

1 GENERAL INFORMATION

1.1 Name of Humanitarian Organisation/Country of registration:

United Nations High Commissioner for Refugees / Switzerland.

1.2 Title of the Action:

Enhancing the Response Capacity of the Global Shelter Cluster

1.3 Narrative summary:

Short overview of the Action. Please provide one or two short paragraphs summarising the action (objectives of the action, expected results).

Through this Action, the Global Shelter Cluster (GSC) will advance further towards the goal and three strategic aims of the GSC Strategy 2013-2017 and post-2017 strategy, aligned with key decisions made at the World Humanitarian Summit (WHS). The proposal reflects feedback gathered from country-level cluster coordination teams and partners, and has been prepared with the members of the GSC Strategic Advisory Group (SAG).

Through this Action, the GSC seeks to strengthen the shelter response of humanitarian actors by improving country-level shelter clusters and the GSC in line with the commitments from WHS and Habitat III:

1. Country Level Clusters are effective, transparent, predictable, and accountable:

- 1.1 The GSC will provide immediate and medium-term support to country-level clusters through maintaining and expanding the GSC Surge Capacity Team – the existing Global Focal Points and Roving Focal Points will continue to provide on-request remote and in-country support, respond to new emergencies and reinforce existing coordination mechanisms. Senior Roving Cluster Coordinators (SRCCs) will be maintained. They were introduced in 2016 and provided valuable surge support in Yemen and Iraq during the Mosul offensive and have proved instrumental in shaping and scaling up the shelter response in these very challenging contexts. Information Management (IM) capacity will be improved through piloting a Roving IM role in 2018 to support setting up of new, and improvement of existing, IM systems at the country-level. This medium-term capacity will have a similar format as the SRCC and it will assist clusters in the collection and analysis of data, better gap identification, allow them to take advantage of new ICT tools and inform quality shelter response. The performance of country-level shelter clusters will be more closely and transparently monitored using agreed criteria and tools for performance monitoring. Cluster partners and GSC bodies will have a greater involvement in supporting country-level clusters by participating in monitoring missions and cluster performance oversight.

- 1.2. The GSC will introduce innovative approaches to implement the prioritized recommendations from the World Humanitarian Summit and Habitat III: Shelter cluster coordination will become more localised, two or more GSC partners will become cash champions and will provide capacity and support the most effective use of cash in shelter responses. The GSC will work towards enhancing the humanitarian development nexus by strengthening Housing Land and Property (HLP) support to country-level clusters, promoting the use of fairs, scorecards and post-distribution monitoring (PDM).
- 1.3 An effective and well-functioning GSC supports the delivery of good shelter responses: Operational analysis will continue informing improved shelter and settlement practice and fostering innovation through the following integrated system: 3 joint assessment and monitoring activities, good practices and lessons learned disseminated through workshops for members of shelter coordination teams at the global, national and sub-national level, and the Shelter Projects website and publication. The GSC will provide support to shelter responses through the Working Groups, Communities of Practice and the Strategic Advisory Group. Shelter and settlement related evidence-based key messages will be gathered and disseminated to influence strategic decisions taken by senior management to better prepare for and respond to shelter program needs

1.4 Area of intervention (country, region):

Indicate the world area, country, regions and locations of the intervention. Include a map of the project locations

The activities of this project will benefit humanitarian operations worldwide according to need.

Annex 1 provides a map showing the 26 shelter clusters and cluster-like coordination arrangements as of 15 January 2017.

1.5 Dates and duration:

Start date: Indicate the actual starting date of the activities

01/01/2017

Duration of the action: Indicate the number of months of implementation

24 months

Start date for eligibility: Eligibility date will be the same as the actual starting date

01/01/2017

2 HUMANITARIAN ORGANISATION IN THE AREA

2.1 Presence in the area:

Describe your presence in the area (country/sectors) – e.g. number of years, type of intervention, and type of office set-up.

The Global Shelter Cluster is an open platform with more than 30 partners participating consistently¹ at the global level. Country level clusters or cluster-like coordination arrangements are currently active in 26 countries (January 2017). Coordination, information management and technical support is provided by the GSC upon request from country-level clusters and also responding to priorities identified by the GSC based on analysis and feedback from partners. The global tools developed are disseminated to benefit shelter response in-country. Certain country-level shelter clusters, for instance system-wide level 3 emergencies, have received more support due to the humanitarian urgency and the scale of needs demonstrated. It is expected that the four system-wide level 3 emergencies will continue to benefit substantially from the global services provided, as well as any countries experiencing new major or acute emergencies throughout the Action implementation period. Although the priority is the formally activated clusters, the GSC often provides support to coordination mechanisms other than formally activated clusters depending on needs. Since 2006, the Global Shelter Cluster has actively supported **83** emergencies in **47** countries. In 2015, a total of 17,8 million people were reached while in the first half of 2016 (Jan-Jun) country-level shelter coordination mechanisms supported 6,6 million people with Shelter and Non-Food Items (NFIs). In 2012 the Global Shelter Cluster (GSC) adopted its **Strategy 2013-2017**. This strategy has the following Goal and Strategic Aims:

Goal: To more effectively meet the sheltering needs of populations affected by humanitarian crises by strengthening the shelter response of humanitarian actors through leadership, coordination and accountability in the humanitarian shelter sector.

Strategic Aims:

1. An effective and well-functioning Global Shelter Cluster.
2. Responsive and flexible operational support to country-level shelter coordination mechanisms.
3. Increased recognition of the shelter and settlement sector as an essential component of the humanitarian response through enhanced advocacy and communication.

The Global Shelter Cluster is structured as follows:

- **Strategic Advisory Group (SAG):** permanent body that works to advance the cluster strategic direction, overall work plan, and advocacy. The SAG is composed of self-selecting agencies and institutions of the Global Shelter Cluster based on agreed criteria, and reports to the GSC plenary².
- **Support Team:** a team of 19 personnel (26% female, 74% male)³ with different degree of dedication seconded by different cluster partners. This team is the support cell or secretariat of the GSC and provides surge and remote support to country level shelter clusters under the overall supervision of the GSC Coordinators. Its members identify, train, deploy, and support country-level cluster coordination teams. When not deployed, the members of the

¹ Current cluster partners include ACTED, Australian Red Cross, Canadian Red Cross, Care Intl, , CRS, Danish Refugee Council, DFID, ECHO, Emergency Architects Foundation, German Red Cross, Global Communities, Habitat for Humanity Intl, IFRC, IMPACT Initiatives, InterAction, International Medical Corps, International Rescue Committee, IOM, Luxembourg Red Cross, Medair Switzerland, NRC, OFDA, Oxford Brookes University, People in Need, ProAct Alliance, RedR, Relief Intl, RICS, Save The Children, SDC, Shelter Centre, Shelter Box, SKAT, Swedish Red Cross, UN-HABITAT, UNHCR, UNOCHA, UNRWA and World Vision Intl.

² The twelve members of the SAG for 2017 were appointed at the 2016 Global Shelter Cluster meeting with a one-year mandate. These members are: ACTED, CARE Int'l, Catholic Relief Services, Habitat for Humanity, InterAction, IOM, NRC, Save the Children, World Vision Int'l, UNHABITAT, and the co-leads IFRC and UNHCR.

³ The number and gender composition of the team reflects how [the team](#) was in December 2016.

Support Team provide remote support to country-level clusters. They also facilitate the work of the GSC and provide inputs to inter-agency discussions and inter-cluster coordination at the global level, and contribute to building capacity and enhancing preparedness.

- **Working Groups:** task-oriented and temporary structures with clear executable deliverables that are established by the SAG to address particular identified needs⁴.
- **Communities of Practice:** thematic groups of professional/expert individuals that provide technical and surge support to Global or Country-level clusters, develop "good practices", and address critical issues within their areas of expertise⁵.

2.2 Synergies with other actions:

Specify potential synergies with other initiatives, with other major donors present in the country, or other humanitarian actors.

This proposal builds upon the achievements made in 2013-2014 and 2015-2016 and upon the increased sustainability attained by the cluster – the majority of the Surge Capacity Team members have been mainstreamed into regular agency roles, while more technical roles are being introduced. The Global Shelter Cluster received contributions from DG ECHO' Enhanced Response Capacity in 2013-2014 and 2015-2016 for the implementation of the first and second phase of the GSC Strategy. This contribution has enabled the cluster to enhance significantly the support provided to country-level clusters and increase its preparedness. The **main achievements** of the GSC during this period are the following:

- The GSC deployed trained and experienced coordinators in less than 72 hours after the activation of newly activated clusters and new emergencies in existing clusters⁶. The early deployment of cluster coordinators has proven to be extremely beneficial for a response. It allows for an early joint needs assessment and for the shelter cluster to define a common response strategy early on so that partners' strategies will be consistent and complementary.
- In 2015-2016, the GSC Support Team has provided more than 1,100 days of in-country support through more than 55 missions to 29 countries. These support missions have greatly contributed to improving the quality of the coordination services provided by country-level shelter clusters to partners which in turn has resulted in more effective and efficient shelter responses minimizing duplication and increasing collaboration.
- The Global Shelter Cluster website (www.sheltercluster.org) has become the key platform to exchange data and share documents and guidance. Its user-base has grown considerably and the latest survey⁷ shows that 73% of users are satisfied or very satisfied with the information provided. All 26 country-level clusters and cluster-like coordination mechanisms feature on the GSC website including contact details and key documents. The cluster website provides a

⁴ In 2016, there were five Working Groups in the Global Shelter Cluster: Shelter and Cash, Shelter Projects 2015-2016, Construction Standards, GBV in Shelter Programming, and NFI Practices.

⁵ There are currently six Communities of Practice in the Global Shelter Cluster: Coordination, Technical, Information Management, Environment, Recovery, and Gender and Diversity.

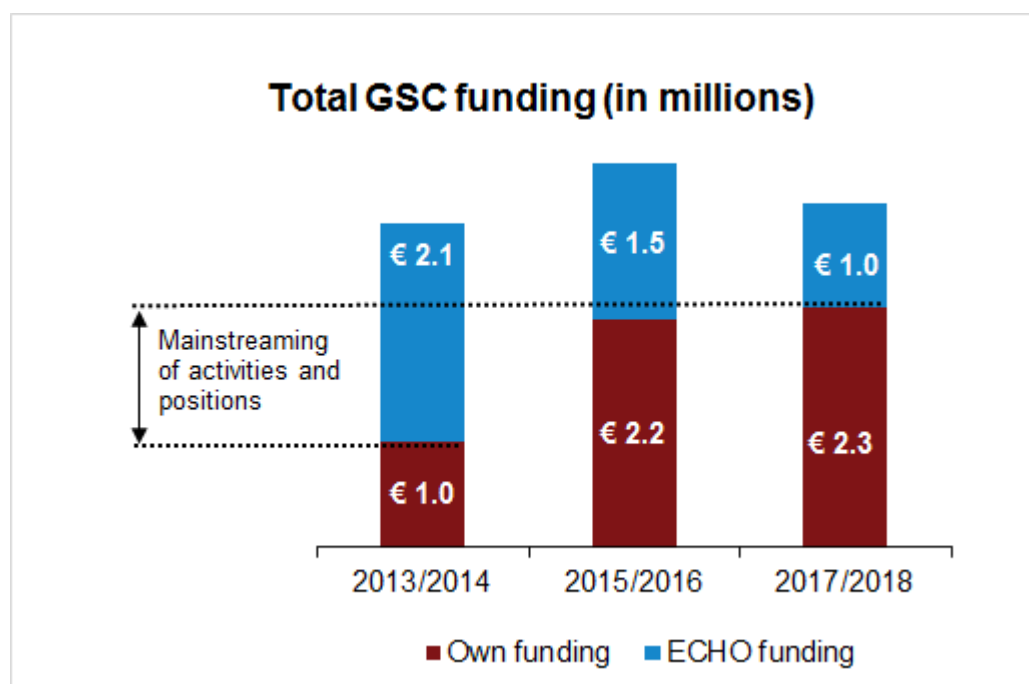
⁶ No new clusters were activated in 2015; however the surge capacity was deployed to new emergencies in existing clusters: Vanuatu, Nepal, Malawi, Mozambique, Yemen and Myanmar. In 2016, trained and experienced cluster coordinators were deployed in less than 72 hrs to support sectoral response coordination in Nigeria, Fiji, and Ecuador.

⁷ Results of the pre-meeting surveys for [2016](#).

single point of entry for the sector as well as a repository of knowledge publicly available. This facilitates learning and the inclusion of good practices and lessons learnt when designing and implementing shelter responses.

- The latest anonymous surveys sent out to partners showed that 75% of the 177 respondents (country-level global cluster partners) expressed their satisfaction with the coordination services provided by the GSC. During the annual GSC Meeting in October 2016, a follow-up survey showed that 92% of the 67 respondents find the coordination services provided by the global level as satisfactory (73%) or very satisfactory (19%)⁸. Partner satisfaction not only shows that the cluster is working well but also demonstrates that cluster partners value the cluster and that they will contribute to it and collaborate with it in the field. Shelter responses are becoming more and more collaborative and complementary in recent years.

The DG ECHO contribution has also been catalytic and allowed the cluster to increase its sustainability. As the graph below shows, currently the GSC has considerably increased its capacity to mainstream activities over the years. The GSC own contribution to its strategy has multiplied by two in four years⁹.



This has been achieved in the following ways:

- Mainstreaming core activities: the value added by key GSC actions, and particularly the global support provided by Support Team members, has been demonstrated and their agencies (UNHCR, IFRC, IOM, NRC and ACTED/IMPACT Initiatives) are now fully funding or contributing more funding to these positions. The GSC has further strived to spread the cost of the coordination services it provides among a more diversified portfolio of donors. This mainstreaming allows for the utilisation of future funding to support additional activities and

⁸ Results of the pre-meeting surveys for [2016](#)

⁹ Total GSC funding for 2017-2018 includes the GSC co-funding for the 2017-2018 Action (EUR 2,3 mil) and a number of mainstreamed expenses not included in the proposal (GSC Coordinators, GSC Deputy Coordinators, website support, IFRC/UNHCR Coordinating Humanitarian Shelter Training, etc).

further strengthen the operational support capacity of the GSC. The ECHO contribution has played a catalytic role as it has allowed the cluster to test approaches which once proven their value have been mainstreamed by the cluster lead organisation or been replicated by a cluster partner for the benefit of the GSC. The Global Focal Points are an example of the former while the Senior Roving Cluster Coordinators seconded by cluster partners are an example of the latter.

- Promoting a collaborative approach to resourcing the GSC: this approach aims at increasing the contribution to the GSC support mechanisms by partners other than the cluster co-leads as it has been happening in country-level shelter clusters in past years. Most of the Working Groups have successfully used this approach in 2016.
- Increasing efficiency: including working to reduce the cost of certain activities such as the maintenance and hosting of the website and better prioritization of activities based on limited resources.

The 2017-2018 Action also introduces a number of collaborative approaches to strengthen joint assessments, encourage linkages with development actors, non-traditional donors and private sector, and work closer with other relevant Global Clusters – the Global Protection Cluster on HLP and the Global WASH Cluster on urban response. There are 4 country- level clusters that are merged Shelter and CCCM (Yemen, Nigeria, Myanmar, and Chad). The achievements in this action will also benefit those country-level clusters and indirectly the Global CCCM Cluster. The GSC collaborates with the Global CCCM cluster and other clusters on issues related to settlements. The GSC is an active member of the Global Cluster Coordinators Group and also participates in different IASC bodies and other interagency discussions and initiatives.

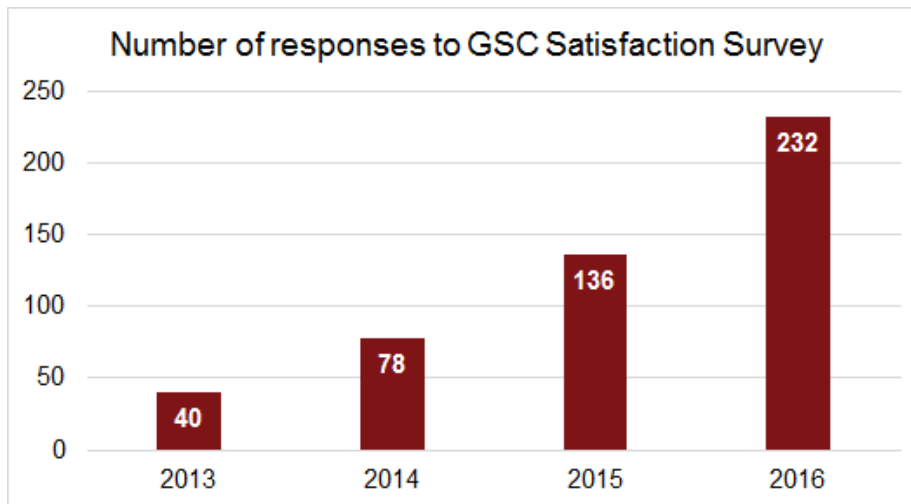
Synergies will be sought with other ERC-funded actions. The GSC will coordinate its work on cash with other cash initiatives including the ERC-funded action undertaken by OCHA, CaLP, DRC, Mercy Corps, and Save the Children in increasing the uptake of multi-purpose cash grants in emergency responses for a more efficient and effective humanitarian action. When working on urban issues, synergies will be made with the work being undertaken by the ACTED IMPACT UCLG ECHO ERC-funded project to pilot and promote localised response and coordination in urban areas affected by crises.

3 NEEDS ASSESSMENT

3.1 Needs and Risk analysis

3.1.1 Date(s) of assessment:

Feedback from Shelter Cluster Partners at global, regional and national levels has been collected and analysed continuously through the period encompassed by the GSC Strategy 2013-2017. The number of respondents and the organisations they come from has steadily increased over time and levels of satisfaction with the services provided by the GSC have consistently remained high.



Apart from being used to inform annual meeting agendas and SAG discussions, this feedback has allowed the GSC to identify gaps and set forth priorities for the last year of the current Strategy and for the initial discussion on the post-2017 strategic direction of the cluster. The main recommendations that this Action seeks to address come from the latest GSC Meeting (5-6 October 2016)¹⁰ and the annual SAG Retreat (12-13 December 2016)¹¹ are notes being finalized and they will be available [here](#).

This Action is also informed by the reviews undertaken of country-level clusters in 2015-2016 which are publicly available - Vanuatu (Cyclone Pam), [Ukraine](#) (conflict), Ethiopia, Nepal (earthquake) and Philippines (Typhoon Haiyan).

The WHS, which took place on 23-24 May 2016, and Habitat III, 17-20 October 2016, have made a number of recommendations¹² that are relevant for the GSC and which this Action seeks to start addressing.

3.1.2 Assessment methodology:

Describe the methodology used and indicate whom, how and in which conditions the most recent assessment(s) was/were carried out. Whether it was a joint/coordinated assessment and whether it was shared with other agencies. If available, attach a copy of the most relevant assessment report.

The resources and activities that will be secured through this grant build upon the significant development of the GSC structure in 2013-2016, and further support securing a sustainable operational model beyond the duration of this Action. The origin of the action dates back to the IASC Transformative Agenda process led by the Emergency Relief Coordinator and is an effort to contribute to the effectiveness of the humanitarian response in general and address global challenges in cluster coordination, leadership and accountability.

In 2012 the GSC adopted its 2013-2017 **GSC Strategy** (Annex 1). This strategy has the following **3 Strategic Aims**¹³:

¹⁰ Minutes from the GSC 2016 Meeting are available [here](#).

¹¹ Minutes from the 2016 SAG Retreat are being finalized and they will be available [here](#).

¹² Recommendations from the WHS can be found in the "Chair's Summary" [here](#), more detailed recommendations of particular relevance for the GSC is the Grand Bargain [here](#) and recommendations from Habitat III can be found in the "New Urban Agenda - Quito Declaration on Sustainable Cities and Human Settlements for All" [here](#).

1. Responsive and flexible support to country-level shelter coordination mechanisms.
2. An effective and well-functioning GSC.
3. Increased recognition of the shelter and settlements sector as an essential component of the humanitarian response, through enhanced advocacy and communication.

During the **first phase** (2013-2014) of implementing the Strategy, the GSC, supported by an ERC grant, focused on enhancing the cluster core objective - coordinating shelter response at country-level, through the deployment of experienced surge capacity and remote support. During the **second phase** (2015-2016) most core functions within the Surge Capacity Team were recognised as essential to supporting country-level clusters and mainstreamed into regular agency roles. During this second phase, the GSC also introduced a medium-term capacity to be able to deploy senior experienced coordinators for up to six months to respond to new crises or scale up existing shelter response.

The **current Action** seeks to support the **third and final phase** in the implementation of the Strategy and the definition of the strategic direction for the GSC beyond 2017. The implementation of the GSC Strategy has been reviewed by an external consultant and initial discussions on the priorities for the final phase and post-2017 have taken place during the yearly GSC meeting and the SAG retreat in 2016. The SAG identified key priorities and agreed to jointly approach donors in order to raise the funds required for the continued implementation of the GSC Strategy. In particular, it was decided that a proposal would be submitted to the ECHO ERC Fund by UNHCR on behalf of the cluster. This proposal has been endorsed by the GSC SAG which is the body mandated by the GSC to facilitate the coordination of harmonized resource mobilization efforts as established in the SAG ToR¹⁴.

In preparation for the 2016 GSC meeting an anonymous online survey was produced inviting the partners of country-level clusters to provide inputs on issues to be addressed by the GSC. Cluster partners at the global, regional and country level have identified and prioritized a number of areas where the GSC need to maintain and scale up existing capacities or launch new initiatives to address gaps. Overall, the top three priorities for the GSC are:

1. **Improved, more predictable funding for shelter operations;**
2. **Harmonised data collection by cluster partners and;**
3. **Increased coordination capacity at the sub-national level.**

Apart from the three top priorities, a further breakdown by region or respondent type has brought a number of other areas of intervention to the attention of the GSC. National NGOs see added value in the **development and delivery of more technical trainings** by the GSC to bring up their capacity in designing and implementing quality shelter responses in country. International NGOs and respondents from the MENA region place a critical importance on the **formulation and dissemination of guidance on HLP issues** at the country level. Global partners and 75% of participating donors would like to see an **improved technical guidance on urban response**, which also converges with 2016 strategic commitments within the framework of the Grand Bargain and HABITAT III.

The GSC participated actively in both the WHS and Habitat III by contributing to the documents prepared in advance of these meetings. The GSC Coordinators and many of the GSC SAG members attended actively both events and influenced their outcomes.

¹³ The 2013-2017 GSC Strategy can be found [here](#).

¹⁴ The SAG ToR were approved on the 2012 Global Shelter cluster meeting (1-2 November) and can be found [here](#).

3.1.3 Problem, needs and risk analysis:

Describe the main problems and needs identified by the needs assessment within the geographical area and sectors concerned by the proposed Action. Include a brief gender and age analysis. Explain what are the underlying risk factors linked to the humanitarian crisis.

The GSC supports country-level clusters to ensure that they provide a predictable platform for shelter partners to respond effectively and efficiently to shelter needs. The GSC also provides a unique platform for shelter partners to agree on a common strategy and common tools to advance the sector. While all elements of the GSC and country-level shelter clusters have important functions, the GSC Support Team and the country-level support teams are key to their success. This is the reason why the GSC dedicates a significant part of its resources to building a robust GSC Support Team. The GSC Support Team's first priority is to support country-level clusters. The strengthening of the GSC Support Team since 2013 has resulted in the strengthening of the country-level cluster teams in different ways:

- The early deployment of surge capacity has allowed the country clusters to organize joint assessments and set the direction of the cluster early on which has resulted in cluster partners' programmes being aligned and complementary.
- The support provided both remotely and through missions by the GSC Support Team have helped incorporate lessons learned and good practices in shelter responses. This support includes mentoring and back-stopping to cluster coordinators, providing feedback to documents prepared by the cluster, undertaking missions to assess the performance of the clusters and provide recommendations on how to improve them, reporting on the progress of the clusters, liaison with partners at global level, and other related issues. This has resulted in more effective and efficient shelter responses.
- The GSC Support Team undertakes other GSC activities such as maintaining the website, organizing trainings and cluster events, and capturing best practices. These activities offer additional avenues for country-level cluster coordination team members and cluster partners to learn from each other and improve responses.
- Another important component of the work undertaken by the GSC Support Team is the internal advocacy to country representatives and management in general to adequately staff country-level clusters and to participate in them meaningfully.

The following example from the recent Iraq Mosul crisis provides an illustration on how the GSC Support Team makes country level shelter responses more effective and efficient. *The Shelter Cluster coordinator in Iraq was appointed to another post in July 2016 just at the time when the preparation for the Mosul offensive reached a key moment. The UNHCR representative asked the GSC for support to cover this gap. This emergency was a system-wide level 3 emergency and it was at a key moment in preparation for an imminent major displacement due to the Mosul offensive which was scheduled three months later. The GSC sent immediately one Senior Roving Cluster Coordinator (SRCC) who arrived 48 hours after the request from the representative. The GSC also undertook a mission to assess whether the cluster structure was fit for purpose. The Global Focal Point for coordination overseeing Iraq and the deputy GSC coordinator participated in this mission. The second SRCC was also sent to strengthen the team. The GSC mission agreed with the UNHCR representative, the SRCC, and cluster partners a new structure for the cluster, and once back in Geneva, organised a GSC teleconference to inform partners and to request scaling up and support. GSC partners answered very*

favourably scaling up and seconding staff to the cluster coordination team. The result of all this was summarized by a very grateful representative who wrote a thanking message to UNHCR senior management: “The deployment of experienced shelter cluster coordinators with such a short notice for three - five months, has given a great boost to the Shelter/NFI Cluster, both in terms of improving relations with agencies/partners and strengthening coordination/delivery capacity”. The GSC continued providing support to the Mosul offensive by deploying the Global Focal Point for Information Management to cover gaps and through a second mission by the Global Focal Point to assist with the updating of the national cluster strategy and relevant IM tools.

The GSC needs to be able to continue providing the same level of support to country-level shelter clusters and further improve it. The implementation of the GSC strategy in 2013-2016 has encountered the following **challenges**:

- **Increased complexity of emergency responses:** During the last years the number of crises is growing both in terms of natural disasters and conflicts. Data from World Disasters Report shows that more disasters are occurring with more intensity and statistics from IDMC show that there are more people displaced globally - including refugees - than since World War 2. The emergencies are also becoming more complex, the number of actors (responders) has proliferated, as has the demand for real-time information from stakeholders. The responses are also happening more often in urban areas, a context where the traditional way of responding needs to be adjusted. In the context of this kind of increased complexity, the demands for a well-functioning and efficient GSC are increasing, etc. might help describe the challenging operational environment of the GSC...
- **Mainstreaming takes time:** The cluster has multiplied by three its own internal funding over four years which is an impressive level of mainstreaming. The newly introduced surge capacity approaches need time to be fully mainstreamed. The introduction of the Senior Roving Cluster Coordinator role in 2016 has significantly improved the capacity of the GSC to deploy experienced and dedicated coordinators for up to six months into new emergencies until a long-term coordination team is identified and in place. Fully mainstreaming these roles will need more time given funding availability and planning cycles. Other surge capacity approaches such as some of the Global Focal Points and the Roving Focal Points are also being mainstreamed but additional time is needed to fully mainstream them.
- **Cash and shelter:** The use of cash in humanitarian responses is growing very fast. The sector needs to evolve to adapt to this. The GSC should provide more guidance and capacity to the country-level shelter clusters and to inter-cluster conversations on the use of cash. Additional tools are required to undertake market assessments for shelter and response to shelter needs using cash based interventions. Considerable progress was made in 2016 through advocacy at WHS and other fora, and the drafting of policy and guidance documents. However more work still needs to be done particularly to address the lack of overall expertise in Shelter and Cash.
- **Diversity of roles in surge:** The GSC has identified¹⁵ that more support is needed by country-level clusters apart from supporting the role of the coordinator. Surge capacity should be available for other more technical roles such as technical advice, information management, cash and shelter, NFI responses, housing, land, and property (HLP), and other sectoral issues.

¹⁵ This was identified during the 2016 [GSC mid-year teleconference](#), the Joint Monitoring Mission to Nepal ([report](#) and [annexes](#)), the Cluster Partners Surveys in [2016](#) and [2015](#), and the discussions at the [2016 GSC meeting](#).

Some progress has been made in 2016 by securing focal points for technical issues but more progress will be needed.

- **Fundraising** for shelter operations and coordination has been highlighted as the number one challenge identified by those filling the anonymous pre-meeting survey. The roots of this problem and possible solutions need to be better identified by the GSC bodies such as the SAG or the Support Team. The state of the humanitarian shelter and settlements sector publication (explained in more detail in 2.1) will play an important role in identifying what the constraints are for funding country-level shelter clusters.
- **Advocacy and understanding of the sector:** the shelter sector remains poorly understood by senior management and key decision makers. The GSC needs to articulate better the important ways in which the sector contributes to protection outcomes, social and economic development, and broader recovery. Greater linkages to academia need to be made so that outcome-level data can be produced across a variety of contexts, with detailed analysis so that emergency shelter response coordination is more targeted and effective. This lack of understanding is considered to be one of the main reasons for the lack of funding and support in general that the sector receives.
- **Strengthening the GSC bodies:** The SAG is steadily improving its accountability and effectiveness. The Working Groups are being re-focused to their initial concept as time-bound structures to address a specific issue and with concrete deliverables. The Communities of Practice are being revitalized and given a focus to support country-level clusters. A Donor Consultation Group is being put in place in order to engage more predictably with donors. These efforts need to be maintained for the GSC to continue working effectively.

The GSC must incorporate the recommendations from **WHS** and Habitat III in order to contribute meaningfully to the current overall efforts to improve humanitarian action. Many of the WHS commitments are best addressed at agency level but there are many others, detailed in the next section, that need the concerted effort of the whole sector or even of several sectors. Those collective commitments are the ones where the GSC can add particular value.

Habitat III made clear to the GSC that there is a need to engage more meaningfully with development actors and with the stakeholders that make decisions related to cities outside of conflict or natural disasters, in normal situations. The GSC identified the need to “normalise” humanitarian shelter action, to reduce its exceptionality and align humanitarian action as much as possible with the developmental processes that take place in cities. Humanitarian actors are only a fraction of the very many stakeholders involved in the development of cities and need to adapt their way of working to interact more meaningfully with these other essential stakeholders. While doing this, humanitarian actors should remain principled and ensure that those who are most vulnerable are heard and looked after.

3.1.4 Response analysis:

Describe our strategy to address the identified problems and briefly explain why other responses were not chosen. Explain how the proposed response addresses the specific needs of the affected persons. Make sure you link this section with the results/sectors proposed in section 4.

This Action will advance the implementation of the GSC strategy and support the GSC contribution towards the commitments made in the WHS and Habitat III. This will be done as follows:

1. Country-level clusters are effective, efficient, predictable, accountable, and advance the commitments from WHS and Habitat III

Well-functioning country-level clusters can improve considerably the shelter response by making it more effective and efficient. The support to country level shelter clusters continues to be the main priority of the GSC. The GSC needs to maintain the good level of support provided to country-level clusters and increase it.

1.a. Further mainstreaming of core activities

The GSC has strived to spread the cost of the core coordination services it provides, particularly surge capacity, remote support to country-level clusters, and the support to Global Cluster operational structures including the website, among a more diversified portfolio of donors, including unearmarked resources from cluster leads and partners. Although a significant part of its capacity has been mainstreamed, the GSC needs continuous support to maintain certain roles until they are mainstreamed. On one hand, organisations have a certain speed at which they can mainstream roles due to competing priorities and budget limitations, on the other hand newly created roles need time to be monitored and adjusted as appropriate, as contextual differences and operational variations from cluster to cluster indicate fine-tuning of new roles is ongoing for some time to ensure they are designed to evolve and meet the needs for which they were created, to demonstrate their value, and to become “mainstreamable”. Maintaining and capitalizing on the well-received immediate and medium-term surge capacity is crucial to meeting growing expectations from the field in terms of continuous support in coordination, information management and technical expertise.

1.b. Additional functions

In order to meet country-level requirements for additional functions from the GSC, new roles need to be created. Some of these functions are directly linked to areas that are core to cluster partners’ mandates such as technical support or HLP support and which are easier to mainstream. Other areas, such as coordination or information management, are more general and partners find it difficult to mainstream them even though they value them. These latter ones need to be mainstreamed mainly by the GSC co-leads.

1.c. Beyond the GSC Support Team

While the GSC Support Team will remain the main support to country-level clusters, important support can be provided through other GSC bodies and GSC partners. GSC partners and country level partners contribute in many ways to assess and improve the performance of country-level clusters as demonstrated during the Nepal earthquake response or in the ongoing Mosul emergency in Iraq. During these emergencies partners contributed greatly to the coordination support teams. In Nepal partners not only seconded staff to the core team but also took on sub-sub-national coordination responsibilities (at district level). Similar support was received in Iraq. Partners’ contributions to country-level clusters can bring them to another level given the unique mandates, perspectives, and capacities of some of these partners. The GSC SAG, the Working Groups and the Communities of Practice can also contribute positively to country level clusters. These avenues of support will be further strengthened and utilised through this Action.

1.d. WHS and Habitat III

The years 2017 and 2018 are a critical period for the GSC due to new global commitments that need to be taken into consideration. The recommendations from WHS and Habitat III have important implications for shelter operations. The GSC offers an avenue to implement these recommendations in a tangible way and a conduit for partners to discuss issues and options for new ways of shelter programming. The GSC should adapt the way it works to this changing environment in order to facilitate the implementation of these recommendations. Some of the key areas where the GSC can add value are:

- Greater transparency
- Localisation of the response
- Promoting appropriate use of cash
- Multi-year planning and bridging the humanitarian-development divide
- Predictable joint assessments
- Participation revolution
- Developing the analytical and operational capacities to work in urban contexts

The current proposal will address these areas by introducing innovative approaches, described in detail in the activities section of the proposal.

2. An effective and well-functioning GSC supports the delivery of good shelter responses

2.a. Analyse, learn, and improve responses

Through the years, the GSC has put in place a well-articulated system to assess, analyze and monitor needs and responses at country-level, capture practices, disseminate them, and improve response. This system needs to be maintained and further refined in order to be mainstreamed. Workshops at country and regional level to capture good practice which were recently introduced will continue happening.

2.b. GSC Strategy

2017 will be the last year of the implementation of the GSC Strategy 2013-2017 and also the year of planning the next GSC Strategy. It will be important to ensure that the good progress made since 2013 is capitalized and built upon. During the 2016 SAG Retreat, the GSC SAG had initial discussions in relation to the GSC 2018-2022 Strategy and the production of a zero draft for consultation with the field and other stakeholders during 2017. This new strategy will continue the overall thrust of the previous strategy while contributing towards incorporating the WHS and Habitat III recommendations.

2.c. Advocacy

The GSC will continue working with cluster partners to advocate for the sector in different fora and events.

3.1.5 Previous evaluations or lessons learned:

[List any previous evaluations or lessons learned related to this Action](#)

The main recommendations that this Action seeks to address come from the latest GSC Meeting (5-6 October 2016) and the annual SAG Retreat (12-13 December 2016).

This Action is also informed by the reviews undertaken of country-level clusters in 2015-2016 which are publicly available - Vanuatu (Cyclone Pam), [Ukraine](#) (conflict), Ethiopia, Nepal (earthquake) and Philippines (Typhoon Haiyan).

The WHS, which took place on 23-24 May 2016, and Habitat III, 17-20 October 2016, have made a number of recommendations that are relevant for the GSC and which this Action seeks to start addressing.

The conclusions from inter-agency evaluations, operational peer reviews and other inter-agency evaluations have also been taken into consideration.

3.2 Beneficiaries

3.2.1 Estimated total number of direct beneficiaries

Indicate either the total number of individuals, or organisations targeted by the Action. In UNHCR's case our direct beneficiaries are usually individuals. Please be realistic with the number of beneficiaries.

Number of individuals: XXXXX

Number of organisations: 450 (if applicable)

3.2.2 Estimated disaggregated data about direct beneficiaries **for ERC funding this is not required**

3.2.3 Does the action specifically target certain groups of vulnerability? **for ERC funding this is not required**

Yes No

3.2.3.1 If yes please specify

Women, children, elderly, etc

3.2.4 Beneficiaries: What are the selection criteria? **For ERC funding this is not required**

3.2.5 Beneficiaries: What is the involvement of beneficiaries in the action? **For ERC funding this is not required**

3.2.6 Beneficiaries: More details on beneficiaries? **For ERC funding this is not required**

4 Logic of intervention

4.1 Principal objective

Please select **one** principal objective (and only 1) thinking of the principal objective as the long term benefits that cannot be reached with the proposed project alone.

To more effectively meet the sheltering needs of populations affected by humanitarian crises, by strengthening the shelter response of humanitarian actors through leadership, coordination and accountability in the humanitarian shelter sector.

4.2 Specific objective

4.2.1 Specific objective - short description

Please select **one** specific objective (and only 1) thinking of the specific objective as the short term benefits that will be achieved thanks to the intervention.

To strengthen the shelter response of humanitarian actors by improving country-level shelter clusters and the GSC in line with the commitments from WHS and Habitat III

4.2.2 Specific objective - Detailed description

Use this section only if you want to provide more information on the specific objective. Do not repeat information provided in other sections.

4.2.3 Specific objective - Indicators

Write here the indicators relating to the specific objective + indicate the target value to be reached (number or %) + source of verification

Indicator 1

Description: **Average number of hours in which a trained and experienced coordinator is deployed to newly activated shelter clusters.**

As a reflection of the surge capacity that is foreseen under Result 1, the GSC will continue to be able to respond quickly to the first needs of a response after the cluster activation. With the surge capacity in standby, and not including the constraints with issuing visas, security, and other similar administrative or logistic constraints, the GSC will have a trained and experienced coordinator deployed within 72h, to set up the country-level shelter cluster. This indicator has been maintained from 2013-2014 in order to be able to track progress. However, a number of new mechanisms have been put in place particularly in activities 1.1 and 1.2 in order to strengthen the achievements measured by this indicator.

Baseline (figures: nr or %): **72h after the cluster activation**

Target value: **72h after the cluster activation**

Source of verification: **Deployment reports by the surge capacity**

Indicator 2

Description: **% of shelter cluster partners including the government counterpart that are satisfied with the services provided by the GSC.**

This indicator will measure the satisfaction of the shelter cluster counterparts with the services provided by the Global Shelter Cluster. This satisfaction will include the GSC's capacity to quickly respond to the emergency, the coordination process, and if the cluster timely addressed the needs of the population of concern. In 2017-2018 Action, the GSC will strive to include more government counterparts taking part in the GSC annual meeting, Coordination Workshop and satisfaction surveys. This indicator will therefore be mainly measured through anonymous surveys.

Baseline (figures: nr or %): **75%**

Target value: **75%**

Source of verification: **Feedback from partners through the yearly survey undertaken prior to the GSC meeting, country-level cluster performance management and evaluations.**

Indicator 3

Description: **% of country-level shelter clusters in response mode that are formally assessed by their cluster partners and/or the GSC and which make a plan to implement the recommendations made.**

Most of the country-level shelter clusters consult with their cluster partners through the Cluster Performance Monitoring Tool but many of them do not formally make a plan to implement the recommendations or that plan is not publicly available. The GSC Support Team assesses most of the country-level shelter clusters but the recommendations are not public and the GSC SAG is not involved.

Baseline (figures: nr or %): **20%**

Target value: **60%**

Source of verification: **Results of Cluster Performance Monitoring¹⁶ or equivalent tool, plans to implement recommendations publicly available in website, SAG minutes**

4.3 Results

Result 1

Important note: In 2016 ECHO introduced pre-defined Key Result Indicators. Since we're obliged to use these KRI whenever possible (see below under indicators for more details on what that entails) we need to define our results per sector (food security and livelihoods, WASH, health, nutrition, shelter and settlements, disaster risk reduction/preparedness, mine actions, education in emergencies). Each result can only cover one sector.

In case the sector is Protection, no KRI apply. Note though that we can't choose protection as the sector for sectoral (WASH,...) responses.

¹⁶ Cluster Performance Monitoring (CPM) is a self-assessment exercise in which all cluster partners participate, including UN agencies, national and international NGOs, national authorities and representatives of cross-cutting issues. As part of the exercise, a cluster monitors its performance against the six core cluster functions as set out in the Reference Module for Cluster Coordination at Country Level and accountability to affected populations. It is a country-led process, supported by the GSC, which can help clusters fulfil their core cluster functions and become more efficient and effective coordination mechanisms at national and sub-national level in both sudden onset and protracted crises.

Title: Country-level shelter clusters are effective, efficient, predictable, accountable, and advance the commitments from WHS and Habitat III.

Sector: Shelter and NFIs

Sub-sector: Other, Coordination

Estimated total cost of the result (in EUR): 1,830,020

4.3.1 Estimated total number of direct beneficiaries targeted by the result

Indicate the number of beneficiaries targeted by the result. The number can be expressed as either individuals, or organisations or households or a combination.

Individuals: [nr of individuals you plan to reach through result 1](#)

Organisations: **450**

Households:

Individuals per household:

4.3.2 Beneficiary type

IDPs ☐ Refugees ☐ Returnees ☐ **Local population ☒** Other ☐

4.3.3 Does this result specifically target certain groups or vulnerabilities?

Yes ☐ No ☒

4.3.4 Comments on beneficiaries

[Please add any comments you might have on the targeted beneficiaries \(not compulsory\)](#)

These 450 organisations are the approximate number of partners of all the activated clusters and cluster-like mechanisms. The same organisation will be present in many of these clusters but they are considered different as they are counted at country-level. As an example, CRS in Nepal will be counted as being a different beneficiary from CRS in Iraq.

Indicators

[Add max 5 indicators per result. Provide all the information requested:](#)

Indicator 1.1

Indicator/description: **Average % of time of the Surge Capacity spent on support to country-level clusters (whether in-country or remotely)**

- Baseline (figures: nr or %): **70%**
- Target value (figures: nr or %): **70%**
- Source and method of data collection: **Surge Capacity Monthly Activity Report, Support Team activity dashboard.**

- Possible comments: The core activity of the Surge Capacity (GFPs, RFPs, Roving Cluster Coordinators, Technical Coordinators and Information Managers) is to support country-level shelter clusters. The GSC Surge Capacity aims to spend an average of 70% of their time dedicated to supporting activities at the country level, either remotely or in country. They also contribute to enhance global cluster preparedness, capturing good practices, developing or updating guidelines and tools, and supporting GSC initiatives and priorities. This indicator will be measured through monthly reports produced by the surge capacity on their activities and time dedicated to global and country-level activities.

Indicator 1.2

Indicator/description: % of members of shelter cluster coordination teams that are working at sub-national and sub-sub-national level

- Baseline (figures: nr or %): 40%
- Target value (figures: nr or %): 50%
- Source and method of data collection: Factsheets
- Possible comments: By increasing the % of shelter cluster coordination team members working at sub-national level, these teams are likely to be closer to the operations, provide more localised coordination, better understanding of the local context, and better interaction with local actors including local authorities.

Indicator 1.3

Indicator/description: % of country-level clusters that assess the validity of cash-based interventions and reflect it in their Strategy and Technical Guidelines and Standards.

- Baseline (figures: nr or %): Unknown
- Target value (figures: nr or %): 70%
- Source and method of data collection: Review of country-level cluster Strategies and Technical Guidance and Standards
- Possible comments: The monitoring of this indicator will be supported by the newly capacitated Cash Champions and the Cash and Shelter Working Group. The GSC will further support the development and dissemination of global guidance on cash for shelter to the regional, national and sub-national levels of coordination. The first task of the Cash Champions will be to review existing shelter cluster coordination mechanisms and establish a baseline of the current level of cash-based interventions as considered in Country Strategies and Technical Guidance.

Indicator 1.4

Indicator/description: **Number of countries in which assessment surge capacity is deployed, enabling the organisation of interagency assessments in order to feed into humanitarian funding milestones such as Flash Appeals, CERF, or SRP**

- Baseline (figures: nr or %): **0 assessments**
- Target value (figures: nr or %): **3 assessments**
- Source and method of data collection: **Flash Appeals, CERF, SRP documents, assessment reports**

· Possible comments: Interagency joint assessments provide an important foundation for joint strategic planning and set a baseline for monitoring, evaluation, and reporting. They also give ownership of the process to cluster partners and set a culture of collaboration and accountability that can be maintained through the implementation of the strategy. These assessments will be undertaken using the methodology and lessons learnt in the last years.

Activities

Add as many activities as necessary. Add the main activities that will support the achievement of the result. A title that summarizes the activity as well as a description of the implementation of the activity need to be provided.

Activity 1.1

Title: **Country-level shelter clusters are effective, efficient, predictable, and accountable**

Detailed description:

This Action will strengthen the linkages between the global and local coordination of shelter response efforts in emergencies and protracted crises.

The GSC bodies will have greater involvement in assessing and improving the performance of country-level shelter clusters. The SAG will be more involved in this activity in a number of different ways that could include: agreement on objective criteria to assess the performance of clusters, formal reviews of country level clusters, participation in support missions with Support Team members, and others. The Communities of Practice and Working Groups will also have a greater role in supporting country-level clusters through targeted thematic work plan around actual country-level issues and needs.

The GSC Support Team will continue being the main body supporting country-level clusters. The GSC will maintain the model that was in place in 2013 – 2016 with some improvements to further ensure appropriate support to field operations. The GSC Support Team is the backbone that provides the immediate and medium-term support to country-level clusters both as surge capacity and by providing remote guidance and support. This Action will contribute to ensuring that the Support Team works to its full extent, providing effective and pre-qualified management of the shelter cluster at country level at the onset of an emergency and upon request through timely field missions. The decision on which shelter cluster partners will be involved in the secondment of members of the support team will be done according to criteria decided by the SAG.

The GSC Support Team will consist of the following members:

- 2 GSC Coordinators (1 each from IFRC and UNHCR) (dedicated 50% of their time to the cluster) –

Not included in this action.

- 2 Deputy Coordinators (one 100% dedicated to the cluster and one 90% dedicated) – Covered with own funding from GSC co-leads (UNHCR and IFRC) - **Not included in this action.**

- **4 Global Focal Points (GFP) for Coordination** (one 100%, two 90%, and one 50% dedicated to the GSC)

- **2 GFPs for Information Management** (one 90% and one 80% dedicated to the GSC)

- **1 GFP for Assessment, Monitoring and Evaluation (AME)** (40% dedicated to the GSC)

- **3 Regional Focal Points (RFP)** for Coordination – regional support to the Americas (100%), Asia (50%), and Pacific (50% dedicated) regions.- **The one working for the Pacific is not included in this action.**
- **1 GSC Associate** (100% dedicated to the GSC)
- **2 GFPs for Technical Coordination** (one 100% and one 50% dedicated to the GSC) - **Not included in this action.**
- **2 Senior Roving Cluster Coordinators** (100% dedicated to the GSC and deployable for up to six months within a calendar year)
- **1 Roving Information Manager** (100% dedicated to the GSC and deployable for up to six months within a calendar year) - to be introduced in 2018 as a pilot for 12 months.
- **1 Grant Management Assistant** (100% dedicated to the GSC) – **Budgeted under Staffing costs, not in Activity 1.1**

These roles are explained as follows:

GSC Coordinators

The GSC Coordinators represent the co-leads IFRC and UNHCR. They provide the strategic direction to the GSC advised by the SAG and engage regularly in the Global Cluster Coordinators Group. In addition, the Coordinators inform the Emergency Directors, the IASC Working and Principals groups assuring a well-established Cluster management and strengthening the effectiveness of the responses. The Global Cluster Coordinators also advocate on behalf of the cluster by engaging at various levels in the Cluster Lead Agency, with cluster partners, donors, and other stakeholders and represent the GSC at high-level meetings and consultations.

GSC Deputy Coordinators

Two Deputy Coordinators assist the GSC on behalf of IFRC and UNHCR. They are alternates to the GSC Coordinators in the Global Cluster Coordinators Group and in other inter-cluster coordination fora. This dedicated role is essential for the cluster as the Deputy Cluster Coordinators ensure the day to day running of the cluster. The Deputy Cluster Coordinators will also build synergies between the Action and other activities undertaken outside this proposal by the cluster as a whole, by individual cluster partners or the co-leads, or by other clusters or entities. The role of the Deputy Cluster Coordinators is key for the implementation, monitoring and evaluation of all activities in the Action, having oversight and lead responsibilities in ensuring adequate management of the deliverables under this Action. Those two positions have been fully mainstreamed into long-term co-lead agencies dedicated positions.

Global Focal Points (GFP) for Coordination, Information Management, Assessment and Monitoring

Their main role will continue to be surge capacity with a maximum duration of 1 month. Between deployments, they will continue supporting existing country-level clusters clearly allocated to each GFP. When not deployed and as a second priority, they will support the GSC structures and activities. An important part of the support they will provide to country-level clusters will be done remotely to assist the cluster coordinators or other members of the team that are present in-country.

Predictable, timely and effective shelter cluster coordination at the country level requires immediate availability of dedicated, trained, and experienced staff to deploy within 72 hours of cluster activation. The employment of a dedicated team of GFPs enhances the standing capacity of suitably qualified individuals to provide strong leadership and coordination of the shelter cluster response at

field level. This approach has been successfully used by the GSC since 2013 and has led to a steady increase in country-level clusters' performance.

Outside of emergencies, the GFPs contribute to enhance Global Cluster preparedness for response by capturing best practices and feeding them back into SCT (Shelter Coordination Team) deployments and trainings, leading Working Groups and Communities of Practice, developing or updating guidelines and tools, and supporting GSC initiatives and priorities. According to their expertise, the GFPs will provide support to country-level clusters in specialized areas such as contingency planning, cash for shelter, urban response, settlement planning, handover, transition and exit strategies, among others. They will also ensure appropriate linkages with other clusters, particularly Protection, WASH, and CCCM. The GFPs will work in close collaboration in order to ensure that their work is coherent, coordinated, and useful for the overall cluster.

Additional to the four GFPs for Coordination, there will be two GFPs for Information Management and one GFP for Assessment, Monitoring, and Evaluation (AME). The GFPs for Information management have been instrumental in consolidating guidance, setting up IM systems in new emergencies, supporting SCTs in country directly, and developing training materials. During the 2017-2018 Action, the GFPs for IM will lead the improvement of the Cluster Performance Monitoring Tool and consolidate results from country-level clusters. The GFP for AME will be leading the planning, developing and carrying out assessments, as commissioned by the GSC and supporting the cluster in extrapolating evidence-based information, lessons learned and best practices from the field.

The GSC Associate will ensure that the support provided to country-level shelter clusters in terms of administrative, operational, financial and human resources issues by the GSC is timely and effective. S/he will also ensure that the GSC website is kept updated and will support the GSC preparedness system both at global and country levels. The GFPs for IM, AME and the GSC Associate have an important role in ensuring consistency in the approach and tools used, thus, continuity in these roles is essential.

Regional Focal Points for Coordination (RFP)

There will be three Regional Focal Points (RFP) for coordination, reporting to the Deputy Global Shelter Cluster Coordinator. Their main role will be to support country-level clusters with preparedness and contingency planning activities. They will also provide surge capacity when required to help set-up clusters or fill specific gaps. Between deployments, they will provide remote support to country-level clusters in their regions according to their skills, in areas such as contingency planning, urban responses, settlement approach, and others.

The RFPs will support national and sub-national shelter clusters through improved cooperation and coordination between clusters, national capacity mapping/baseline, national actors and development actors at every stage from preparedness to response and through the facilitation of national and local NGO participation. Similar to the GFPs and according to their expertise, the RFPs will provide support to country-level clusters in specialized areas such as Contingency Planning, Urban Response, Settlement Planning, and others, and provide increased and focused support to country-level cluster based preparedness activities. The RFPs will also organize and attend the global, regional and national coordination workshops undertaken to capture and share good practices, they will contribute to the trainings, and will upload tools and documents in sheltercluster.org. Their knowledge and experience will thus be shared with others.

Senior Roving Technical Coordinators X 2

These two roles were introduced in late 2016 in recognition of the need to support the technical function better. Until then the cluster had focused its surge capacity in providing coordination, information management, and assessment and monitoring services. While these services are still needed and demanded by country-level clusters, the need to support country-level clusters on the technical issues related to shelter implementation had been identified. During the GSC Strategic Advisory Group (SAG) retreat, the SAG agreed that a Global Focal Point (GFP) on Technical issues should be created. Two partners agreed to second this position to the GSC. Their tasks are:

1. Be deployed for up to three months to provide support on shelter and settlement technical issues to country-level shelter clusters.
2. Support country-level clusters by developing global level tools on technical issues. These tools will include templates, trainings, toolkits and others.
3. Moderate the GSC Technical Community of Practice and participate in GSC initiatives, working groups and fora upon request.

Senior Roving Cluster Coordinators X 2 (SRCC)

In 2016, the GSC introduced a Senior Roving Cluster Coordinator role to sustain essential country-level coordination through the securing of longer term deployments. Two SRCCs on retainer contracts were recruited and made available for deployments of up to six months to operationalise clusters in response to new crises or scale up existing shelter response in the face of escalating humanitarian needs. One of them was deployed to cover the recruitment gap between national coordinators in Yemen for 95 days and both of them were deployed to Iraq to support coordination efforts in Baghdad (188 days) and KRI (211 days). In the case of Iraq, a double deployment was considered necessary in order to be able to ramp up the preparedness activities for the Mosul offensive while at the same time covering the recruitment gap between national and sub-national coordinators. In 2017-2018 these roles will be made available for immediate medium-term deployment to complex crises requiring senior expertise until longer-term coordination capacity is put in place. It is expected that SRCCs will minimise coordination gaps by providing both the surge capacity and medium-term capacity.

Roving Information Manager (RIM)

Building on the success of the SRCCs, this new role will be introduced in 2018 for 12 months. Recruitment gaps and delays, combined with high turnover of IM staff in the field, have at times impaired the capacity of national and sub-national clusters to base shelter response on solid data which is systematically collected and analysed. Information Management systems provision is a key function of clusters which, when properly set up and managed, allows for credible gap identification, assessment of needs and capacities of national partners and beneficiaries, provision of evidence-based information for advocacy and resource mobilization and is informs key strategic documents (HRP, HNO, etc.) and decision-making bodies (HCT, Agencies HQ). Since 2013, GFPs for Information Management have seen an overwhelming part of their time being dedicated to repeatedly covering gaps or delays in recruitment at country-level - their work needs to be re-focused on primarily providing global guidance and remote support and selected field missions for the purpose of setting or scaling up IM systems in country.

GFPs for IM and Roving Information Manager will support the establishment and mainstreaming of **periodic monitoring and assessment of country-level cluster performance**. This is an inter-cluster

tool which assesses the extent to which national and sub-national coordination mechanisms are effective, transparent and accountable and what measures should be put in place to better deliver the cluster core functions. It is a participatory tool which engages national and sub-national partners to identify areas of improvement and then encourages them to take ownership and responsibility of implementing remedial actions. Based on feedback received in recent roll-outs of the tool, the GSC will simplify the current questionnaire and develop a set of guidance and supporting documents to direct country shelter coordination teams on how to encourage wider participation by partners, interpret performance reports, lead workshops and devise and implement Action Plans. These tools will be shared with other global clusters. Analysis of country-level Cluster Performance Monitoring reports and remedial actions will be compiled by the GSC to inform future strategic direction and global decision-making. Through this Action, the existing appraisal mechanisms, including the IASC tools for monitoring the performance of country-level clusters, will consistently be put in place in the country level shelter clusters.

Activity 1.2

Title: **The Global Shelter Cluster addresses the commitments of the WHS and HABITAT III**

Detailed description:

Through this Action, the GSC strives to translate the high level commitments of the WHS Grand Bargain and HABITAT III into practical activities that can be implemented by the country-level clusters and cluster partners. The GSC introduces a number of new activities which build on lessons learned from and direct feedback provided by country-level cluster teams, national and global partners. These approaches were discussed during the GSC meeting in October 2016 and during the GSC SAG Retreat in December 2016. They are approaches that the GSC has not tried before at this scale or in these areas, but that have been successfully used by other stakeholders or are new improvements to the current approaches. They include the following:

Localise coordination:

The GSC recognizes the importance of local context in shelter responses. Country-level clusters have tried in many different ways to increase the participation of local stakeholders including Governments and to adapt the response to the local context. This Action will systematize and roll out those efforts. This will be done as follows:

- Localisation will become **one of the priorities** of the cluster for 2017-2018.
- Identify good practices in localisation of coordination and response, and promote them as part of the work of the Support Team, in trainings, and in cluster events.
- Promote the roll out of **preparedness workshops** in high-risk countries and use a common methodology for these preparedness workshops based on past experiences. Emergency preparedness is an essential component of resilience and can reduce significantly the time and financial investment required to set up a subsequent response. Preparedness workshops will provide the basis for early-on engagement with authorities, line ministries and shelter actors, identification training needs, mapping of existing national and sub-national coordination capacities and mechanisms, and ultimately the deeper localisation of the response. The results of the workshops will be shared with the GSC Support Team and with the Communities of Practice. At least **four** preparedness workshops will be delivered to involve local stakeholders early on, provide training on shelter operations and coordination and identify in advance existing sub-national coordination partners and capacities. The preparedness workshops will also allow for the identification of primary relationships with

line ministries and developing preliminary coordination agreements which may include a list of possible from those line ministries who would be engaged in coordination.

- Prepare and disseminate **Country Profiles** that include key shelter related data such as government counterparts, local construction methodologies and materials, shelter-related HLP issues, and others.
- **Sub-national and sub-sub-national coordination:** reviews and feedback collected by the GSC demonstrates that when the focus of coordination is at the sub-national level, shelter design and implementation take into account better the local context and local capacities and vulnerabilities.
- Significant effort will be made to **engage local authorities, national and local NGOs and civil society** organisations and encourage their contribution to coordination mechanisms as SAG members, co-chairs and Working Group leads.

Cash Champions:

GSC-led evaluations and feedback analysis consistently recognised the need for dedicated cash expertise and shelter-specific guidance on cash programming. At the Global Cluster Coordinators Retreat in January 2017 it was mutually agreed by each Cluster that they should prioritize efforts to develop cluster-specific approaches to cash implementation and also endeavour to harmonize core approaches across sectors. The GSC seeks to develop global capacity and methodology in the field of cash for shelter response in a similar way as it has developed and deployed REACH capacity to design and carry out shelter assessments in country. This will be achieved through an open call for expressions of interest and identifying partner organisations which are willing to create and deploy this capacity on behalf of the cluster. The Cash Champions will provide expertise to country-level clusters in carrying out market assessments and implementing shelter projects using cash as a modality.

Bridging the humanitarian/development divide: enhanced cluster preparedness and resilience activities.

- **HLP and Shelter:** linking with the preparedness workshops to advance localisation, HLP country profiles will be made available to cluster partners. These profiles will provide information on HLP issues that have an impact on shelter programs. HLP is a critical aspect that needs to be mainstreamed across shelter responses. Surge capacity will be deployed to strengthen country-level shelter clusters in HLP, building on the existing shelter cluster due diligence in shelter guidelines and other tools. This will be done in collaboration with the Protection Cluster HLP AoR.
- Promote the use of **market-based responses such as cash and fairs as an alternative to NFI distributions** where applicable as well as other good practices related to meeting household needs such as the use of scorecards and post-distribution monitoring. These approaches have been successfully developed in the past years in DR Congo and Somalia. The NFI Working Group worked in 2016 to analyse and capitalize on these approaches so that they can be replicated in other countries.

Activity 1.3

Title: Operational analysis informs improved practice and fosters innovation through an integrated system.

Detailed description: The GSC remains committed to the systematic analysis and assessment of its activities and to a culture of transparency and accountability to its stakeholders. In order to fulfil this commitment, an integrated system of assessment, monitoring, evaluation, capturing best practices, and disseminating learning will be put in place. This system will include the following:

- 3 assessment and monitoring activities
- Best practice and lessons learned captured and disseminated to country-level clusters.

GSC Assessments

With the support of REACH and building on a long-standing partnership since 2010¹⁷, shelter cluster assessments will be implemented in the aftermath of a disaster by (1) providing dedicated human resources; (2) facilitating interagency assessments coordination and roll-outs in the field; (3) ensuring timely assessment data analysis and diffusion of its results to enable quick and informed decision making. Interagency needs assessments inform operational strategies of humanitarian actors, cluster's contributions towards HRPs, HNOs and sector response plans, and provide credible baseline data at the onset of an emergency. They also give ownership of the process to cluster partners and set a culture of collaboration and accountability that can be maintained through the implementation of the strategy.

For example, in March/April 2015 a dedicated GSC/REACH team conducted a baseline needs and situation assessment in Vanuatu, following Cyclone Pam. Several agencies participated in the assessment - seconded enumerators, reviewed the methodology and supported the analysis (Area Councils, Community Disaster Committees, UN-Habitat, the United States Peace Corps, and the University of the South Pacific, the Vanuatu Red Cross, and the Vanuatu Youth Challenge¹⁸).

Predictable joint assessments further enhance the capacity of cluster partners and country-level clusters through the dissemination of assessment methodologies and tools from the global to the national and sub-national level. In 2017, the methodology developed and tested by REACH will be made available to cluster partners and a number of local partners will be trained to use it in the field.

Good practice and lessons learned captured and disseminated

- **National workshops:** Practice has demonstrated that country-level workshops to review the shelter response have a very positive impact. They are also a good opportunity to undertake preparedness activities. Additionally, country-level workshops can serve as a way to gather information that will be used at global level or by other clusters, or to disseminate information. In 2016, the GSC supported a number of national and regional workshops to capture and share good practice from country-level shelter clusters on a variety of topics - NFI best practices (Kenya), NFI vouchers and fairs (DRC) and Shelter and GBV (Panama, South Sudan, Burundi and Pakistan). This collection of good practice and lessons learned were instrumental to inform strategic discourse at the global level and many of the examples and tools are taken one step further with this Action. For instance, the Shelter and GBV workshop in Panama served to gather information that helped develop the Shelter and GBV guidelines.

In December 2016 a GSC Team led a regional workshop on NFI good practices for meeting household needs in Nairobi, Kenya, involving 26 participants from the government and eight humanitarian

¹⁷ Since 2010, REACH has supported the GSC to conduct 28 assessments:

¹⁸ Full assessment report is available [here](#).

agencies. The outputs and recommendations from this workshop require dedicated capacity to 1) collect, review and disseminate NFI resources and 2) develop good practice documents and case studies. The NFI Practices Working Group will continue to deliver on these recommendations in 2017, conducting a similar workshop in Asia-Pacific. Participants' feedback informed the strategic decision by SAG members to promote the wider use of fairs, vulnerability scorecards and post-distribution monitoring for shelter-related NFIs.

- **GSC Global Coordination Workshop:** brings country-level coordination teams together once a year to review and revise shelter coordination methodologies, tools and practice.

Sectoral approach to urban crises will be better defined through collaborative engagement with other sectors and stakeholders in the framework of technical working groups.

- **WASH and Shelter:** a bi-cluster working group will be established with the Global WASH Cluster to develop multi-sector approaches suitable for complicated urban contexts.
- **Settlement approach:** the GSC will work together with other clusters and OCHA to better define and support a settlement approach to urban response.
- Supporting existing initiatives that focus on **urban contexts** and engage development actors ensuring that the GSC represents and channels the perspectives of the most vulnerable in humanitarian contexts as a priority. These initiatives include the Global Alliance on Urban Crises, the IASC Reference Group on Meeting Humanitarian Challenges in Urban Areas, and the ACTED IMPACT UCLG ECHO ERC-funded project to pilot and promote localised response and coordination in urban areas affected by crises.

Additional support to country-level shelter clusters will continue to be provided through the existing and new GSC Working Groups¹⁹, Communities of Practice²⁰, HelpDesk²¹ and the SAG.

4.4 Pre-conditions

Please fill this in by answering the following question: which conditions outside of our direct control need to be met for us to start implementing the activities. A list of bullet points is sufficient. (eg: sufficient funding of the operation, sufficient staffing levels, signature of an MoU etc..)

- Full engagement of GSC partners and in particular GSC SAG members. This engagement is expected to continue given the fact that this Action is the continuation of and development of previous activities undertaken by the cluster to implement the GSC Strategy and that it has been agreed with the GSC SAG during the SAG Retreat 2016.
- Cluster lead agencies continue their commitment to co-lead the GSC with the same level of support as expressed when this proposal was written.
- No major changes will take place in the administrative rules and regulations of UNHCR and the partners implementing the ERC grant.

¹⁹ Active GSC Working Groups in 2017 are: Shelter and Cash, Shelter Project, GBV in Shelter Programming, NFI Practices and joint WASH-Shelter WG on urban crises.

²⁰ Communities of Practice provide an entry point to expertise on a wide variety of topics. Find more [here](#)

²¹ HelpDesk support was introduced in 2016 and is explained [here](#).

- No major changes will take place in the human resources currently involved in the management of the GSC.

4.5 Assumptions and risks

Please fill this in keeping in mind that these should be the conditions to be met for our operation to be successfully implemented. These should be external factors that we cannot control. They should be formulated in a positive way. Bullet points are fine. (eg: the government of xx maintains an open-border policy, the security situation remains stable in the neighbouring countries etc)

- Other donors will contribute funds to the proposal to complement ECHO's contribution.
- The number of activated shelter clusters will remain similar to the current one with no dramatic increase particularly of System-Wide Level 3 emergencies.
- No major changes in the IASC humanitarian architecture will take place.
- Partners implementing the grant will fulfil their commitments as outlined in the Project Agreements that will be signed.
- No major changes will take place in the administrative rules and regulations of ECHO, UNHCR and the partners implementing the Action.
- No major changes will take place in the human resources currently involved in the management of the GSC.
- The exchange rate between EUR and USD will remain at a similar level during the implementation of the grant.
- Visas and other logistical constraints will not cause significant delay in deployment of GFP, RFPs or SRCCs.
- Security restrictions will not have significant influence on the access and what nationalities can be deployed, thus limiting the number of candidates that can be chosen and possibility to deploy GFPs, RFPs and SRCCs.
- The inter-agency environment continues supporting clusters in a similar way as done until 2017.
- The humanitarian environment does not change drastically to the way it has been operating in the last two years.

4.6 Contingency measures

Please fill this in by indicating which measures we would take should the risks and assumptions materialize so that the result can still be achieved?

- The GSC SAG is working to increase the cluster's donor base and other sustainability mechanisms.
- The organizations previously committed to implement the GSC Strategy, and those participating in the SAG were fully involved in developing the Action. This reflects the full engagement of the cluster members on implementing the Action and willingness to strengthen the cluster capacity.
- To avoid the risk of deployments not happening due to visa and nationality constraints, the GFPs, RFPs and SRCCs will be selected thinking of the diversification of nationalities of the team.

- If the assumed risks materialize, security issues and/or visa restrictions, the Global Cluster will need to re-evaluate where Shelter experts can be deployed to, and determine whether or not it is feasible to provide technical assistance remotely.
- If the security situation affects a planned training event, an alternative venue will need to be arranged. Agency mechanisms are in place to identify and respond appropriately to changes of circumstances.

4.7 Additional information on the operational context of action

If necessary, please use this section to provide additional information on specific issues raised in sections 4.4 to 4.6. It should not, however, repeat information already provided in other sections.

5 Quality Markers **this is not required in an ERC proposal**

5.2.1 Resilience marker **this is not required in an ERC proposal**

Please reply to the below questions. ECHO wants partners to assess the proposed activities by answering the 4 quality criteria and selecting the relevant answer: Yes, or not sufficiently. Based on the answers, each Action will be marked with a score (0-2) by ECHO.

1-Does the proposal include an adequate analysis of shocks, stresses and vulnerabilities?

Yes " **Not sufficiently** "

2- Is the project risk informed? Does the project include adequate measures to ensure it does not aggravate risks or undermine capacities?

Yes " Not sufficiently "

3-Does the project include measures to build local capacities (beneficiaries and local institutions)?

Yes " Not sufficiently "

4-Does the project take opportunities to support long term strategies to reduce humanitarian needs, underlying vulnerability and risks?

Yes " Not sufficiently "

5.2.2 How does the Action contribute to build resilience or reduce future risk?

Please give details how the action will contribute to build resilience or reduce future risk.

6 Implementation

6.1 Human resources and management capacities

Please explain briefly how human resources (both expatriate and local) will be mobilised to ensure an effective and efficient implementation of the Action.

Grant Management Assistant

The Grant Management Assistant will ensure that the Action is implemented in full compliance with the donors and UNHCR regulations. In order to do this, s/he will:

- Build the partnership between UNHCR and implementing partners, through the creation and monitoring of Partner Partnership Agreements;
- Provide support in all areas of grant implementation (programme, finance, reporting);
- Monitor the use of resources, particularly of the members of the Support Team, through the monthly monitoring reports;
- Ensure timely achievement of grant deliverables and outputs;
- Prepare and submit for consideration the narrative and financial reports required by the donor.
- Ensure that the donor's principles and regulations are included in the Agreements and in the activities to be implemented by the partner organizations;

These activities represent a large amount of work that will need the full dedication of the Grant Management Assistant through the Action. The Grant Management Assistant will need to know or learn how to use the UNHCR specific programming tools (MSRP and Focus) and regulations related to agreements with implementing partners; and learn how they relate with the donor's reporting regulations. This work needs to be done by a UNHCR employee in order to access the systems and requires time, attention, and dedication. Past experience in the management of similar numbers of implementing partners shows that a full time person will be needed.

6.3.1 Equipment and goods

Please provide information on major equipment and goods to be purchased. Please specify if there are possible constraints linked to this procurement (e.g. lengthy, complex procedure).

This mainly concerns the purchase of equipment/goods which are **not** already included in any of the results.

No major equipment or goods will be purchased through this action.

6.5 Work plan

Work plan is included in Annex 1

6.6 Specific security constraints

Most of the preparation and work being done to build the GSC's capacity is happening at the global level, therefore there are no immediate security concerns. Security will, however, play a major role in determining to deploy the GFPs, RFPs, and the long-term members of the shelter coordination teams. Security will also be important when selecting the locations where trainings and other events can be conducted. When deployed, these members will comply with the local security procedures of the cluster lead organisation or the organisation they are seconded to.

6.7 Implementing partners

6.7.1 Are there any implementing partners?

Yes ☒ No ☐ Do not know yet ☐

6.7.4 Coordination, supervision and controls

Please find below a text approved by ECHO. Only modify or add additional information if necessary.

The GSC SAG revised and approved the concept note and the proposal to be submitted to ECHO. Additionally, the SAG will agree on a process and criteria to select beneficiaries which might be the following:

- A call for expression of interest to implement different parts of the proposal will be sent to the GSC partners through a global update.
- The Support Team will receive the expressions of interest, rate them against the agreed criteria, and propose them to the SAG.
- The SAG will agree on the final selection of beneficiaries.
- All the minutes of the SAG meetings related to the beneficiaries' selection process will be available on a dedicated page of the Shelter Cluster website.

Once the beneficiaries are selected, a standard partnership agreement will be signed between UNHCR and each of the partners outlining the activities to be carried out by the partner. Monthly progress reports, quarterly financial reports, semi-annual narrative and financial + narrative final reports are to be provided as per the signed agreement. Partnership agreements could be also subject to external audit by an audit firm contracted by UNHCR.

UNHCR and IFRC as cluster co-leads closely monitor and supervise the implementation of activities under the partnership agreements. Regular coordination meetings are held on the sector level and collaboration and referral mechanisms are established between partners.

6.9 Implementing partner list

Please include the list of partners in an annex. The list should include the name of the partner and its role in the action.

The list of partners has not been finalized yet. It will be provided as soon as it is agreed.

7 Field Coordination

7.1 Operational coordination with other humanitarian actors

Please describe the coordination structure in place both at local, national and regional levels.

The GSC is an active participant of the IASC Global Cluster Coordinators Meeting, and other IASC fora. The participation in these groups facilitates coordination between the GSC, other clusters and global level partners. Furthermore, it promotes coherence on the responses

provided by the different clusters, on the monitoring and performance evaluation tools and on the information provided to the clusters' stakeholders. Additionally, the GSC has bilateral coordination with clusters that are closely related such as Protection, CCCM, and WASH.

When deployed to the field, GSC Support Team members will coordinate at national level with the existing coordination structures such as the Inter-Cluster Coordination Group, the Humanitarian Country Team or others. The Regional Focal Points will coordinate with regional coordination structures such as RedLac for the Americas or the Regional Humanitarian Country Team in the Pacific.

7.2 Action listed in

“ Consolidated Appeal

“ Flash Appeal

“ Red Cross/red crescent appeal

“ Other – please specify

7.3 Coordination with national and local authorities this is not required in an ERC proposal

7.4 Coordination with development actors and programmes this is not required in an ERC proposal

8 Monitoring and Evaluation

8.1 Monitoring of the action

Please find below a standard text approved by ECHO. Please only modify or add information if necessary.

Mission reports and monthly monitoring reports will be submitted by the GFPs, RFPs, and SRCCs on the development of their activities. These reports will be consolidated quarterly and submitted to the SAG and the Global Cluster Coordinators.

Monitoring activities will also be carried by partners and followed up by the Grant Management Assistant and the support team. Regular updates will be maintained to monitor and report on planned activities.

8.2 Evaluation of the action

Do not tick anything

“ Internal evaluation of the action's results

“ External evaluation of the action's results

“ External audit (only if compulsory)

8.3 Studies carried out in relation to the action (if relevant)

☐ No ☐ Yes

9 Communication, Visibility and information activities

9.1 Visibility

9.1 standard visibility

A. Display of EU Humanitarian Aid visual identity on:

☐ Signboards, display panels, banners and plaques

☐ Goods and equipment

[Provide additional info on what we plan to do](#)

B. verbal acknowledgment of EU funding and partnership through:

☐ Press releases, press conference, other media outreach

☐ Publications, printed material (for external audiences, not operational communication)

☐ **Social media**

☐ **Partner's website (pages related to EU funded projects)**

☐ Human interest blogs, photo stories

☐ Audio-visual products, photos

☐ Other

[Please provide additional information on what we plan to do](#)

The dedicated ECHO contribution page on the Shelter Cluster website will continue to be regularly updated. The page has the DG ECHO logo and a link to the DG ECHO website and it will be consistently mentioned in correspondence related to the project. The page includes the text of the proposal agreed with ECHO, a description of the process followed to agree on the proposal and those that will implement it, a summary of the activities that will be implemented as part of the proposal and who will do it.

Leaflets will be created explaining the ECHO contribution as well as the surge capacity, GFPs, and RFPs. These leaflets will have the DG ECHO logo following the Visibility, Information and Communication in the European Commission's humanitarian aid toolkit. These leaflets will be printed and distributed during the GSC meeting. They will also be distributed at the country-level in some missions of the Support Team and the links will be shared in different related emails. The leaflets will be visibly portrayed in the ECHO webpage of the cluster.

The ECHO contribution will be explained by the members of the Support Team during their missions and when they participate in meetings, trainings and other events. During the GSC meeting, the coordination workshops, the SAG Retreats, the trainings and meetings that the members of the Support Team will have during their missions, a slide including the DG ECHO logo will be projected to physically show the ECHO contribution. This contribution will be mentioned in some of the GSC Global Updates that the cluster regularly sends to around 650 subscribers. These subscribers include shelter practitioners, members of country-level cluster coordination teams, senior staff in humanitarian organisations, donors, academia, governments and others. The GSC Twitter account will mention the ECHO contribution.

9.2 Do you foresee communication actions that go beyond standard obligations?

10 Financial overview of the action

Please provide the information for each sub-section below. DRRM Brussels will fill in the sub-section on the contribution requested from ECHO.

10.1 Estimated expenditures

Implementation costs: 1,982,020 EUR (total of Result 1, staffing and visibility costs)

7%: 138,741 EUR

Total Costs: 2,120,761 EUR

Contribution requested from ECHO: 1,000,000 EUR

10.2 Financial Annex

Please provide a budget by filling in the attached budget format.

Attached

10.6 Financial contribution by other donors

Please find below a standard text approved by ECHO. Please only modify or add information if necessary.

The Executive Committee of the High Commissioner's Programme annually reviews UNHCR's programs for approval. Funding, however, depends almost exclusively on voluntary contributions outside those provided through the United Nations Regular Budget. UNHCR, thus, has no guaranteed level of income to cover all of its approved and mandated activities. In addition, many voluntary contributions received by UNHCR either have no earmarking or are limited to a particular region/country. Such funds are thus allocated, as and when they are pledged and received, to the different operations according to requirements. Therefore, UNHCR can only state the identity of all donors to a specific operation once its annual accounts are closed. Information on the current year is published annually with UNHCR's Global Appeal (available on UNHCR web site: <http://www.unhcr.org>). This proposal is for a multi-donor action, and as such, no overlap or double funding can occur, except in the unlikely event of the operation being over-funded with earmarked contributions. Should this event take place, UNHCR will consult with ECHO an appropriate action.

No earmarked funding has been secured except for the partner' own contributions. However, as part of the sustainability strategy the GSC will actively try to get other donors on board.

11 Request for derogation

Derogation request #

[Explain the nature and the necessity of the derogation.](#)

12 Administrative Information

12.1 Name and title of legal representative signing the Agreement

Ms Emmy Takahashi, Head of Unit, UNHCR Brussels

12.2 Name, telephone, e-mail and title of the contact person(s)