach strengthened leadership in Haiti overall through clearly designated cluster leads, active cluster coordinators and committed cluster members. However, there remains room for improvement concerning possible conflicts of interest for lead agencies, leadership for cross-cutting issues and the provider of last resort role.

Strengthened leadership

Main achievements and progress made

- 43 A large majority of humanitarian actors in Haiti subscribe to the notion that leadership improves cooperation. The leadership model that seemed to work best was *primus inter pares*³⁴, understanding the cluster lead role as facilitator and service provider to the cluster rather than as decision-maker. Positive examples were the Logistics, Shelter and WASH clusters.³⁵ On the other hand, regular activities of lead agencies were seldom clearly distinguished from cluster activities. This ambiguity may have undermined the leadership model of *primus inter pares*, with cluster lead agencies treating cluster members simply as implementers. It may also have blurred roles and responsibilities and led to conflicts of interest. Interviews and document analysis show that this occurred in the Early Recovery, Education and Shelter clusters. This risk was mitigated where clusters had a dedicated cluster coordinator.³⁶

Risks of conflict of interest

- 44 The clusters in Haiti had a number of strong, critical but committed members. They contributed to the functioning of the clusters, particularly in those cases where leadership was weak such as in the Protection and Nutrition clusters. The examples show that clearly ascribed responsibilities for cluster lead agencies in combination with strong cluster members suffice for the functioning of the cluster approach. This was because a designated lead agency provided a clear contact point for cluster members to demand improvement of the leader's capacities and capabilities. Of course the lack of leadership in the Nutrition Cluster led to important inefficiencies but the example shows the potential of the cluster approach for institutionalizing coordination activities.

Committed cluster members

Main problems and areas for improvement

- 45 In Haiti, the concept of provider of last resort was interpreted as the lead agencies' responsibility to provide resources to fill gaps – if the lead agencies had the means

Provider of last resort

34 First among peers

35 Interviews; cluster documentation

36 Interviews; cluster documentation; internal evaluations

to do so. Overall, there is very little evidence showing a systematic implementation of the concept. Particularly, additional funds almost never came from the headquarters levels to help address existing gaps. However, there are individual examples in which cluster lead agencies at the country level took financial resources out of their regular program budgets or country-specific emergency lines to fill identified gaps (e.g. UNICEF in Education and Nutrition, UNDP in the Early Recovery, WFP in Food Aid and Logistics³⁷).

46 Also, attention of cluster leads and cluster members to cross-cutting issues such as gender, diversity, age, HIV/AIDS and the environment was utterly insufficient. Only the Health Cluster took up the issue of HIV/AIDS. Cluster strategies and work plans almost never addressed gender (with exception of WASH and Protection) despite identified failures such as the difficulty of targeting women as recipients of food aid, no separated latrines for women and men, etc. The same is true regarding environment (with the exception Early Recovery and WASH). UNEP has only a limited presence and is still trying to boost its role through its “Haiti Initiative” rather than trying to mainstream environmental considerations into the clusters’ work. By contrast, the national contingency plan for the 2009 cyclone season addressed the environment as a cross-cutting issue. This finding was particularly disappointing, given Haiti’s immense environmental problems.³⁸

Insufficient attention to cross-cutting issues

47 Finally, the evaluators observed leadership problems in the Protection Cluster. Since UNHCR is not present in Haiti, the Office of the High Commissioner of Human Rights (OHCHR) took on cluster coordination after much pressure from the Humanitarian Coordinator and the global Protection cluster. However, OHCHR is integrated into the MINUSTAH Human Rights Section (MINUSTAH/HR). As a result, many humanitarian organizations regarded the leadership role of OHCHR in the Protection cluster with skepticism. They feared that the involvement of MINUSTAH in the cluster lead would undermine the impartiality and neutrality of the cluster and its members. This fear is related to MINUSTAH’s mandate to support, for example, the Police Nationale d’Haiti (PNH), which was often itself the source of protection problems (e.g. by expelling internally displaced persons (IDPs) who sheltered in schools after the hurricanes).³⁹ The lack of clear rules regulating the relationship between integrated missions and the cluster approach

Unclear role of MINUSTAH creates leadership problems in the Protection Cluster

37 Due to WFP’s important resources and the structure of the food aid sector, the agency rather acts as provider of first resort than as provider of last resort. Interviews; cluster documentation; Communauté internationale en Haïti (2009), Communauté internationale en Haïti (2008)

38 Interviews, cluster documentation; UNICEF (2008)

39 For 2009, MINUSTAH/ HDCS has been designated Protection Cluster lead. Cf. Communauté internationale en Haïti (2009)

(cf. chapter 4.3) furthered the skepticism. This leadership problem clearly hindered the cluster from working effectively.⁴⁰

4.4 Partnership and Coherence

48 The cluster approach was also intended to strengthen humanitarian response by supporting the work of humanitarian actors as equal partners (as defined in the Principles of Partnership),⁴¹ strengthening the coherence of their policies and activities and ensuring compliance with minimum standards. The clusters were created to enhance partnership and coherence both within and among clusters.

49 Overall, the introduction of the cluster approach in Haiti has strengthened relationships between UN and non-UN organizations. It has eased tensions between the humanitarian community and the government, compared to disaster response in 2004.⁴² The cluster approach has made some progress with respect to coherence without compromising the ability of actors to choose alternative approaches when they feel this is necessary. However, common plans have not been systematically implemented and important actors remain outside the system, including most government services, many national NGOs and the humanitarian donors.

Improved international partnerships

Main achievements and progress made

50 According to the interviewees, the single most important value added by the cluster approach compared to earlier forms of coordination was that it provided a space for information sharing. Information sharing was an important incentive for participating in cluster meetings.⁴³

Improved information sharing

51 Additionally, the clusters in Haiti often took the role of mediator between different stakeholders (NGOs, the government and UN agencies), helping to resolve conflicts and improve communication and relations. For example, the Early Recovery Clusters in Gonaïves helped to resolve conflicts between NGOs and the local authorities with respect to the implementation of cash for work programs. The Shelter and Education Clusters provided space to discuss conflicts between providing shelter for displaced people in schools and the children's right to education.⁴⁴

40 A good example highlighting the dysfunctionality of the Protection Cluster is the fact that despite a lot of input from the cluster coordinator a common strategy could only be finalized several months after the immediate emergency response; MINUSTAH/ HR (2009) , IASC (2008a), OCHA (2008b); MINUSTAH / HDCS (2009b); interviews, cluster documentation

41 These are, according to Global Humanitarian Platform (2006), equality, transparency, results-based approach, responsibility and complementarity. For more details see: <http://www.globalhumanitarianplatform.org/pop.html#pop>, accessed 29/12/2009

42 Interviews, including with national staff and government

43 Interviews

44 Interviews, including with government representatives; cluster documentation; UNDP (2009)

- 52 Furthermore, cluster coordination had a capacity strengthening effect on the participants through technical discussions and the formation of new partnerships, which have reportedly improved operational capacities and access to funding and expertise for cluster participants (particularly small national and international NGOs).⁴⁵

Main problems and areas for improvement

- 53 In September 2009, OCHA started an initiative to further strengthen partnership in the cluster system by nominating NGO or government co-facilitators for all clusters. However, co-facilitation proved to be unpopular among non-UN actors. Neither NGOs nor the government (with some exceptions) wanted to co-facilitate clusters. Reasons for this reluctance included Haiti's still shaky political landscape, fear of exposure to public scrutiny and critique, and the NGOs' worry of decreasing their scope for advocacy vis-à-vis the United Nations.

- 54 Existing evaluations, discussions with stakeholders and the evaluators' short visit to a camp of displaced persons suggest that, despite efforts of the clusters to make shared plans, create common strategies and standards, the implementation of coherent plans, strategies and standards remains a weak point.⁴⁶ On the other hand, the evaluators found some encouraging examples for improved coherence. The Shelter cluster harmonized emergency kits and discussed criteria for beneficiary selection. The Early Recovery Cluster in Gonaïves managed to streamline cash for work rates. The Nutrition Cluster facilitated the adoption of a national nutrition protocol and the Education Cluster improved national standards on education. A number of clusters developed common assessment tools and discussed best practice and methods.⁴⁷

Implementation of common strategies and standards remain weak point

- 55 However, whether actors adapted to a common strategy depended not only on their own will to do so but also on the flexibility of donors to adjust funding schemes to cluster priorities. Closer cooperation between the clusters and donors could also create synergies with respect to information sharing. Cluster members often had to provide the same type of information to the cluster, OCHA and their donors. Yet all those actors used different templates and ways of gathering information, undermining the participants' willingness to share information beyond oral reports during cluster meetings.⁴⁸

Flexibility in donorship needed

45 Interviews including with national NGOs; cluster documentation

46 Interviews; cluster documentation; internal evaluations

47 Interviews; cluster documentation; UNDP (2009)

48 Interviews; cluster and other documents

4.5 Accountability

56 The introduction of the cluster approach was meant to strengthen the accountability of humanitarian response. To assess accountability, the evaluation team analyzed the clarity of roles and responsibilities of cluster lead organizations and their formal accountability to the Humanitarian Coordinator; informal accountability of humanitarian organizations to their peers in fulfilling their responsibilities and adhering to relevant national and international standards; and accountability to affected populations.

57 Accountability has clearly been one of the weakest points of the cluster approach in Haiti. The introduction of the cluster approach did little to improve accountability of cluster leads to the Humanitarian Coordinator, of humanitarian organizations to their peers and of the humanitarian community to affected populations.

Accountability is weak

Main achievements and progress made

58 Nearly all clusters carried out a strengths and weaknesses analysis at the end of the emergency response. This exercise, initiated by OCHA, often entailed an element of accountability of the cluster lead towards the cluster members. There is some evidence that cluster leads have tried to follow up on points made during this exercise.⁴⁹

Good Practice: OCHA asked all clusters to do strengths / weakness analysis

59 The question of whether NGOs should co-facilitate clusters triggered a debate around the concept of “peer accountability.” The concept stipulates that NGOs as cluster co-facilitators should be accountable to their peers, since accountability toward the Humanitarian Coordinator does not apply to organizations outside the UN system. While the evaluators believe that such a concept could be fruitful, mechanisms for implementation are currently lacking.⁵⁰

Peer accountability

Main problems and areas for improvement

60 Since there was no direct interaction between the Humanitarian Coordinator and the cluster leads, the Humanitarian Coordinator depended strongly on information provided by OCHA to hold cluster leads accountable for the performance of their clusters. However, due to OCHA’s weakness during the emergency, the Humanitarian Coordinator lacked information to hold cluster leads accountable. As a result, the failure of some lead agencies to fulfill their role as cluster lead did not have the necessary consequences. For example, UNICEF (particularly

Importance of informal accountability

Weak accountability to the Humanitarian Coordinator

49 Cluster documentation; interviews

50 Interviews, participation in IASC / CIPO meeting

in Nutrition) and FAO in Agriculture did not have capacities and/or technical capabilities to effectively lead their clusters⁵¹

61 With respect to participation by affected populations, the evaluators found no evidence that the introduction of the cluster approach positively contributed to the participation of beneficiaries in the design and implementation of humanitarian response. For example, cluster strategies and/or technical debates did not address possible tools and mechanisms for increased participation by the affected community.⁵²

No promotion of participatory approaches

62 One reason for this disappointing performance could be the cluster approach's focus on formal mechanisms for accountability, which are difficult to implement within a system of diverse and independent actors. Furthermore, formal accountability mechanisms often spawn hierarchical behavior that might undermine the partnership gains achieved. At the same time, the absence of formal and informal accountability mechanisms in Haiti contributed to the difficulty of improving the quality of humanitarian response.

Importance of informal accountability

4.6 Gaps filled and greater coverage

63 The main purpose of the cluster approach is to use coordination to identify and eliminate gaps and duplications and thereby ensure more comprehensive geographic and thematic coverage of humanitarian needs and enhance the quality of support, partly by clearly designating sectoral lead agencies that act as providers of last resort,.

64 Clusters in Haiti have been relatively effective at eliminating duplications. Some clusters also have a common gap analysis but beyond this there is no hard evidence that the cluster approach has significantly extended geographic and thematic coverage or that it has significantly enhanced the quality of assistance.

Duplications avoided, gaps not filled

Main achievements and progress made

65 Cluster meetings, capacity matrices, and Who does What Where exercises within clusters were effective tools for avoiding duplications. In some instances organizations, for example World Vision, diverted their activities to other areas when recognizing duplications during cluster meetings.⁵³

Better gap filling is hampered by...

66 While MINUSTAH provided logistics in the direct aftermath of the disaster, the establishment of an inter-agency fleet through the Logistics Cluster helped to

51 Interviews

52 Interviews; group discussion; cluster documentation

53 Interviews; cluster documentation

overcome the problems of physical access in the short to medium term. The cluster's strategy of prepositioning vehicles, material and tools as part of contingency planning for the 2009 cyclone season may contribute to a more timely response in case of future disasters.⁵⁴

Main problems and areas for improvement

- 67 Some clusters attempted to fill gaps and increase coverage. For example, the Health Cluster integrated additional geographic and thematic coverage as an objective into its strategy. Unfortunately, there was no systematic follow up (e.g. through monitoring of indicators) on goal achievement. Furthermore, UNDP made available an emergency fund to clean up Gonaïves. This fund, they reported, sparked off further commitments by other actors, helping to cover existing gaps.⁵⁵ ... lack of access, limited resources...
- 68 However, better achievements in the area of gap filling and coverage were hampered by limited physical access to the disaster sites (particularly in the first weeks of the emergency), restricted financial resources, difficulties in effectively managing priorities due to a lack of implementation and regular review of the common strategy and a neglect of cross-cutting issues (cf. chapter 5.3). Additionally, the lack of inclusion of the government and donors led to duplications and hampered greater gap filling and coverage because bilateral aid was often not reflected in the clusters (cf. chapter 5.8).⁵⁶ ... problems to manage priorities and neglect of cross-cutting issues
- 69 Finally, humanitarian aid focused on Gonaïves to the detriment of other affected areas. It was only in later stages of the response that vulnerabilities and needs in other areas, e.g. in Jacmel, the Plateau or Port de Paix, were being addressed. Of course, Gonaïves was the hardest-hit area but the clusters in Port-au-Prince should have ensured a national vision to disaster response.⁵⁷ No national vision

4.7 Ownership and connectedness

- 70 A further aim of the cluster approach is to increase ownership and connectedness of humanitarian response by building on local capacities, ensuring appropriate links, coordination and information exchange with national and local authorities, state institutions and civil society organizations. Strong ownership and connectedness facilitate the transition from relief to development and ensure that the achievements

54 Interviews, participation in cluster meeting, cluster documentation

55 Interviews; cluster documentation; Kleitz, O. (2008), UNDP (2009), UNDP (2008), IOM/ DFID/ FAO/ UNDP (2009)

56 Interviews; cluster documentation; OCHA (2008a) <http://ochaonline.un.org/CERFFigures/CountriesreceivingCERFFunds/CountriesreceivingCERFFunds2008/tabid/3698/language/en-US/Default.aspx>, accessed 24/11/2009 and statistics provided by the CERF Secretariat to the Evaluation Team.

57 Interviews, including with local authorities; cluster documentation

of humanitarian actors can be sustained. Connectedness also refers to the link with other relevant actors in the country, for example development actors and peacekeeping forces.⁵⁸

- 71 In striking contrast to the aim of creating ownership, the cluster approach was introduced in a schematic and top-down fashion, neglecting the local context. The evaluators found instances of the cluster approach actively undermining national ownership, e.g. when cluster meetings were held at the same time as government coordination meetings. Additionally, possible synergies and necessary limits of the interaction between the cluster approach and MINUSTAH remain unclear (cf. chapter 4.3). As a result, the link between MINUSTAH and the cluster approach was very weak and posed a number of challenges for the cluster approach.⁵⁹

Clusters introduced in top-down manner

Main achievements and progress made

- 72 Some clusters were able to connect with their governmental counterparts in a timely and efficient way. For example, the Health and Nutrition Clusters linked their activities to the Ministry of Health. This resulted, particularly in the case of the Nutrition Cluster, in a very productive partnership with the ministry's Nutrition department. The partnership helped greatly to elaborate and implement a national nutrition protocol.
- 73 The Humanitarian Coordinator, OCHA and MINUSTAH have recognized the need to clarify the link between cluster coordination and the integrated mission. For example, they have developed the "Operational Arrangement Between the UN Country Team and DPKO Mission in Haiti on Response to Natural Disasters." This agreement clarifies the relationship between the country team and MINUSTAH regarding MINUSTAH's logistics services to the humanitarian community. At the time of the evaluation, the Humanitarian Coordinator and OCHA were also about to install provincial focal points of the Humanitarian Coordinator to allow for civilian humanitarian coordination in provinces, where OCHA is not present. However, besides these country-level efforts, there are currently no doctrines and policies from DPKO, the IASC or OCHA clarifying the relationship between integrated agencies and the cluster approach as well as between OCHA and MINUSTAH in humanitarian coordination. This has led to institutional tensions and duplications of coordination efforts.⁶⁰

Cooperation with the government produces positive results

First attempts to clarify link between the cluster approach and integrated mission

58 Cf. Alexander, J. (2009)

59 Interviews, including with government representatives and national NGOs; cluster documentation; Le Moniteur, Journal Officiel de la République d'Haiti (2009), MINUSTAH/ HDCS (2009a), SNGRD (2008)

60 Interviews; United Nations (2009b); United Nations (2009a); Humanitarian Coordinator (2009); OCHA (2009c)

74 For example, the unclear role of integrated agencies acting as cluster leads undermined participation in the Protection Cluster (cf. chapter 5.3). An example of how the unclearly defined relation between the cluster approach and MINUSTAH can lead to a duplication of coordination efforts is the missing link to the “table approach” (cf. chapter 4). Until OCHA’s arrival in Haiti in 2006, MINUSTAH/HDCS was responsible for humanitarian coordination. With its state-building mandate, MINUSTAH’s coordination efforts were concentrated on strengthening government capacities. In this context MINUSTAH established the table approach. Failure to link the cluster approach to the nascent “table approach” left the important ownership opportunities inherent in the “table approach” untapped. As a result it has undermined the longer-term legitimacy of the clusters, a system perceived by local authorities as entirely dominated by international actors.

Duplication of coordination efforts

Main problems and areas for improvement

75 The cluster approach and the main national disaster response coordination mechanism, the Civil Protection Unit (DPC), are not properly linked (e.g. through institutionalized common meetings on the inter-cluster level), hindering national and international actors from developing a common understanding of the disaster situation. As a result, strategic planning that builds on the comparative advantages of the different actors became impossible. The missing link between the cluster approach and the Government left the question of how to create ownership and ensure connectedness to the individual clusters and their lead agencies. Consequently, lead agencies with traditionally close relationships with host governments have been better placed to connect with local authorities than purely humanitarian agencies. For instance, with WHO and FAO as leads, the Health and Agriculture Clusters closely worked with the government. The Agriculture Cluster discussed technical issues within the framework of the National Commission for Food Security instead of in cluster meetings.

Missing link between cluster approach and the Government

76 At the provincial level, heavy international activity overwhelmed local authorities that were often strongly affected by the disaster themselves. For example, while the only place with proper hosting capacity during the first few weeks of the emergency was the MINUSTAH compound, the humanitarian community failed to successively move coordination meetings back to local authorities. This behavior created unnecessary tensions between local authorities and international humanitarian actors. These tensions notwithstanding, most government representatives interviewed for this report spoke in favor of continuing the cluster approach but claimed more involvement.⁶¹

International activity overwhelmed local authorities

61 Interviews including with local authorities, cluster documentation

77 Financing modalities further undermined the clusters' ability to work with local authorities. For example, UNDP and DINEPA, a newly created governmental mechanism in the sector of Water and Sanitation, commonly created an inventory of destroyed infrastructure. It took two months to elaborate this inventory so emergency funds were no longer available and common implementation became impossible. This created a lot of frustration within the DINEPA.⁶²

Financing modalities
undermine ownership

4.8 Interaction with the other pillars of humanitarian reform

78 The cluster approach was introduced as one of several pillars of humanitarian reform and was intended to complement and strengthen the Humanitarian Coordinator system and reformed funding mechanisms including the Central Emergency Response Fund (CERF), pooled funding mechanisms and innovations to the CAP.

79 In Haiti, the relationship between the cluster approach and the Humanitarian Coordinator as well as humanitarian financing has been loose. The role of the Humanitarian Coordinator in the cluster approach is particularly important in an integrated mission because he/she needs to contribute to a clarification of roles and responsibilities between the cluster approach and the integrated mission. Haiti had no Consolidated Appeals Process (CAP) and no Common Humanitarian Funds (CHF). It had two Flash Appeals and received CERF grants. CERF contributions in 2008 totaled \$16,030,104.⁶³

Loose link between cluster
approach and other pillars of
humanitarian reform

Main achievements and progress made

80 The triple-hatting of Humanitarian Coordinator, Resident Coordinator and Deputy Special Representative of the Secretary General (DSRSG) in an integrated mission makes the Humanitarian Coordinator responsible for mitigating possible conflicts between humanitarian and military approaches to disaster response and protecting humanitarian space. In conflicts between the cluster system and MINUSTAH, the Humanitarian Coordinator was said to have supported the cluster approach. However, he did not actively contribute to a strategic clarification of roles and responsibilities.⁶⁴

Humanitarian Coordinator
crucial in integrated
missions

Main problems and areas for improvement

81 No evidence could be found that cluster coordination itself contributed positively to fundraising activities. The cluster approach in Haiti did not help improve

62 Interviews, including with local authorities and local NGOs; cluster documentation

63 The first Flash Appeal (September 2008) only achieved 40% funding and was thus followed by a revised Appeal in December. OCHA (2008a); statistics provided by the CERF Secretariat to the Evaluation Team

64 Interviews

transparency or the promptness of humanitarian funding. For example, while clusters commonly planned and submitted project proposals for the CERF, the process after the proposal stage was completely nontransparent for implementing partners. Furthermore, CERF funding to partner organizations was reported to be significantly delayed. Since the CERF statistics state that funds for Haiti had an average delay of 24 days between official submission and disbursement, it seems that the receiving UN agencies had significant issues channeling the funds in a timely manner.⁶⁵

Financing mechanisms not transparent and disbursement slow

- 82 Some bilateral donors in Haiti have provided support and benefited from the cluster approach. The European Commission's Humanitarian Aid Department (DG ECHO), for example, consulted with the clusters in developing its own funding appeal (global plan for Haiti) and required those submitting funding proposals to state how they coordinate their activities with other organizations. Other bilateral donors, however, did not link their funding decisions to the cluster processes, particularly with respect to food aid. There is currently a double system for food aid in Haiti: one under the WFP-led Food Aid Cluster and one under USAID, where only USAID-funded agencies meet, with WFP as an observer. This type of situation can undermine coordination efforts, as funded projects may overlap and funding recipients may not be given sufficient flexibility to reorient their programming once duplications have been identified and gaps prioritized.⁶⁶

Risk that bilateral aid weakens cluster approach

4.9 Effects on the well-being of affected populations

- 83 The ultimate goal of the cluster approach is to help the well-being and dignity of the affected population. It was very difficult to find evidence for positive or negative effects of the cluster approach on the population in DRC. This was because trends in available data on the well-being of beneficiaries were not attributable to the cluster approach.
- 84 In the case of Haiti, it was impossible to reliably evaluate direct effects of the cluster approach on the affected population. The evaluation mission took place nearly a year after the emergency and the related response. During the evaluation mission, most clusters were in a dormant status and staff turnover had left little institutional memory. Affected populations were mainly back in their daily lives and could not be consulted systematically for the purpose of this country study. Also, available data did not help to conclusively determine whether the cluster approach had a positive or negative effect on the well-being of beneficiaries.

No data to determine effect on affected population

65 <http://ochaonline.un.org/CERFFigures/CountriesreceivingCERFfunds/CountriesreceivingCERFfunds2008/tabid/3698/language/en-US/Default.aspx>, accessed 24/11/2009 and statistics provided by the CERF Secretariat to the Evaluation Team; Interviews; cluster and other documentation

66 Interviews

5 Conclusions

85 Based on the previous analysis of coordination challenges in Haiti and the results of coordination through the cluster approach, this section summarizes the effects the cluster approach on the quality of humanitarian response, its added value and whether these outcomes have justified investments made in the cluster approach. Subsequently, the conclusion discusses the logical model that has been proposed by the Evaluation Framework.⁶⁷

Added value and factors hindering further success of the cluster approach

86 The assessment shows that the cluster approach created the necessary conditions to improve the quality of humanitarian response. However, the results are mixed whether these conditions indeed translated into better humanitarian response.

87 The cluster approach helped improve coordination in comparison to the response in 2004 in terms of:

- Clear roles and responsibilities of cluster leads for sectoral coordination through information exchange and meeting facilitation;
- Better participation and increased engagement of a wide range of international humanitarian actors;
- Enhanced opportunities for exchanging information, experiences and materials on technical questions, sometimes leading to the definition of harmonized approaches;
- The strengthening of common planning mechanisms, which reduces duplications and helps identify gaps;
- Improved communication within clusters;
- Ease of tensions between international NGOs and the government; and
- Examples of the development of common standards adapted to the local context.

67 Alexander, J (2009): Phase Two Cluster Evaluation Framework, available at http://www.gppi.net/fileadmin/gppi/Phase_II_Cluster_Evaluation_Framework.pdf, accessed 29 Dec. 2009

- 88 The clean-up of Gonaïves, coordinated through the Early Recovery Cluster, is an example that shows how well-coordinated activities can enhance the timeliness of humanitarian response. Due to common contributions by the cluster lead, cluster members and the government, the city was cleaned up “in record time,”⁶⁸ which allowed the humanitarian actors to start working quickly. Also, cluster coordination had a capacity-strengthening effect, particularly for smaller (sometimes national) NGOs.
- 89 On the other hand, there was also evidence that the cluster approach did not have the desired results and even had unintended negative effects. As shown in chapter 5, there is little evidence indicating that the commonly developed standards were systematically implemented or that they contributed positively to the quality of humanitarian services. On the contrary, random site visits showed that standards, for example with respect to camp construction, latrine building and the construction of school buildings, were not implemented. The poor results with respect to gender, the environment and the reactive instead of systematic approach to the integration of multisectoral issues were particularly disappointing. Better mainstreaming of these three dimensions could have contributed substantially to improving the quality of humanitarian response. Moreover, the evaluators found evidence that the cluster approach undermined local capacity and ownership by bypassing local authorities in the organization and implementation of response operations.
- 90 Particularly the following factors hindered the cluster approach from realizing its full potential for improving humanitarian assistance in Haiti:
- The creation of parallel coordination structures to those put in place by the government and the insufficient adaptation of the global approach to local circumstances. This reduces government ownership, at times undermines national capacity, hinders effective hand-over and decreases the likelihood that achievements made by the cluster approach will be sustained,
 - The unclear relationship between MINUSTAH and the cluster approach, particularly with respect to humanitarian coordination and protection,
 - The limited capacity of the OCHA Haiti – especially during the emergency;
 - The disconnect between the cluster approach and donor mechanisms, which undermines the importance of cluster decisions if cluster members cannot adapt their programming due to donor inflexibility;

68 UNDP (2009); interviews, cluster documentation

- The unclear procedures when to activate and deactivate the cluster approach in relation to the seasonality of natural disasters in Haiti;
- Technical shortcomings such as the insufficient consideration of cross-cutting issues, too little engagement in joint, harmonized or shared needs assessments; knowledge and information management problems; the lack of systematic monitoring and follow-up to cluster work plans and action points agreed in meetings, etc.

Have the outcomes justified the investment made?

- 91 As discussed above, little support by global clusters was visible in Haiti at the time of the evaluation, yet the majority of resources dedicated to the cluster approach were invested at global level. From the local and country perspective, the results do not, therefore, fully justify the investments made at the global level.
- 92 At the local and country level, the single most important investment in the cluster approach is staff time, including that of the cluster coordinator and cluster members. This investment was consistently described as very high by all participants. The level of investment by cluster lead agencies varied considerably, with some employing a fulltime dedicated coordinator, whereas others added the cluster coordination to an existing position. Cluster members invested considerable staff time into coordination, especially as the same individual often represented an organization in several clusters and at several meetings (IASC/CPIO, Humanitarian and Development Forum, etc.).
- 93 As the analysis showed, positive results of the cluster approach, particularly in the field of leadership and partnership and that most of the identified shortcomings can be fixed, the evaluators believe that the benefits slightly outweighed the costs of the cluster approach. There are important indicators that most humanitarian organizations also deemed the effort worthwhile: First, attendance in most clusters was high, especially during the acute emergency. Second, most interviewees preferred the cluster approach to earlier forms of coordination in Haiti. Third, most cluster members were willing to continue cluster coordination even outside/between emergencies. Finally, even representatives generally supported the cluster approach. On the other hand, the rapid loss of information and institutional memory in the clusters in Haiti give reasons to worry that the investments made in the cluster approach on the country level might be inflationary and thus very expensive. Better information and knowledge management mechanisms are thus needed to keep the investment worthwhile.
- 94 A concerted effort by the IASC/CPIO country team, OCHA, and the new Humanitarian Coordinator, considering best practices from other cluster countries

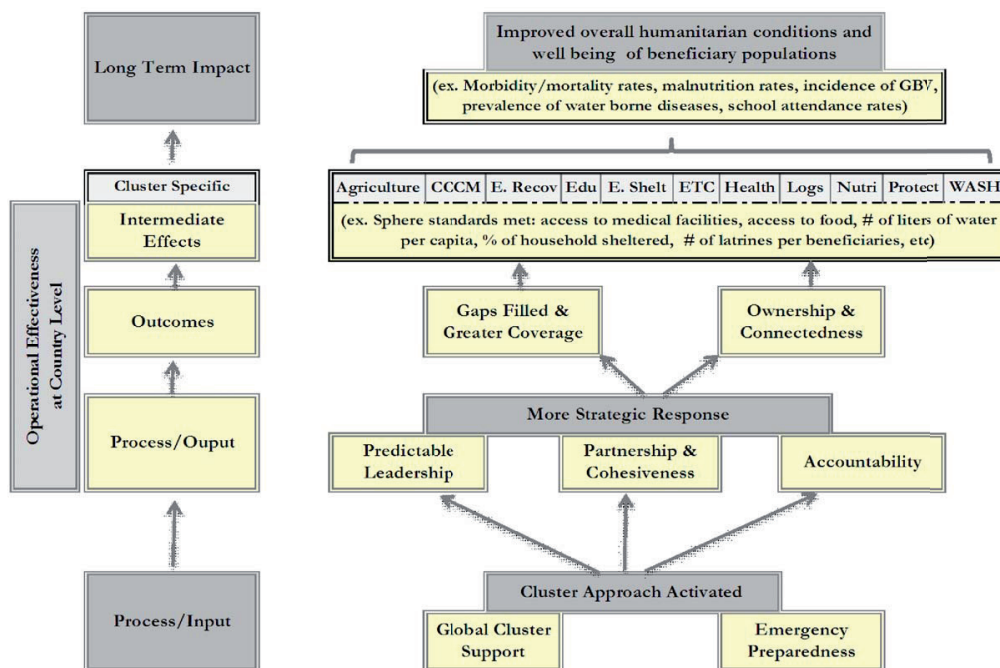
and currently developed guidance from the global IASC and the global clusters, can help the cluster approach make important steps from better coordinated humanitarian assistance to better humanitarian assistance.

Validation of the logic model

- 95 The country study in Haiti raises several questions regarding the logic model that underlies this evaluation (reproduced as illustration 4). First, the logic model has internal tensions, most notably between enhancing partnership and strengthening (hierarchical) accountability. Second, the causal link between “process / outputs” and “outcomes” is unclear and at the very least the elements translating e.g. stronger partnership into increased coverage, gap filling or ownership and connectedness are not spelled out clearly enough. For many, outputs including partnership and, to a lesser extent, accountability, are objectives in their own right and do not necessarily have a direct link to coverage and ownership. Third, the causal link between the inputs and outputs of the cluster approach and the outcome of ownership is questionable, since most inputs and outputs focus on international humanitarian actors. Available evidence in Haiti suggests that the introduction of the cluster approach has the potential to weaken national ownership unless it makes a conscious effort to counteract this effect. Finally, the results of this country study clearly show that better coordination (in terms of both outputs and outcomes) does not automatically lead to better humanitarian assistance (effects on the quality of the response and the well-being of the affected population). Rather, better coordination is a necessary but insufficient condition for better humanitarian services and improved well-being of the affected population. On the other hand, the results of the analysis in Haiti show a correlation between important levels of funding as well as global cluster support (particularly in form of trained and dedicated cluster coordinators) and good functioning of clusters in country. Examples are the Logistics, WASH and Shelter / NFI clusters.

Illustration 4

The logic model of the cluster approach



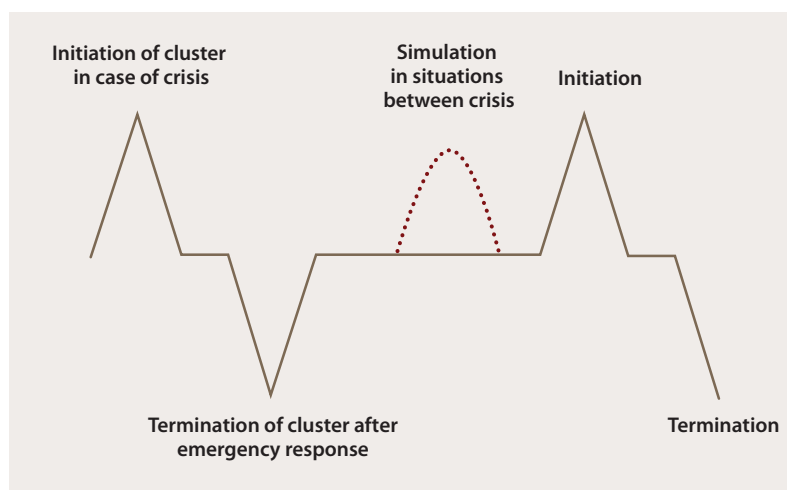
Source: Alexander 2009

6 Recommendations

6.1 Strengthen and harmonize the coordination framework

- 96 Restructure and limit the nature and number of meetings by defining a clear purpose, setup clear terms of reference and appoint constituencies for cluster-related meetings on the basis of IASC guidance notes. Cluster-related meetings should be introduced only if there is not already an equivalent forum. If a specific forum already exists (e.g. information meeting), integrate the cluster approach into it instead of replacing/creating parallel structures.
» **Humanitarian Coordinator, IASC/CPIO, OCHA**
- 97 Develop a clear concept on how to integrate the cluster approach and the “table approach”. Clusters and “tables de concertation/ tables sectorielles” must have a compatible design. Clusters should support the national coordination system and replace it only where local assistance is strongly politicized. This would help to increase ownership and connectedness to developmental topics.
» **Humanitarian Coordinator, OCHA, IASC/CPIO, MINUSTAH, Government of Haiti, Clusters**
- 98 Establish closer links between the cluster approach and humanitarian financing to allow for the implementation of common cluster strategies. Particularly operational agencies should mitigate the risk through dedicated cluster coordinators. Ensure transparency of processes and learn from the experiences of other countries about linking cluster coordination and humanitarian financing, e.g. DRC, the oPt, Uganda
» **Humanitarian Coordinator, IASC/CPIO, OCHA, cluster leads, donors**
- 99 The information and knowledge management systems need to include all relevant actors and address specific information needs before, during and after the emergency, including a cluster “starter kit” and a well-maintained website based on technology that allows interaction (web 2.0).
» **OCHA, Government of Haiti, cluster leads, cluster members, donors**
- 100 In a country with sudden-onset emergencies, clear criteria are needed to activate and deactivate clusters. To avoid confusion and ensure the smooth activation of clusters in emergencies there should be regular simulation exercises between the cyclone seasons (see illustration 5).
» **Humanitarian Coordinator, Government of Haiti, IASC/CPIO, OCHA**

Illustration 5 use “Phases of cluster activation and deactivation



(Source: GPPi/ Group URD)

6.2 Make the cluster approach more inclusive

- 101 Reach out actively to local NGOs. Systematically assess what hinders local NGOs from participating in cluster coordination and address these obstacles.
» **Cluster leads, international NGOs, donors**
- 102 Develop a strategy how to involve other important but non-humanitarian stakeholders while preserving the clusters' space for open debate and information exchange. Actively reach out to international donors and MINUSTAH to coordinate with these important actors. However, they should be included on a case-by-case basis, not in cluster coordination per se. Non-humanitarian actors should not become cluster (co-)lead.
» **Humanitarian Coordinator, IASC/CPIO, OCHA**
- 103 Facilitate the link between the cluster approach and integrated missions, particularly by clarifying the obligations of cluster lead agencies vis-à-vis the mission and vis-à-vis cluster members and the division of labor regarding humanitarian coordination. Develop a strategy on the role of MINUSTAH in the Protection Cluster.
» **IASC, OCHA, DPKO, DPA, UN member states, Humanitarian Coordinator, global Protection Cluster**

6.3 Mainstream cross-cutting issues into the cluster approach

¹⁰⁴ Ensure the systematic inclusion of cross-cutting issues into the cluster approach. To do so, identify humanitarian gender and environment focal points within the country team.⁶⁹ These focal points need to be trained to serve as inter-cluster advisors via OCHA during the emergency. In Haiti, they should ideally be placed in the field to provide practical advice. After the end of the emergency response they should return to their normal duty station. If such focal points are not available or in order to train them, the country team should consider the deployment of GenCap Advisors or environmental advisors from the global level.

» **Humanitarian Coordinator, IASC/CPIO, OCHA, cluster lead agencies**

¹⁰⁵ All cluster lead agencies need to take leadership on the inclusion of cross-cutting issues into the cluster approach.

» **Cluster leads**

6.4 Toward greater coverage

¹⁰⁶ Improve the provider of last resort role by creating country-specific emergency budget lines.

» **Cluster leads**

¹⁰⁷ Improve prioritization of needs and activities through cluster coordination, e.g. by including management of priorities into cluster coordinator trainings of cluster coordinators. In the absence of a CAP process, OCHA Haiti should set up a process that helps individual clusters and the entire country team to set common priorities including inter-cluster and cross-cutting issues. On the level of individual clusters, work plans and strategies should focus on concrete, contextualized and operational goals.

» **Global clusters, OCHA, cluster coordinators**

¹⁰⁸ Make the cluster approach more inclusive and mainstream cross-cutting issues.

⁶⁹ These focal points are not necessarily the agency focal points for gender, who are often no experts in humanitarian assistance. It is important that the identified focal points will have an appropriate level of technical humanitarian expertise, seniority and an interest in gender issues. If necessary they can acquire additional gender expertise through the cooperation with the GenCap Project.

6.5 Make accountability a central element of the cluster approach

- 109 Improve peer accountability mechanisms within clusters and on the inter-cluster level through regular presentation and discussion of projects, monitoring of common indicators, common site visits and thematic discussions, after-action reviews etc.
» **Cluster coordinators, cluster members, OCHA**
- 110 Clusters need to promote participatory approaches through sharing of good practice. They should include affected populations to validate work plans and identified priorities.
» **Cluster members, cluster coordinator**
- 111 Establish closer links between the Humanitarian Coordinator and the cluster approach through regular meetings between cluster leads and the Humanitarian Coordinator. Humanitarian Coordinators depend on proper information about cluster performance in order to hold cluster leads accountable. It is OCHA's role, acting as facilitator for the Humanitarian Coordinator, to collect and communicate this information. OCHA country offices need guidance (e.g. sharing of good practices) to fulfill this role properly.
» **Humanitarian Coordinator, cluster leads, IASC, OCHA**

6.6 Strengthen support for operations

- 112 Strengthen OCHA's capacities in-country to allow the Office to facilitate the functioning of the cluster approach
» **OCHA NY, donors**
- 113 Continue and enhance training for cluster coordinators. Depending on resources and capacities, OCHA Haiti might also play a role in forming cluster coordinators (e.g. through workshops on information management, meeting facilitation, use of existing templates, etc.) at the country level.
» **Global clusters, OCHA, donors**
- 114 Ensure that cluster coordinators are deployed for at least 6 months
» **Cluster lead agencies at global level**
- 115 The global clusters should update their cluster-specific guidelines with information on how to respond to urban crises.
» **Global clusters**

Annex 1

Overview of performance of individual clusters

- ¹¹⁴ This Annex provides a brief portrait of each cluster in Haiti. Performance is measured against a set of indicators based on the logic model developed in the Phase Two Cluster Evaluation Framework and refined in the Inception report of the evaluation (listed at the end of this annex).⁷⁰ The indicators are qualitative and have numerical scales (0 to 3), leading to the portraits presented below.
- ¹¹⁵ The judgment for each indicator is based on extensive review of documentation (meeting minutes, cluster strategies, cluster reports, etc.) and interviews conducted during the evaluation mission to Haiti. Each evaluator independently judged the respective clusters on this data basis. If there were differences, these were discussed among the two evaluators to find a common scoring. The following cluster portraits thus reflect tendencies and are not equivalent to cluster-specific evaluations. Rather, the scales are used to present complex and detailed information in a compact way through figures and illustrations.

70 Alexander (2009); Steets et.al. (2009)

Agriculture

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	<input type="text"/>
2	Extent of additional thematic coverage	<input type="text"/>
3	Attention to differentiated needs	<input type="text"/>
4	Involvement of appropriate national actors	<input type="text"/>
5	Hand over and exit strategies	<input type="text"/>
6	Interaction of cluster with HC system	<input type="text"/>
7	Interaction of cluster with financial pillar	<input type="text"/>
8	Implementation of leadership responsibilities	<input type="text"/>
9	Implementation of provider of last resort	<input type="text"/>
10	Relationships among cluster (non-)members	<input type="text"/>
11	Relationships between clusters	<input type="text"/>
12	Quality of information sharing	<input type="text"/>
13	Cohesiveness of policies and activities	<input type="text"/>
14	Compliance with relevant standards	<input type="text"/>
15	Participation of affected population	<input type="text"/>
16	Accountability to HC & among members	<input type="text"/>
17	Meeting needs of humanitarian actors	<input type="text"/>
18	Quality and level of global cluster support	<input type="text"/>

The Agriculture Cluster, led by FAO, was highly dysfunctional. The organization and the cluster coordinator, who had neither specific time dedicated for this task nor any information on the cluster approach, were already at the limits of their capacities with project implementation. Cluster coordination was thus limited to convening meetings and producing short meeting minutes. Additionally, the number of partners in the area of emergency agriculture was limited and their coordination took place instead in the context of the National Framework for Food Aid. In the context of contingency planning for the 2009 cyclone season OCHA suggested merging the Food Aid and Agriculture Clusters to a Food Security Cluster under a WFP / FAO co-leadership. This claim was at the time of the evaluation mission met by resistance from WFP Haiti. The Flash Appeal covered 38% of the required funds. CERF allocations for the Agriculture Cluster were mainly linked to the food price crises in early 2008. Only \$546,877 was allocated to the disaster response in August/September.⁷¹

71 OCHA (2008a): Table D, statistics provided by the CERF Secretariat to the Evaluation Team, interviews

Early Recovery

Indicator scales


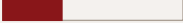



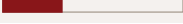











Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Early Recovery Cluster, led by UNDP, was highly esteemed by all actors interviewed in Haiti. Many used the expression “Cleaning the City Cluster” to describe the cluster’s purpose. The cluster worked closely with national authorities, the ILO and other clusters in Gonaïves in order to rid of the mud masses that made the city inaccessible after the devastating series of cyclones and tropical storms. This activity was effective and perceived as a service to the entire humanitarian community. In this context, the Early Recovery Cluster also helped to harmonize cash for work rates in Gonaïves. However, it is important to note that besides the creation of short-term high intensity labor in the city, the activity of city cleaning is not entirely an activity that falls under “early recovery”. This strategic shortcoming of the Early Recovery Cluster could be seen outside Gonaïves and the immediate emergency response where the Cluster was looking – thus far rather unsuccessfully – for a *raison d’être*. The Early Recovery Cluster had a 14% Flash Appeal coverage but received important bilateral funding during the immediate emergency. The cluster lead reported, however, that funding ceased directly after the immediate response, rendering early recovery type activities very difficult.⁷²

⁷² OCHA (2008a): Table D: Requirements,; statistics provided by the CERF Secretariat to the Evaluation Team, interviews; cluster documentation, UNDP (2008), UNDP (2009)

Education

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	NOT ENOUGH DATA
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Education Cluster was one of the most active clusters in Haiti during the emergency response. Since many schools hosted families that had become homeless in the disaster, the Education Cluster was important helping balance shelter needs and the children's right to education. In this context, the Education Cluster tried to find solutions with the Shelter Cluster through inter-cluster coordination. The Education Cluster worked closely with national and local authorities, also attracting a number of local civil society organizations. It was innovative (e.g. cash support for school fees) and followed up these innovations with evaluations. Outside the disaster response, the Education Cluster held workshops to inform national actors about the INEE standards. At the same time, the Education Cluster was one of those clusters where cluster work and lead agency work were hard to distinguish. Some partners felt that one could participate in the Education Cluster only as a partner of UNICEF. The Education Cluster was heavily underfunded with 14% coverage through the Flash Appeal and an additional \$200,625 of CERF funds. UNICEF acted also as provider of last resort and contributed some funds from their normal program budget to the disaster response.⁷³

⁷³ OCHA(2008a): Table D; statistics provided by the CERF Secretariat to the Evaluation Team, interviews; cluster documentation

Food Aid

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	N/A

The Food Aid Cluster, led by WFP, was also highly active. The cluster was well organized, characterized by a high level of cohesiveness of policies and activities and a highly committed cluster lead who acted as provider of last resort. This last point was, of course, also linked to the level of funding available to WFP. 92% of funds requested were covered by the Flash Appeal and an additional \$1,310,438 was provided by the CERF. However, the Food Aid Cluster also faced some important challenges. First, aid distribution in the urban context of Gonaïves proved difficult, with high levels of violence, long waiting lines starting in early morning hours when it was still dark - putting women and girls at risk - as well as significant levels of politicization of aid in the context of local election campaigns. Many of these problems were addressed in the context of cluster and inter-cluster meetings and some could be resolved. As mentioned in Chapter 5 a further challenge to the work of the Food Aid Cluster was the parallel system run by USAID and its partners – some of which also participated in the Food Aid Cluster.⁷⁴

74 OCHA (2008a): Table D; statistics provided by the CERF Secretariat to the Evaluation Team, interviews including with national authorities

Health

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Health Cluster, led by WHO / PAHO, was one of the clusters with a particularly severe loss of institutional memory. The current cluster coordinator arrived shortly before the evaluation mission, i.e. during a phase of very little to no cluster activity because even contingency planning was coming to an end. From document analysis and interviews with cluster members it can be deduced that the Health Cluster had a strong governmental counterpart, quasi co-leading the cluster. This increased connectedness and ownership of the cluster, but sometimes also slowed activities, since much lobbying was necessary. The cluster had a well thought-through strategy that included HIV/AIDS and gender as cross-cutting issues. The Health Cluster quickly ceased its activities after the immediate disaster response and seemed – among other reasons due to staff turnover – to have had a hard time gaining speed for the contingency planning in summer 2009. The Health Cluster had 85% coverage of requested Flash Appeal funds and an additional \$720,999 from the CERF⁷⁵

75 OCHA (2008): Table D; statistics provided by the CERF Secretariat to the Evaluation Team, interviews, including with national authorities, cluster documentation

Logistics

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	N/A
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	N/A
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	NOT ENOUGH DATA
15	Participation of affected population	N/A
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	
19	Coverage of ETC and logistics services	

The Logistics Cluster, led by WFP, proved well organized and highly active, even outside the emergency phase. The cluster received a high level of global support. All cluster members expressed high levels of satisfaction of the services provided by the Logistics Cluster to the humanitarian community. The important engagement of all stakeholders is explained by the history of the cluster and the difficult terrain of Haiti. As a consequence, MINUSTAH proved to be the provider of last resort in the logistics sector. This was absolutely crucial since logistics is a fundamental issue in Haiti. However, MINUSTAH did not participate in the logistics cluster and did not provide these services according to agreed-upon needs. As a result, MINUSTAH was perceived as a very important but unpredictable partner that might, at times, give precious helicopter seats to journalists instead of humanitarians. Consequently, the logistics cluster created an independent and reliable inter-agency fleet to cover humanitarian logistics needs. While the inter-agency fleet is well-functioning, the “Log Cluster” is looking for resources to maintain the fleet outside of an emergency. It is therefore trying to identify mechanisms to scale down and hand over responsibilities and means to either the private sector, the DPC or even to NGOs.⁷⁶

⁷⁶ Interviews; participation in a cluster meeting in Port-au-Prince, cluster documentation

Nutrition

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Nutrition Cluster, led by UNICEF, had important difficulties getting started. UNICEF's technical capacity to fulfill its lead role during the emergency was limited. The organization nonetheless took its responsibility for coordinating cluster activities. Cluster members, particularly Action Contre la Faim (ACF), pushed hard to increase the quality of the cluster's work. The cluster engaged a number of local actors and worked closely with the national authorities. As a consequence of the diversity of partners and the cluster lead's lack of technical authority, the cluster work was marked by relatively significant conflicts over correct assessment methods and the real level of needs. However, the cluster finally managed to develop a national nutrition protocol that was signed by the Ministry of Health and serves as the new common standard in nutrition. Furthermore, UNICEF reinforced its technical capacity by bringing in staff that was also responsible for cluster coordination. According to available data, there was no Flash funding going to nutrition. However, CERF allocations amounted to \$2,296,507.

Protection

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	NOT ENOUGH DATA
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Protection Cluster, led by MINUSTAH / HR via OHCHR, UNICEF (sub-cluster child protection) and UNFPA (sub-cluster GBV) struggled with a number of important problems that partly but not entirely point to issues at the political and global level rather than to failures on the country level. As mentioned throughout the study, the role of MINUSTAH in the Protection Cluster was controversial and hampered high levels of participation. Additionally, the activation of the Protection Cluster was very much promoted from the top level and many actors, including one of the cluster coordinators, did not see a high need for a protection cluster in Haiti, since protection issues are structural rather than emergency-related. Furthermore, the work of the Protection Cluster was hampered by different, sometimes contradictory definitions of protection in humanitarian assistance. The cluster coordinators even recognized a lack of understanding about protection among many humanitarian actors. The coordinators had a hard time explaining the cluster's supposed purpose and work. Also, with only 7% coverage of the requested funds in the Flash Appeal the Protection and \$527,954 from the CERF (mainly for Child Protection and GBV), the Protection Cluster was severely underfunded. Considering these important problems, the main achievement of the Protection Cluster was to put protection on the domestic political agenda.⁷⁷

⁷⁷ OCHA (2008a): Table D; statistics provided by the CERF Secretariat to the Evaluation Team, interviews cluster documentation

Shelter and Non-Food Items

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The Shelter and Non-Food Items Clusters were merged into one cluster, led by IOM. Since most displaced persons were sheltered in schools, churches, other public buildings or stayed with host families, the cluster dealt less with emergency shelter than with the identification and management of existing structures. While the cluster received high levels of global support, guidelines did not help the cluster coordinator and cluster members in their work since they did not address the urban dimension of the disaster in Gonaives. However, the cluster coordinator and other IOM staff had much experience with cluster coordination and significant knowledge of the local context and thus managed to animate the cluster efficiently and effectively. One important achievement of the cluster was the harmonization of standard NFI kits and discussions around criteria for beneficiary selection. However, there were also two important weak points. First, the cluster did not achieve any progress with respect to participation of the affected population in its activities. Second, cluster members felt that there were conflicts of interest since the cluster lead was also implementing shelter projects. In the Flash Appeal, the Shelter/NFI Cluster had 62% coverage of requested funds and received \$1,657,163 from the CERF.⁷⁸

78 OCHA (2008a): Table D; statistics provided by the CERF Secretariat to the Evaluation Team, interviews; cluster documentation

Water, Sanitation and Hygiene

Indicator scales

Nº	Indicator	Scale
1	Extent of additional geographic coverage	
2	Extent of additional thematic coverage	
3	Attention to differentiated needs	NOT ENOUGH DATA
4	Involvement of appropriate national actors	
5	Hand over and exit strategies	
6	Interaction of cluster with HC system	
7	Interaction of cluster with financial pillar	
8	Implementation of leadership responsibilities	
9	Implementation of provider of last resort	
10	Relationships among cluster (non-)members	
11	Relationships between clusters	
12	Quality of information sharing	
13	Cohesiveness of policies and activities	
14	Compliance with relevant standards	
15	Participation of affected population	
16	Accountability to HC & among members	
17	Meeting needs of humanitarian actors	
18	Quality and level of global cluster support	

The WASH Cluster was another well-functioning cluster in Haiti. It benefited highly from global level support and a trained local cluster coordinator who had both coordination and technical skills as well as extensive knowledge of the context. As a result the cluster was characterized by high levels of participation, coherent policies and action and, most importantly, increased geographic and thematic coverage. Within Haiti, some good practices could be learned from the WASH Cluster (indicated in the main text of this study) On the other hand, the WASH cluster failed entirely to increase participation of the affected population in WASH activities (particularly important in improving public health) and to coordinate properly with national and local authorities, which led to significant tensions with the respective national entities. The WASH cluster received 38% of the requested Flash funds and \$2,101,608 from the CERF.

Annex 2

Indicators

KEY QUESTION

To what degree has the cluster approach modified and strengthened the humanitarian response (in terms of gaps filled and greater geographic, thematic and quality of coverage, as well as ownership/connectedness)?

INDICATOR

1. EXTENT OF ADDITIONAL GEOGRAPHIC COVERAGE

Extent of additional geographic coverage (gaps and duplications) since the introduction of the cluster approach in frequently reoccurring sudden onset or protracted crises.

NOTE: When assessing the additional geographic and thematic coverage achieved through the cluster approach, current response efforts need to be compared to previous response efforts. Such a comparison is only reasonably possible in cases of long-term, protracted crises or where similar sudden-onset disasters reoccur frequently

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: No additional geographic coverage despite agreed upon needs; duplication not identified

1: Measures for better geographic coverage developed, but not implemented; duplications identified, but not addressed

2: Measures partly implemented; geographic coverage increasing; duplications avoided

3: Evidence of significantly increased geographic coverage

INDICATOR

2. EXTENT OF ADDITIONAL THEMATIC COVERAGE

Extent of additional thematic coverage (gaps and duplications) since the introduction of the cluster approach, including the coverage of cross-cutting issues (gender, environment, HIV), within and between clusters

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: No additional coverage of programming areas despite agreed upon needs; duplication within and between sectors not identified

1: Gaps and duplications within and between sectors identified, but not (yet) addressed

2: Expanded coverage and reduced duplications within clusters, but not between sectors

3: Evidence of significantly increased coverage and significantly reduced duplications within and between sectors

INDICATOR**3. ATTENTION TO DIFFERENTIATED NEEDS**

Quality of geographic and thematic coverage (timeliness of activities and targeting based on differentiated needs/risks linked to age, gender, diversity)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: No differentiation and prioritization of needs, including according to age, sex, diversity

1: Prioritization of needs but no differentiation of needs by age, sex and other relevant categories (disabilities, ethnicity etc.); response not timely

2: Prioritization of needs and timely response but no differentiation of needs by age, sex, diversity and other relevant categories (disabilities, ethnicity etc.)

3: Tailor-made and timely geographic and thematic response according to priorities and specific needs of different groups of affected people / better targeted programming to appropriate affected populations previously underserved

INDICATOR**4. INVOLVEMENT OF APPROPRIATE NATIONAL ACTORS**

Degree of involvement of appropriate national and local actors (state institutions, civil society)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: Appropriate national and local actors are not involved, receive no funding and the response is inconsistent with national and local strategies; inappropriate actors are involved

1: Cluster members are sharing information with appropriate local actors (the government, local authorities and / or civil society), but provide no funding to local civil society actors

2: Appropriate local actors are involved in needs assessment, planning and decision making, receive a share of funding and response is consistent with national and local strategies, including those for disaster risk reduction

3: Where appropriate, international actors are participating in nationally or locally-led response efforts, with local civil society actors receiving the bulk of international funding

INDICATOR**5. HAND OVER AND EXIT STRATEGIES**

Extent to which hand over and exit strategies have been developed and implemented in order to ensure that local government and civil society actors build on and continue efforts, including cross-cutting efforts (gender, environment, HIV)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: Cluster lead agencies and members have no strategy for hand over and exit and do not integrate preparedness, contingency planning and early warning in their work plans; activities disengage the local authorities

1: Cluster lead agencies and members have developed an exit strategy and have identified capacity gaps, but have not implemented it; the strategy does not take into account existing national strategies and cross-cutting issues

Cluster lead agencies and members mainstream their strategies into existing national strategies and are beginning to implement hand-over strategies, are engaging the government and supporting the development of (national) frameworks for preparedness, disaster risk reduction, contingency planning and early warning; cross-cutting issues are partially addressed

3: Effective hand-over takes place, local frameworks are considered and strengthened, including in their cross-cutting dimensions, local authorities are engaged and technical knowledge has been transferred

KEY QUESTION

How is the cluster approach interacting with the other pillars of humanitarian reform, in particular the HC system and the reformed funding mechanisms and is it implemented in the spirit of the 'Principles for Partnership'?

INDICATOR**6. INTERACTION OF THE CLUSTER WITH THE HC SYSTEM**

Extent to which the cluster approach and Humanitarian Coordinator system mutually support or undermine or each other

EVALUATION CRITERION

Coherence

SCALE

0: The HC does not fulfil its role to coordinate clusters / crucial decisions are made without the involvement of the HC; OCHA does not support the HC to fulfil its role; HC and clusters actively try to undermine each other's initiatives.

1: There is no significant interaction between the HC and the cluster approach.

2: Cluster coordinators and HCT members begin to see benefits of HC role in cluster coordination and grant the HC a certain degree of informal power; OCHA supports the HC in such a way that s/he can leverage this power; the HC considers cluster positions in his/her decisions and advocacy activities.

3: HC exercises clearly defined responsibilities for clusters and this role is accepted by the members of the different clusters. The HC systematically builds his/her strategies around cluster input. This role helps the clusters to better achieve their goals and strengthens the HC's formal and informal coordination role; HC and cluster system actively support each other

INDICATOR**7. INTERACTION OF THE CLUSTER WITH THE FINANCIAL PILLAR**

Extent to which the cluster approach and the financing pillar of the humanitarian reform (CERF, Pooled Funding, ERF, and innovations in the CAP) mutually support or undermine each other

EVALUATION CRITERION

Coherence

SCALE

0: The cluster approach and the new financing / appeal mechanisms undermine each other's goals or further emphasize each other's weaknesses (e.g. exclusiveness, "silo building" between clusters, etc.)

1: The interaction between the cluster approach and the new financing / appeal mechanisms sporadically strengthen the participating actors' ability to get access to information and resources, help to develop coordinated appeals and proposal development according to needs and identified gaps, but are not always consistent with the 'Principles of Partnership'

2: The interaction between the cluster approach and the new financing / appeal mechanisms often strengthen the participating actors' ability to get access to information and resources, help to develop coordinated appeals and proposal development according to needs and identified gaps, and are in most cases in line with the 'Principles of Partnership'

3: The interaction between the cluster approach and the new financing / appeal mechanisms strengthen the participating actors' ability to get access to information and resources, help to develop coordinated appeals and proposal development according to needs and identified gaps, and are in line with the 'Principles of Partnership'

KEY QUESTION

To what degree has the cluster approach achieved the intended outputs (predictable leadership, partnership/cohesiveness, accountability)?

INDICATOR**8. IMPLEMENTATION OF LEADERSHIP RESPONSIBILITIES**

Clarity of roles and level of assumption of responsibility of cluster lead agencies and OCHA, including for cross-cutting issues (gender, environment, HIV)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Output

SCALE

0: Roles and responsibilities are unclear with overlapping responsibilities and conflicts or no / low level of acceptance of leadership; cluster leads represent their agencies' interest not the cluster's interest at HCT meetings

1: Clearly defined roles, including for cross-cutting issues and where clusters are co-led at the field level, but insufficient assumption of responsibility or limited acceptance of leadership; cluster members feel only partially represented at HCT meetings by the cluster lead

2: Cluster leads carry out their responsibilities as defined in TORs (including cross-cutting issues) and exhibit responsibility for the work within the cluster, not only for their own operational demands, and the cluster lead's leadership role is accepted by the majority of cluster members; they feel largely represented at HCT meetings by the cluster lead

3: Responsibilities within and between clusters are clear and cross-cutting issues are incorporated into cluster work plans and the leadership role is broadly accepted; cluster members feel well represented by the cluster lead at HCT meetings

INDICATOR**9. IMPLEMENTATION OF PROVIDER OF LAST RESORT**

Clarity of the concept of "provider of last resort" and level of assumption of the related responsibilities by cluster leads (for those clusters where it applies)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: There is no common understanding of the concepts of first port of call and provider of last resort

1: Clear common understanding of the concepts exists (e.g. as defined in the 'IASC Operational Guidance on the concept of Provider of Last Resort'), but cluster leads have not assumed responsibility, despite the necessity

2: Where necessary, cluster leads have started to act as "advocators of last resort" but not as providers of last resort.

3: Cluster leads have acted effectively as providers of last resort, where necessary

INDICATOR**10. RELATIONSHIPS AMONG CLUSTER (NON-)MEMBERS**

Quality of relationships within clusters and between cluster members and non-members with respect to the 'Principles of Partnership' (assessment missions, advocacy activities, strategy development, decision-making, access to common resources)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Output

SCALE

0: Cluster members are not included in relevant cluster activities (assessment missions, advocacy activities and decision making), appeals and allocation of common funds reflect priorities of one agency only and / or there are open conflicts among cluster members

1: UN and non-UN cluster members are included in cluster activities (assessment missions, advocacy activities and decision making) and allocation of common funds in a consultative fashion but not on an equal basis; they do not take into account non-cluster members; priorities of one agency dominate in appeals

2: UN and non-UN cluster members do joint assessment missions, advocacy activities, cluster decisions and define cluster strategies (including resource allocation of common funds) in accordance with the 'Principles of Partnership'; but do not take into account concerns and positions of non-cluster members; appeals and allocation of common funds reflect cluster priorities

3: Cluster members work on the basis of the 'Principles of Partnerships'; take into account inter-cluster concerns and the positions of non-cluster humanitarian actors; appeals and allocation of common funds reflect collectively identified needs

INDICATOR**11. RELATIONSHIPS BETWEEN CLUSTERS**

Quality of relationships between clusters

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: Cluster approach undermines pre-existing inter-sectoral coordination; coordination mechanisms duplicate or undermine each other; OCHA has taken no steps to address this situation

1: Cluster approach builds on, but does not improve pre-existing coordination mechanisms; information on needs assessments, activities and service shared between clusters; OCHA attempts to strengthen cross-cluster linkages

2: Inter-sectoral / inter-cluster linkages strengthened through cluster approach and the active involvement of OCHA; strategy for avoiding inter-cluster duplication and enhancing inter-cluster complementarity exists

3: Facilitated by OCHA, clusters have effective linkages to all other relevant clusters/sectors, have clearly allocated responsibilities for inter-cluster and cross-cutting issues and coordinate activities adequately based on jointly identified needs

INDICATOR**12. QUALITY OF INFORMATION SHARING**

Quality of and capacity for information sharing (including information about cross-cutting issues, e.g. gender, environment, HIV)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: Information is not shared

1: Some information is shared among cluster members, but not outside or among clusters

2: Information is shared effectively (regularly updated and easily accessible) within clusters; some information is shared with relevant non-cluster members and other clusters

3: Regularly updated information of high-quality and technical detail is shared effectively within clusters; cluster members conduct joint needs assessments; data collection and evaluations and information is shared effectively with relevant non-cluster members, other clusters and the HC/RC and HCT

INDICATOR**13. COHESIVENESS OF POLICIES AND ACTIVITIES**

Degree of cohesiveness of policies and activities

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: No shared objectives, contradictory strategies and activities of cluster members

1: Common objectives, but contradictory approaches, strategies and activities

2: Collectively shared objectives among cluster members; joint strategies and work plans and complementary activities; complementary strategies with other relevant clusters and non-cluster humanitarian actors, including donors

3: Joint policies and strategies are being implemented by a majority of humanitarian actors; division of labour with non-cluster humanitarian actors is clearly defined and implemented

INDICATOR**14. COMPLIANCE WITH RELEVANT STANDARDS**

Extent of compliance with relevant standards, including standards that cover cross-cutting issues (gender, environment, HIV)

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Output / Outcome

SCALE

0: Relevant standards do not exist, have not been defined or are unknown to the cluster members

1: Relevant standards exist or have been defined, where relevant adapted to country-specific circumstances and are accepted by key stakeholders

2: Humanitarian agencies are complying to a large extent to those standards

3: Relevant standards are completely implemented

INDICATOR**15. PARTICIPATION OF THE AFFECTED POPULATION**

Extent and quality of the participation of the affected population(s) (and where relevant, the host communities) and resulting degree of accountability to the affected population

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Output

SCALE

0: Affected populations are not informed and not involved in needs assessment, decision-making, implementation and monitoring

1: Adequate information about activities and consultation with affected populations

2: Participatory needs assessment and needs prioritization

3: Joint planning and decision making, implementation, monitoring and evaluation, leading to a consistent application of relevant standards / findings of participatory assessments guide the work of the cluster and are used in advocacy with authorities

INDICATOR**16. ACCOUNTABILITY TO THE HC AND AMONG MEMBERS**

Degree of existence, effectiveness and implementation of accountability mechanisms (definition of roles, clear reporting lines, monitoring and evaluation, availability of information / transparency, enforcement mechanisms) between HC/RC and clusters and within clusters

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Output

SCALE

0: Expectations and roles unclear, insufficient transparency, incentives and enforcement mechanisms

1: Clear expectations and roles, adequate reporting (but not monitoring and evaluation and no enforcement mechanisms)

2: Appropriate information / transparency (adequate monitoring and evaluation), poor enforcement mechanisms

3: Effective incentives and enforcement mechanisms

KEY QUESTION

Does the cluster approach enable participating organizations to deliver better response through coordination and information sharing?

INDICATOR**17. MEETING NEEDS OF HUMANITARIAN ACTORS**

Extent to which the cluster approach responds to the needs / expectations of humanitarian actors with respect to coordination (including inter-agency coordination) and information sharing in the specific country context

EVALUATION CRITERION

Relevance

SCALE

0: Humanitarian agencies question the raison d'être of the cluster approach; participation in cluster meetings is very low (in terms of number of people, rank of participants or attendance induced only by financial incentives); common services are not requested; cluster or HCT meetings and other coordination mechanisms are not used to share information and exchange ideas / approaches

1: Humanitarian agencies are sceptical, but show reasonable participation common services at times requested and used; cluster or HCT meetings and other coordination mechanisms are sporadically used to share information and exchange ideas / approaches

2: Humanitarian agencies recognize some added value, show committed participation in cluster meetings and use common services increasingly; meetings are used to share information and exchange ideas

3: Humanitarian agencies recognize cluster approach as highly relevant to their needs, participate strongly and effectively in cluster meetings and frequently use common services; meetings and other coordination mechanisms are used to share information and develop common approaches

KEY QUESTION

What kind of support have global clusters delivered and how effectively has it been used at the country and field levels? Which inputs included in the generic TORs have not been provided?

INDICATOR**18. QUALITY AND LEVEL OF GLOBAL CLUSTER SUPPORT**

Quality (timeliness, relevant to local contexts, level of technical standard) and level of global cluster support: Standards & policy setting (guidance and tools); Response capacity (surge capacity, training, system development, stockpiles); Operational support (capacity needs assessment, emergency preparedness, long-term planning, access to expertise, advocacy, resource mobilization, pooling resources)

EVALUATION CRITERION

Efficiency

LEVEL OF LOGIC MODEL

Input

SCALE

0: No support

1: Support not relevant to field and/or not timely

2: Relevant support at high technical standards provided, but not timely

3: Support provided, with impact on practice, including on cross-cutting issues

KEY QUESTION

To what degree has the cluster approach modified and strengthened the humanitarian response (in terms of gaps filled and greater geographic, thematic and quality of coverage, as well as ownership/connectedness)?

INDICATOR**19. COVERAGE OF ETC AND LOGISTICS SERVICES**

Coverage of ETC and logistics services

EVALUATION CRITERION

Effectiveness

LEVEL OF LOGIC MODEL

Outcome

SCALE

0: ETC and logistics services are neither sufficient, nor relevant to the needs of their users

1: ETC and logistics services are sufficient in quantity, but not targeted to the needs of their users

2: ETC and logistics services are targeted to the needs of their users, but do not cover all needs

3: The needs of ETC and logistics users are completely covered

KEY QUESTION

What intentional or unintentional positive or negative effects of the cluster approach concerning affected populations, the coordination and interactions among participating organizations and the humanitarian system as a whole can be demonstrated?

INDICATOR**20. EVIDENCE FOR EFFECTS**

Evidence for effects (intentional or unintentional, positive or negative) of the cluster approach on the affected populations, the coordination and interactions among participating organizations and the humanitarian system as a whole can be demonstrated

EVALUATION CRITERION

Effects

KEY QUESTION

Is there evidence that the results of the cluster approach justify the inputs of major stakeholders such as the IASC, NGOs, host communities and donors at the country level?

INDICATOR**21. EVIDENCE THAT RESULTS JUSTIFY INVESTMENTS**

Evidence that the results of the cluster approach justify the investment made by major stakeholders at the country level

EVALUATION CRITERION

Efficiency

LEVEL OF LOGIC MODEL

Input

Annex 3

List of persons interviewed and sites visited

Sites visited

Port-au-Prince
 Jacmel
 Gonaïves
 Camp Gonaïves
 Project sites (school buildings) in Gonaïves

Persons interviewed or consulted

Maria Nieves Alvarez, Chief of Education Program, UNICEF
 Michaële Amédée Gedeon, Croix Rouge Haïtienne
 Sonia Bakar, MINUSTAH
 Mariavittoria Ballotta, Child Protection Officer, UNICEF
 Daiana Banciu, Human Rights Section, MINUSTAH
 Djafar Baraka, Humanitarian Affairs Officer, OCHA
 Rony Bayard, WES Specialist, UNICEF
 Geahde Benoist, Coordinatrice de Base Gonaïves, Handicap International
 Damien Berrendorf, Technical Assistant, DG ECHO
 Cécile Berut, National Coordinator, Agronomes&Vétérinaires Sans Frontières
 William Canny, CRS
 Carine Clermont, Chargée de Projet, UNIFEM
 Riccardo Conti, Chef de Délégation, ICRC
 Jean-Marc Cordaro, Early Recovery Advisor, UNDP
 Judy Dacruz, Project Development and Liaison Officer, IOM
 Antonio Da Silva, Regional Humanitarian Affairs and Development
 Coordinator, HADC, MINUSTAH
 Nozé Denja, SENP Representative at UNDP Jacmel
 Marie-Claude Desiletz, Nutrition Specialist, UNICEF
 Sandra Dessimoz, Chef Adjointe de Délégation, ICRC
 Elvire Douglas, ERDM Coordinator, World Vision
 Sally Edwards, Councillor, Organisation Panaméricaine de la Santé/WHO
 Greg Elder, CRS
 Jacomelli Evnesh, Mission Duty Officer, MINUSTAH Joint Operations Center
 Julien Eyard, ACF
 Max-Rony Fervil
 Christian Fortier, Logistics Coordinator, WFP
 Laura N. Fultang, Associate Information Management Officer OCHA, Haiti
 Jean Philippe Laberge, Coordination Officer, MINUSTAH

Yvon Labissiere, Health Manager, Save the Children
Pascale Lefrancois, Coordinatrice Affaires Humanitaires et Développement,
MINUSTAH
Jean-Pierre Mambounou, Head of Gonaive Sub-Office, WFP
Amédée Marescot, Programme Services Manager, Oxfam
Joseph Ménald, MODEP Haiti
Florcie Modestil, Civil Affairs South East, MINUSTAH
Abel Nazaire, Coordinateur adjoint, Haiti Ministry of Interior, Civil Protection Unit
Magalie Nelson, Nutrition Specialist, UNICEF
Lee Nelson, Country Representative, Save the Children
Galia Volel Ngami, Education Specialist, UNICEF
Alban Nouvellon, Direction Nationale de l'Eau Potable et de l'Assainissement
(DINEPA) / MTPTC
Nuno Nunes, Emergency Response and Recovery Officer, IOM
Edmondo Perrone, Cluster Coordinator Logistics, WFP
Jean Michel Sabbat, Technical Coordinator Provincial Civil Protection Unit
Bjoern Schranz, Country Director, ACTED
Bernard Smolikowski, Attaché de Coopération chargé du Développement,
French Embassy
Joseph Jonides Villarson, Emergency Officer Caritas Haiti
Martin Weiersmueller, Coordinator, Swiss Agency for Development and
Cooperation SDC
Galit Wolfensohn, Gender Policy Specialist, UNICEF
Andrew Wyllie, Chef du Bureau, OCHA
Stefano Zannini, Chef de Mission, MSF

Annex 4

Documents and literature consulted for the country report (selection)

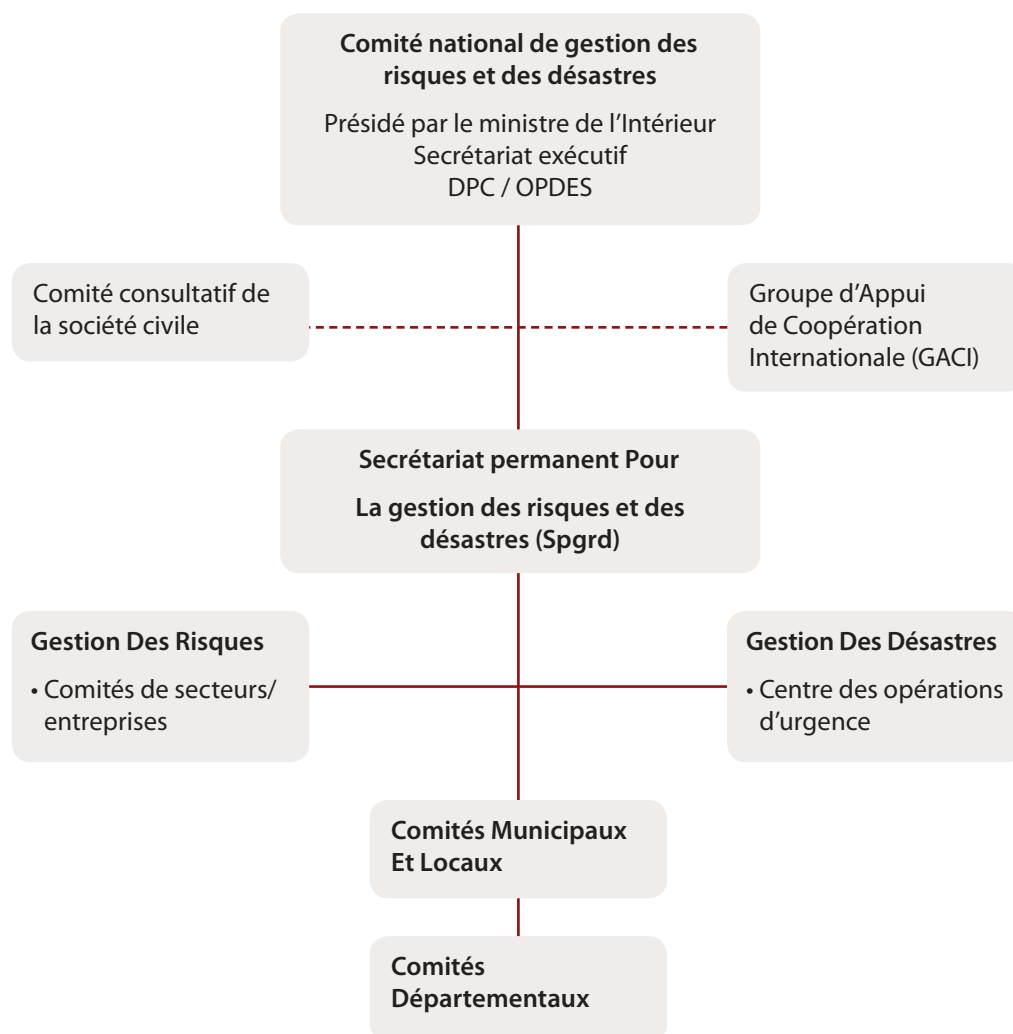
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Annex 5:

Organizational chart of the SNGRD



Source: SNGRD 2008: Manuel d'opération du groupe d'appui de la coopération internationale pour la gestion des désastres (Draft), p. 24

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