NGO Outreach for Early Recovery

Strategies for Improved Coordination and Implementation of the Early Recovery Approach

Prepated for: The Culster Working Group on Early Recovery
United Nations Development Programme
Bureau for Crisis Prevention and Recovery

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Executive Summary

Background

The Cluster Working Group on Early Recovery (CWGER) is the global Working Group tasked to integrate Early Recovery into the international humanitarian architecture. As part of their outreach campaign, the CWGER commissioned a report to analyze the extent to which selected humanitarian INGOs integrated aspects of the Early Recovery approach during the 2010 flood response in Pakistan. The CWGER requested an analysis of INGO programs, with explicit interest regarding the planning, coordinating and transition processes each INGO applied during the relief phase of the response. In addition, the CWGER wanted to know the extent to which the selected INGOs integrated elements of the Early Recovery approach into their planning and coordination processes. The CWGER hopes to use the information provided in this report to learn how best to engage and collaborate with INGOs before and during humanitarian crises. Furthermore, the CWGER hopes to use the recommendations included in this report to determine what feasible measures it can or should take to support the selected INGOs in their efforts to integrate Early Recovery in their programs before and during a crisis.

The Early Recovery Approach

This report focuses on Early Recovery in two distinct approaches: cluster-driven Early Recovery, and "informal" Early Recovery. For the purposes of this report, cluster-driven programs are implemented by the INGOs working under the Early Recovery Cluster. Early Recovery Cluster-driven programs are implemented by all affiliated NGOs that operate as part of the Early Recovery Cluster. In Pakistan 2010, the Early Recovery Cluster was activated as part of the UN Cluster system and titled the Community Restoration Cluster. Informal Early Recovery describes the processes INGOs applied when planning, coordinating, and implementing relief

projects that embody qualities of the Early Recovery approach but were not titled "Early Recovery". For both cluster-driven and informal Early Recovery, this report contains an in-depth analysis of INGO projects and processes as well as an analysis of barriers and challenges encountered by the selected INGOs during the 2010 flood response in Pakistan that may have inhibited successful Early Recovery implementation and integration.

Interviews and Analysis

The INGOs analyzed for this report include the Danish Refugee Council, International Rescue Committee, Oxfam and Save the Children. As requested by the CWGER, this report analyzes strategies the selected INGOs applied when implementing Early Recovery Cluster-driven programs and integrated aspects of the Early Recovery approach in terms of specific projects and processes, respectively. In Pakistan 2010, the Early Recovery Cluster was titled the Community Restoration Cluster. Both International Rescue Committee and Oxfam operated under the Community Restoration Cluster and implemented cluster-driven programs focused on Early Recovery initiatives. Save the Children implemented projects independent of the Community Restoration but were analyzed to determine the extent of Early Recovery approach integration within their programs and processes.

For both cluster-driven and informal Early Recovery, this report contains an in-depth analysis of INGO projects based on extensive interviews. All respondents were active coordinators of the 2010 humanitarian flood response. In total, 11 interviews were conducted. Interviews followed a semi-structured framework to maintain question consistency throughout the interview process while leaving room for unscripted questioning. Responses were then reviewed to determine patterns and inconsistencies. Based on the patterns, responses were coded and catalogued into tables and analyzed.

Findings

Based on thorough analysis, the INGOs sampled adequately integrated elements of the

Early Recovery approach into their projects during the relief phase. Though most INGO staff

interviewed indicated their response programs included elements similar to or reflective of

Early Recovery, most INGO programs were not titled "Early Recovery". Instead, programs titled

Disaster Risk Reduction (DRR) or Rehabilitation were more common. Findings show that all

INGOs interviewed integrated the Early Recovery approach specifically by engaging with

national NGOs and local civil society, as well as collaborating with local government authorities

to sync long-term agendas.

While findings conclude an adequate degree of Early Recovery integration, INGO

respondents also noted several barriers and challenges that inhibited their ability to coordinate

with other cluster-affiliated NGOs and other UN clusters in the field. INGOs faced difficulties

with upper-level management based in Islamabad, including the Government of Pakistan (GoP),

the Humanitarian Country Team (HCT) and the Humanitarian Coordinator (HC). Respondents

also noted issues that occurred within the Community Restoration Cluster that hindered INGO

coordination. Specifically, all respondents stated that cluster meetings were mismanaged

particularly in terms of information sharing among cluster-affiliated NGOs. Moreover,

respondents noted that unstable funding also contributed to project delays.

Despite these challenges, however, all INGO respondents provided examples of

successful strategies their respective organization applied to overcome barriers and implement

effective relief programs. These examples particularly convey effective methods and strategies

INGOs used when planning and coordinating relief programs. All examples included strong

community level engagement and coordination with local government officials. Accordingly,

these "successful strategies" detail projects that embody elements of the Early Recovery approach.

Recommendations

Finally, this report also synthesizes interview responses to generate recommendations for the CWGER to consider. The recommendations aim to improve engagement with and support to INGOs at the global level to encourage coordination and implementation of future Early Recovery Cluster projects and integration of the Early Recovery approach among humanitarian actors. One such step would be to hold global-level INGO workshops on Early Recovery. These workshops should teach INGOs about the Early Recovery approach, the value of incorporating it into INGO programs in crisis settings. Another step would be to send Early Recovery Advisors to cluster-lead agencies before a crisis to help coordinate programs and mainstream Early Recovery into each global-level cluster program. By engaging with cluster-lead agencies before a crisis, the cluster-deployed ERA could form stronger relationships with the various cluster leads. Thus, when an emergency hits, the cluster-lead agency will already understand the value of the Early Recovery approach.

While recommendations do not directly address the cluster-affiliated issues and challenges discussed throughout this report, the recommendations provided do focus on measures the CWGER could take globally to improve Early Recovery approach integration into the humanitarian architecture and lay the foundations for successful Early Recovery program implementation by INGOs in the field.

Client

The United Nations Development Programme – Bureau for Crisis Prevention and

Recovery (UNDP - BCPR) is the lead agency for the Cluster Working Group on Early Recovery

(CWGER). As cluster lead, UNDP's mission is to integrate the Early Recovery approach into the

humanitarian response at the global and country level. The CWGER is the global Working Group

tasked to achieve this mission. Moreover, as the lead agency, the IASC Transformative Agenda

(TA) mandates UNDP, through the CWGER, to facilitate coordination between UN humanitarian

agencies and INGOs prior to and during a humanitarian crisis to create a more unified and

harmonized relief effort that strengthens local capacity, shortens the length of the crisis, and

promotes a more streamline transition between relief and recovery (CWGER Info). To achieve

these goals, the CWGER is charged to help integrate the Early Recovery approach into UN and

INGO relief policies and programs.

The CWGER commissioned a report to analyze the extent to which selected

humanitarian INGOs (see Methodologies Section) integrated aspects of the Early Recovery

approach during the relief phase of the 2010 flood response in Pakistan. The CWGER requested

an analysis of INGO programs, with explicit interest regarding the planning, coordinating and

implementing processes each INGO utilized during the relief phase of the response. Specifically,

the CWGER wanted to gain information and responses to the following questions:

1. Are the selected INGOs integrating aspects of the Early Recovery approach into their

   humanitarian policies and programs? If so, to what degree are the INGOs integrating

   elements of the Early Recovery approach into their programs?

2. If so, how are the INGOs integrating this approach? If not, what are the reasons?

3. Are there specific challenges the INGOs face that impede integration?

4. Further, what measures, if any, can the CWGER take to support the INGOs before and during the humanitarian response to weave elements of the Early Recovery approach into the INGOs' programs?

The CWGER hopes to use the information provided in this report as a means to learn how best to engage and collaborate with INGOs before and during humanitarian crises. Furthermore, the CWGER hopes to use some of the recommendations included in this report to determine what feasible measures it can or should take to support the selected INGOs in their efforts to integrate Early Recovery in their programs before and during a crisis.

Part I. Background Information

Early Recovery Defined

As part of the 2005 United Nations Humanitarian Reform, the Early Recovery approach was designed to bridge the gap between relief work and longer-term development goals in post-crisis settings. This approach integrates longer-term recovery objectives into the early stages of the humanitarian relief response (CWGER). The Early Recovery approach aims to immediately "restore the capacity of national institutions and communities to recover from a conflict or natural disaster" to mitigate the impact and recurrence of the crisis (CWGER).

The Early Recovery approach has three main objectives. First, it augments on-going emergency assistance operations by incorporating development principles into humanitarian programs (CWGER). For example, during a famine, an Early Recovery-style program will distribute food donations to mitigate starvation (immediate assistance) as well as distribute

seeds and farming tools to help quickly revive socioeconomic activities (longer-term assistance) (CWGER, 2008, p. 10). The goal is to "encourage self-reliance of affected populations and help rebuild livelihoods" as soon as possible following a crisis (CWGER, 2008, p. 10).

Second, the Early Recovery approach implements and supports community-led recovery programs. For example, during a crisis, the CWGER will deploy Early Recovery Advisors (ERAs) to help the UN Humanitarian or Resident Coordinator (HC/RC) coordinate the humanitarian response. ERAs advise the HC/RC on how to partner and engage with affected governments and civil society to incorporate local agendas and ideas into the planning process. For example, the ERA will advise the HC/RC to consult and collaborate with the local government or civil society to develop a post-crisis needs assessment. ERAs thus enable affected communities to design recovery initiatives and participate in the relief process (UNDP, 2012, p. 6). These needs assessments are then used to as a roadmap to dictate the programs implemented by UN Clusters and NGOs operating as part of the UN Cluster system to restore basic goods and services and rebuild infrastructure.[1]

Third, the Early Recovery approach establishes the foundations for nationally-owned longer-term recovery. ERAs also work with local governments to develop or review national recovery policies and programs, for example rule of law or governance policies, to improve post-crisis conditions. This consultative approach allows governments to assume responsibility of rehabilitation programs and the improved policies bolster national crisis management capabilities. The transfer of program ownership and implementation to national governments

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[1] Definition of the Cluster System can be found in Appendix 3.
[2] Early Recovery Cluster-driven programs are implemented by all affiliated NGOs that operate under the umbrella of the Early Recovery Cluster. In Pakistan 2010, the Early Recovery Cluster was activated as part of the UN Cluster

and local actors allows humanitarian agencies to exit the post-crisis setting with minimal

transition lag or confusion (CWGER).

In sum, the Early Recovery Approach is intended to both provide immediate assistance

while also addressing the root causes of the crisis by bringing the relief efforts of UN agencies

and NGOs more in sync with longer-term development objectives and engaging local capacity

earlier on in the response to incorporate local needs and strengthen civil society and

government capabilities. "The purpose of the Early Recovery approach is to minimize the scale

of humanitarian crises, reduce the need for future humanitarian interventions, and ensure that

the essential work of humanitarians provides durable and lasting solutions" (CWGER).

Early Recovery in the Context of this Report

This report focuses on Early Recovery in two distinct approaches: cluster-driven Early

Recovery and "informal" Early Recovery. For the purposes of this report, cluster-driven

programs are implemented by the INGOs working under the Early Recovery Cluster.[2] The Early

Recovery Cluster activated during the 2010 flood relief phase in Pakistan was called the

Community Restoration Cluster.[3] Formal Early Recovery programs represent Early Recovery

both in terms of a process used for planning and coordinating programs as well as the type of

programs implemented. In the context of the 2010 floods, the type of programs implemented

by INGOs working under the Community Restoration Cluster focused on the recovery and

rehabilitation of affected communities during the relief phase.

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[2] Early Recovery Cluster-driven programs are implemented by all affiliated NGOs that operate under the umbrella of the Early Recovery Cluster. In Pakistan 2010, the Early Recovery Cluster was activated as part of the UN Cluster system and titled the Community Restoration Cluster.

[3] See Appendix 3 for full explanation of the Cluster Approach in Pakistan 2010.

Informal Early Recovery describes the processes INGOs applied when planning, coordinating, and implementing relief projects that embody qualities of the Early Recovery approach but were not titled "Early Recovery". Qualities include but are not limited to community participation when planning and implementing relief programs, government consultations to align projects with longer-term national goals, and successful project transition to national actors. During the 2010 relief response, informal Early Recovery as a process was not restricted to INGOs operating under the Early Recovery Cluster, but was integrated as a process by all INGOs interviewed for this report.[4]

About the Report

As requested by the CWGER, this report analyzes strategies the selected INGOs employed when implementing cluster-driven programs and integrated aspects of the Early Recovery approach in terms of specific projects and processes, respectively. For both cluster-driven and informal Early Recovery, this report contains an in-depth analysis of INGO projects and processes as well as an analysis of barriers and challenges that may have inhibited successful Early Recovery implementation and integration. The data analyzed derive from extensive interviews from INGOs, the Government of Pakistan (GoP), and the United Nations Development Programme (UNDP). Respondents were all active coordinators of the 2010 humanitarian flood response. This report also provides concrete examples acquired through interviews and field reports that convey effective methods and strategies INGOs used when planning and coordinating relief programs.

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[4] See Appendix 3 for a complete description and diagram of Early Recovery. The diagram illustrates Early Recovery both as a cluster and as a cross-cutting theme throughout the activated clusters.

Information compiled for this report focuses on the first six months of the humanitarian response, known as the relief phase. The CWGER chose to concentrate on the relief phase to determine the extent to which Early Recovery was included in the relief programs coordinated and implemented by INGOs working under the Community Restoration Cluster as well as the processes used by INGOs operating outside of the Cluster. The relief phase was chosen since Early Recovery should begin immediately during the initial stages of the relief response. Accordingly, the Early Recovery phase of the 2010 flood response, which started on January 1, 2011, is not included since the focus of this report is to examine Early Recovery program implementation and integration in immediate relief contexts (refer to *GoP Separation of Relief and Early Recovery* section).

Based on the findings, this report synthesizes interview responses to generate recommendations and considerations for the CWGER. The recommendations and considerations aims to improve engagement with and support to INGOs operating in relief contexts to better coordinate and implement future Early Recovery Cluster projects and integrate the Early Recovery approach. INGO interview respondents also contributed examples of "successful strategies" from the relief phase that detail effective methods INGOs employed to overcome challenges and implement successful field level projects that embody elements of the Early Recovery approach.

Part II. Methodology

Case Study
The international humanitarian response to the 2010 Indus floods in Pakistan serves as the case study to analyze the planning, coordination and implementation of Early Recovery

Cluster-driven programs executed by INGOs and the extent to which INGOs integrated or applied aspects of the Early Recovery approach in field level projects. The CWGER chose the 2010 flood response as the case study since it was a sudden onset emergency that required both an immediate relief and longer-term recovery phase to adequately address the needs of the affected populations and respond to the Government of Pakistan's (GoP) request for support.

Although the 2010 Indus floods were unprecedented in Pakistan, the case study is nevertheless comparable to other humanitarian relief contexts (see *Background* and *GoP and International Response* sections). Moreover, the challenges and issues faced by INGOs operating in Pakistan also mirror the general constraints INGOs encounter operating in most humanitarian settings. Moreover, successful general strategies INGOs applied to overcome those challenges and achieve successful program implementation could also be used by other INGOs operating in similar complex relief settings.

Background
The 2010 floods caused 1,985 deaths and displaced approximately 18 million people throughout the country (Budhani, 2011, p. 1). Heavy monsoon rains caused unprecedented flooding along the Indus River that extended over 1000 km from July through September 2010 (Beaujeu, 2012, p. 7). The floods directly affected 84 districts and more than 20 million people, approximately one-tenth of Pakistan's total population (Polastro, 2011, p. 63).[5] The deluge also inflicted extensive damage to physical infrastructure, including housing and electricity (Kirsch TD, 2012). The main affected regions were Punjab, Sindh, and Khyber Pakhtunkhwa (KPK).

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[5] There are 121 districts total in Pakistan. Also, for a map of the flood damage, refer to Appendix 1.

Though the flash floods and rapid moving water were lethal, the real threat occurred in the aftermath of the storm. The heavy waters wiped out access to basic services, such as clean water and hygienic sanitation facilities (Kirsch TD, 2012).[6] Consequently, diseases spread easily and most casualties died of flood-related illness and significant losses of income, particularly among the rural poor (Kirsch TD, 2012).[7] The flood destroyed or damaged over 1.8 million homes and approximately 86.8% of affected households were displaced or forcibly moved throughout the country (Kirsch TD, 2012).[8] Thus, the Government of Pakistan (GoP) in conjunction with the United Nations (UN) determined that swift recovery initiatives were imperative to control the extensive damage caused and save lives in the long run.[9]

The Government of Pakistan (GoP), through the National Disaster Management Agency (NDMA) provided assistance to the main affected areas of Punjab, Sindh and Khyber Pakhtunkhwa (KPK). However, assistance was slow and government capacity, especially financial resources and experienced personnel, was limited (NDMA, 2011, p. 1). Accordingly, the GoP requested the UN provide additional assistance and support.

To respond, the UN activated the Cluster Approach in an effort to coordinate and organize the humanitarian community. The Cluster Approach incorporated international and national NGOs into specialized Clusters led by various UN agencies, to implement field level Cluster-initiated relief programs.[10] The 2010 floods marked the first time "12 clusters were

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[6] Lack of electricity increased from 18.8% to 32.9%, lack of toilet facilities from 29.0% to 40.4% (Kirsch TD, 2012).

[7] According to Kirsch, 88.0% or respondents reported loss of income (90.0% rural, 75.0% urban) with rural households loosing significantly more and less likely to recover (Kirsch TD, 2012).

[8] According to Kirsch, 88.0% reported loss of income (90.0% rural, 75.0% urban) with rural households loosing significantly more and less likely to recover (Kirsch TD, 2012).

[9] "Immediate deaths and injuries were uncommon but 77.0% reported flood-related illnesses" (Kirsch TD, 2012).

[10] The complete list of Clusters as well as a brief description of the Cluster Approach can be found in Appendix 3.

rolled out in an emergency in Pakistan," including the Community Restoration Cluster – the

Early Recovery Cluster led and managed by UNDP (NDMA, 2011, p. 4).[11]

GoP Separation of Relief and Early Recovery

There was confusion within the GoP regarding the Early Recovery concept (Khan, 2014).

Despite numerous discussions with the UN country team based in Islamabad, the GoP formally

separated the relief and recovery responses into two distinct phases: relief, coordinated by

OCHA, which lasted from the onset of the emergency through December 31, 2010; and the

recovery phase, labeled "Early Recovery", coordinated by UNDP, which began on January 1,

2011.

Interview Sample

In total, 11 interviews were conducted for this report. All interviews were conducted

over the phone or via skype. Interviews followed a semi-structured framework to maintain

question consistency throughout the interview process while leaving room for unscripted

questioning. All interviews were recorded and transcribed. Responses were then analyzed to

determine patterns and inconsistencies. Based on the patterns, responses were coded and

catalogued into tables (refer to *Early Recovery Approach Integration* section). The final

interview respondent breakdown consists of seven INGO members, two InterAction members,

one former NDMA staff member, and one current UNDP cluster coordinator (the Community

Restoration Cluster Coordinator). The two InterAction respondents are based in the United

States, and the two Danish Refugee Council respondents are based in Copenhagen. The

remaining respondents are based in Pakistan. Finally, of the four INGOs sampled, two (IRC and

Oxfam) worked under the Community Restoration Cluster. DRC and Save operated

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[11] See Appendix 4 for full description of the Community Restoration Cluster.

independently of the Community Restoration Cluster during the 2010 floods. Three

respondents preferred to remain anonymous. Anonymous respondents are referred

throughout the report as "Anonymous" but approved citation of their organization or agency.

International Non-Governmental Organization (INGO) Respondents

In consultation with the CWGER, five international NGOs were initially selected to

provide information for the report. The INGOs originally targeted include ActionAid, CARE, the

Danish Refugee Council, Oxfam, and Save the Children. Each INGO was identified based on their

deep involvement during the 2010 flood response and implementation of relief programs

throughout the country. The CWGER and I submitted requests for support to each organization.

Unfortunately, ActionAid and CARE were unable to respond to informational requests, and are

therefore not included. Likewise, though not initially targeted, two members of the

International Rescue Committee responded to interview requests. Their responses are included

in this report. The final list of INGOs interviewed and researched includes the Danish Refugee

Council, International Rescue Committee, Oxfam, and Save the Children.

In total, seven INGO staff members were interviewed (two IRC, two Oxfam, and one

from Save).[12] One to two members from each organization were interviewed and each had

significant experience coordinating and implementing field level relief projects in Pakistan and

other humanitarian contexts.[13] Moreover, three out of the seven INGO respondents were

Pakistani nationals who still work in the country. Each respondent had experience working

directly with the humanitarian cluster system in Pakistan, and four respondents (two IRC, two

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[12] Due to strict time constraints, a second Save staff member was unable to be interviewed.

[13] DRC was the only INGO that did not discuss field-level experience in Pakistan. Instead, the two DRC respondents had significant interaction with the CWGER globally and could discuss at length the Early Recovery concept. One DRC respondent was also a formerly deployed Early Recovery Advisor (ERA), and spoke about the challenges he faced as an ERA and what the CWGER could have done to provide assistance and support.

Oxfam) worked for Community Restoration Cluster-affiliated INGOs.

InterAction was also interviewed to gain information regarding the coordination and implementation strategies INGOs employ in relief contexts.[14] The InterAction NGO consortium is the largest alliance of United States-based INGOs and was created to provide a collaborative and coordinated platform for development and humanitarian NGOs. InterAction membership also serves as a representative body for the U.S. NGO community in the Inter-Agency Standing Committee (InterAction). The two members interviewed also commented on how InterAction members (NGOs) prioritize relief programs in relation to Early Recovery. The InterAction respondents also commented on effective strategies the CWGER could employ to generate broad-based support among NGOs for global policy issues, including Early Recovery.

Additional Respondents
In addition, one member from the GoP's National Disaster Management Agency (NDMA) was interviewed. The NDMA respondent helped coordinate the GoP response and had significant experience working with the UN humanitarian system, of which each INGO operated under during the relief phase. Moreover, the NDMA respondent also had experience coordinating with the Humanitarian Country Team (HCT) and Cluster-lead agency personnel, including the Community Restoration Cluster Coordinator.[15]

Finally, the Community Restoration Cluster Coordinator was also contacted and interviewed. The Community Restoration Cluster Coordinator was responsible for coordinating all national and international NGOs affiliated with the Community Restoration Cluster. The

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[14] With the exception of the Danish Refugee Council (DRC), each INGO contacted and interviewed are members of InterAction. InterAction is an INGO consortium and the largest alliance of United States-based NGOs. More information can be found in the Appendix.

[15] Cluster-lead Agency definition can be found in Appendix 3.

Cluster Coordinator managed the cluster response plan preparation and subsequent execution of that plan by the Community Restoration Cluster members, including IRC and Oxfam, during the relief phase.

Field Reports and Additional Sources

Field reports were obtained from INGO websites, or provided by INGO personnel. Field reports included INGO and UN cluster progress reports, NDMA evaluation reports detailing the international humanitarian effort, INGO bulletins, and the CAP and FLASH appeals.[16] It was not possible to interview or attain primary source data from INGO program beneficiaries outside from information included in INGO reports ("Stories from the Field").

Additional research (non-primary source data) was based on thorough examination of the selected INGO interventions during the 2010 flood response. Sources consulted include monitoring and evaluation reports compiled by INGOs, the United Nations, the GoP, and other third party evaluators. The full list of sources can be found in the Bibliography.

Part III. Early Recovery Approach Integration by INGOs

Measuring the Degree of Early Recovery Integration in INGO Projects

The degree to which the Early Recovery approach was integrated was difficult to measure. However, the semi-structured interview method provided a data set that applied specific "indicators" that aim to measure the extent of Early Recovery integration in INGO projects and processes.[17] The interview data were coded, catalogued and charted into tables in an attempt to quantify the degree of Early Recovery integration. The degree to which INGOs

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[16] CAP and FLASH Appeals were included to help analyze how the funding cycle affected program implementation.

[17] See Appendix 8 for sample interview questions.

incorporated elements of the Early Recovery approach process is codified in two categories: "Multi-Stakeholder Collaboration" and "Sustainable Transition". These two categories provided in-depth insight into the selected INGOs' planning and coordination strategies and mechanisms used by the INGOs sampled during the project planning and phase-out stages. "Project Implementation" was not analyzed since there was not enough information to ensure accurate results. Findings measure the extent to which both Community Restoration Cluster-affiliated (IRC, Oxfam) and non-affiliated (Save) INGOs integrated aspects of the Early Recovery approach when planning and coordinating project implementation and transfer. The Danish Refugee Council (DRC) is not included, since they were not interviewed on field level coordination strategies.

Methodology: Codified Interview Index[18]

For each interview, respondents' answers were recorded and transcribed. Responses were then reviewed to determine patterns and inconsistencies in the data. Upon review, responses were catalogued into two main categories: "Multi-Stakeholder Collaboration" and "Sustainable Transition". Categories are based on benchmarks derived from Early Recovery principles.[19] For each category, data are divided by "Indicator" (i.e.: Meetings, Consultations) and organized according to the "Partner" engaged by the INGO (i.e.: National NGOs, or Government Actors). The two categories represent "degree of integration" since each embody a wide range of elements that can be used to measure Early Recovery integration. "Degree" is measured by a 0 – 5 score, 0 signifying no inclusion of the specified indicator, and 5 meaning extensive inclusion. For example, if the Early Recovery approach is measured in terms of "Multi-

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[18] The indices aim to quantify the degree of Early Recovery integration and illustrate what methods INGOs are more prone to utilize in relief settings.

[19] See Appendix 7.

Stakeholder Collaboration", and "Meetings" are an indicator of "Collaboration", if the INGO

holds no meetings, then it received a 0 score. Likewise, if weekly meetings were held during the

planning and coordination phase, then the INGO received a 5 score. Further, "Additional

Points" were awarded if the INGO used a method that reflected the Early Recovery approach

not listed in the original table.

The complied INGO scores are condensed into two tables (below). Findings are analyzed

and discussed by category. As mentioned previously, results are based on interview responses.

Accordingly, each INGO has an individual table and assigned scores based on respective INGO

interview responses. There are eight tables in total: six INGO tables (three INGOs by two

categories), and two tables that show compiled INGO scores for each category. The full set of

tables can be found in the Appendix and contains a breakdown and explanation of each

assigned score.[20]

Coding Key

Score	Degree
0	None
1	Minimal
2	Somewhat
3	Adequate
4	Strong
5	Extensive

*Score adjusted based on questions asked/answered. "Not Specified" indicates questions not asked or no mention from respondents during the interview and do not count negatively toward the INGOs' total score.

*N/A stands for Not Applicable. Either the INGO was not questioned on this indicator or it was not applicable in the context provided.

Category 1: Multi-Stakeholder Collaboration

Question: What actors did your organization work in partnership with during the

planning and implementation phases of the relief response? And what coordination

mechanisms did your organization utilize, ex: community meetings, government consultancies,

other UN Agencies? Please provide specific examples.

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[20] This data table is an attempt to quantify respondents' answers to interview questions.

Category I Compiled Scores Table[21]

Final Tally	Partner	Multi-Stakeholder Collaboration - Planning and Coordination Process					
		Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
INGO	**IRC**	3/20	2/20	15/20	7.5/20	0/20	5 Add. Points
	Save	7.5/20	11/20	20/20	14.5/20	0/20	No Add. Points
	Oxfam	10/20	20/20	0/20	14.5/20	1/20	No Add. Points

Findings for Multi-Stakeholder Collaboration

Each INGO scored relatively high for Early Recovery integration as measured by Multi-Stakeholder Collaboration. IRC and Save scored particularly high with regard to community level engagement measured under "Local Civil Society" (Tables 1, 2). IRC scored a 15/20 for this indicator while Save earned 20/20. This is a robust measure of Early Recovery integration and shows a high degree of integration by these two INGOs. Involving local civil society in the planning and coordination processes enables community-driven projects to "encourage self-reliance of affected populations and help rebuild livelihoods", an essential principle of the Early Recovery approach (CWGER, 2008, p. 10).

Oxfam received a N/A score for "Local Civil Society" since Oxfam is typically not an implementing agent. However, Oxfam did report their "local partners" (national NGOs), who are the main implementing agents for Oxfam projects, strongly collaborated with local civil society when planning and coordinating projects. Oxfam received "N/A" for this indicator since there was not enough information provided to determine an accurate score. At the same time, Oxfam collaborated significantly with "National NGOs" and "Government Agencies", scoring a 20/20 and 14.5/20 respectively (Table 3). This is a strong indicator of the Early Recovery

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[21] Scores for *Category I* are out of 20 (4x5 table, 0 – 5 score per box).

approach since it shows Oxfam encouraged national actors to incorporate local solutions into

rehabilitation projects. Findings suggest that the INGOs sampled collaborated the most with

National NGOs, Local Civil Society, and Local Government Actors when planning and

coordinating projects.

Findings also suggest that inter-cluster coordination at the field and national level was

not strong between the INGOs sampled and other UN clusters, as measured through "UN

Agencies" (Tables 1,2, 3).[22] IRC and Save scored "Not Specified", indicating minimal or no

measure of collaboration, while Oxfam scored a 1 for "Information Sharing". This finding also

suggests there was minimal collaboration between the different clusters particularly at the field

level, even when operating in the same areas. Most respondents focused on the Community

Restoration Cluster coordination mechanisms, which could account for the lack of responses

with respect to inter-cluster coordination, as measured under "UN Agencies" (Tables 1,2, 3).

Conjointly, Oxfam stated that most clusters collaborated through NGOs rather than with each

other, which could account for the lack of direct coordination shown throughout the index

(Majid Khan, 2014). Regardless, this finding appears consistent for all INGOs sampled and

suggests that minimal inter-cluster collaboration could have inhibited INGOs' ability to

coordinate across cluster lines.

Moreover, index findings suggest that cluster-driven coordination was not strong, as

measured under "Other Cluster-Affiliated INGOs". Respondents frequently stated that cluster-

initiated meetings were often cancelled or merely directional, rather than collaborative, which

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[22] IRC and Save operated at the field level, while Oxfam operated at the national level. All INGO respondents were asked about inter-cluster coordination at each respective level.

could account for the low "Meetings" score.[23] This finding suggests that a lack of formal cluster

meetings could have constrained INGO coordination when implementing cluster-driven

projects. Moreover, "Consultations" also did not score high across the board, particularly under

the "Other Cluster-Affiliated INGOs" and "National NGOs" indicators (Tables 1,2, 3).

Respondents intimated that meetings often included consultation, which may explain why

"Consultations" received low scores when "Meetings" received higher scores. Correspondingly,

this finding also suggests that a lack of formal cluster meetings could prevent international and

national NGO collaboration.

Finally, findings also indicate strong INGO collaboration outside of the cluster. This

finding is consistent with respondents' claim that INGOs often coordinated informally and

created area-specific groups to collaborate and plan projects. All respondents stated that

informal coordination structures did occur on some level among international and national

NGOs, especially in areas where national capacity was higher (refer to *Successful Strategies*

Section). However, INGOs received low scores for both "Other Cluster-Affiliated INGOs" and

"National NGOs" indicating that formal and informal coordination did not occur by INGOs with

these two groups.

Category 2: Sustainable Transition and Phase-Out Strategy
Question: Since there was no cluster-transition strategy, did your organization transfer

ownership and control of programs? If so, how did your organization manage this task? And

who were the main actors you transferred the programs to? Please provide specific examples of

which programs were transferred and what types of programs were transferred?

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[23] "Meetings" received some high scores, however, as noted in the Tables, these meetings were not cluster-coordinated, and instead informally organized by INGOs operating in the same areas in the field.

Category 2 Compiled Scores Table[24]

Final Tally	Partner	Sustainable Transition - Planning, Coordination and Transfer Process					
		Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
INGO	IRC	0/30	19/30	29.5/30	21/30	0/30	9 Add. Points
	Save	4.5/30	20/30	18/30	26.5/30	0/30	No Add. Points
	Oxfam	3.5/30	28.5/30	0/30	7.5/30	0/30	No Add. Points

Findings for Sustainable Transition

Findings for Sustainable Transition are similar to Multi-Stakeholder Collaboration in that the "Other Cluster-affiliated INGOs" and "UN Agencies (Outside CR Cluster)" indicators also showed no involvement or engagement by INGOs (Tables 4, 5, 6). These two indicators were consistently not as strong as the other indicators monitored throughout the interview process. Respondents did not provide any specific information regarding how their INGO coordinated, planned, and enacted transition/phase-out strategies for relief projects in relation to these two indicators. Each respondent was asked about inner-cluster collaboration mechanisms. Respondents provided multiple examples that clearly illustrated partnership and collaboration with local NGOs, district level government and local civil society. However, all respondents made no mention of coordination between other cluster-affiliated INGO during phase-out or with other UN Agencies.

According to the CWGER, the Community Restoration Cluster did not create a cluster-transition strategy to phase-out cluster-driven projects. In a cluster-transition strategy, all implementing agents operating under the specific Cluster would follow cluster-initiated

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[24] Scores for *Category 2* are out of 30 (6x5 table, 0 – 5 score per box).

transitions procedures. Accordingly, INGOs operating under a cluster-transition strategy should collaborate and coordinate project phase-out and transition. However, since the 2010 flood response did not enact a cluster-transition strategy, it could explain why "Other Cluster-affiliated INGOs" and "UN Agencies (Outside CR Cluster)" did not produce strong results.[25]

This finding could suggest that without a cluster-transition strategy, INGOs are unlikely to initiate coordination for project phase-out and transition of field-level projects, regardless of the project (cluster-driven or INGO initiated). Moreover, these findings also suggest INGOs do not formally coordinate with each other during phase-out. Respondents noted that several informal NGO groups formed during project planning and coordination, however, respondents did not indicate this informal coordination occurred during phase-out. Respondents also did not expressly state that a formalized cluster-transition strategy would have been helpful, but did argue that having stronger coordination and information sharing initiated by the cluster would have helped all NGOs operating under the Community Restoration Cluster find "common solutions and common stances" when implementing programs and coordinating with district level government line departments (Ahmed, 2014).

Findings also show that all INGOs interviewed employed very similar procedures when transferring or phasing-out projects. Both IRC and Save earned strong scores, 29.5/30 and 19/30 respectively, under "Local Civil Society" (Tables 4, 5). As mentioned previously, Oxfam did not receive a score for "Local Civil Society" as they are not typically an implementing agent. Not enough information was attained to determine the extent to which Oxfam's implementing partners engaged with "Local Civil Society" and is therefore left out. At the same time, all INGOs

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[25] See Appendix 7 for complete results.

received high scores under "National NGOs" and "Government Actors", which demonstrates strong collaboration with these actors (Table 6). Each INGO provided examples that detailed strong engagement and partnership with national NGOs, local civil society and district level government, particularly relevant line departments, when transferring projects and phasing-out leadership management. Transferring projects to national actors is a robust indicator of the Early Recovery approach since it establishes the foundations for nationally-owned longer-term recovery and improves project sustainability. All INGOs scored high marks for this indicator, signifying a high degree of integration for this particular element of the Early Recovery approach.

Summary of Findings
Based on the findings, the INGOs sampled adequately integrated elements of the Early Recovery approach into their projects during the relief phase.[26] All INGOs interviewed consistently earned high scores for the "National NGOs", "Local Civil Society", and "Government Actors" indicators, illustrating a robust degree of Early Recovery approach integration as measured through "Multi-Stakeholder Collaboration" and "Sustainable Transition" categories.

All respondents provided examples of projects implemented during the relief phase that illustrated Early Recovery approach integration. However, respondents stated that the majority of these programs were not expressly titled "Early Recovery", even within the Community Restoration Cluster. Though this did not appear to affect the degree of Early Recovery approach integration in INGO projects and processes, it could explain why INGOs did not immediately see

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[26] Though most INGO staff interviewed indicated their response programs included elements similar to or reflective of Early Recovery, most INGO programs were not titled "Early Recovery". Instead, Disaster Risk Reduction (DRR) or Rehabilitation were more common.

how their standard operating procedures reflected elements of the Early Recovery approach.

Further, each respondent highlighted several challenges that hindered their INGO from

collaborating and coordinating with all actors listed in the index. These barriers and challenges

could explain some of the variation and inconsistencies brought forth in the findings for both

cluster-driven Early Recovery projects and informal integration of the Early Recovery Approach.

Part IV. Barriers and Challenges

After conducting extensive interviews, respondents iterated the same barriers and

challenges their respective INGOs and/or agency encountered when attempting to implement

formal Early Recovery programs and informally integrate elements of the Early Recovery

approach during the 2010 response.[27] The central challenges are grouped into 2 categories,

National Level and Cluster Level challenges.

Though the exact National Level challenges may not be present in every humanitarian

context, respondents stated that the Cluster Level barriers mirror challenges INGOs encounter

when operating in other relief settings.

National Level

National level issues occurred with upper-level management based in Islamabad,

including the Government of Pakistan (GoP), the Humanitarian Country Team (HCT) and the

Humanitarian Coordinator (HC). Though the national level issues do not directly affect the

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[27] The challenges and issues encountered by INGOs during the relief phase were not unique to Pakistan. According to respondents, similar confusion and resistance among national actors and UN agencies occurs frequently. Specific cases referenced during interviews include Zimbabwe and Indonesia (Trolle, 2014).

INGOs operating in the field, they nevertheless impacted the Community Restoration Cluster in terms of management, financing, and coordination.

GoP Separation

In Islamabad, there was confusion within the Government of Pakistan (GoP) regarding the Early Recovery concept, specifically the timeline for Early Recovery during the response (Khan, 2014). Early Recovery starts immediately during the relief phase in an effort to shorten the relief time and jumpstart recovery initiatives (CWGER). However, according to Hidayat Khan, the Community Restoration Cluster Coordinator for the 2010 flood response, there may have been some wrong messaging regarding Early Recovery which led the GoP to formally separate the relief and recovery responses into two distinct phases.[28]

Further, "the [Humanitarian Coordinator] decided to change the name of the [Early Recovery] Cluster and rename it the Community Restoration Cluster with the mandate governance, infrastructure, environment, et cetera" (Khan, 2014). Though in 2010 it was customary to re-label the Early Recovery Cluster and "Call It What It Is", the re-labeling made it difficult for INGOs operating under the Community Restoration Cluster to understand their role and how Early Recovery fit in with the Cluster mandate. Moreover, programs implemented by INGOs under the Community Restoration Cluster were not expressly labeled as "Early Recovery" programs. This separation directly affected how all UN clusters, and by extension the cluster-affiliated INGOs' relief programs were prioritized and titled.

Since Early Recovery was considered a separate phase, "life-saving interventions were prioritized by the UN cluster system over Early Recovery programs" during the relief phase

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[28] As mentioned in the *Background* Section, the relief phase, coordinated by OCHA, lasted from the onset of the emergency through December 31, 2010; and the recovery phase, labeled "Early Recovery", was coordinated by UNDP, which started on January 1, 2011.

which materialized particularly in terms of funding allocations (Khan, 2014). "There was Early

Recovery funding, and there was [Central Emergency Response Fund (CERF)] funding. But [the

CERF] was for lifesaving" interventions (Khan, 2014). Thus, the Community Restoration Cluster

was often "left out" of funding opportunities since it was not considered to be immediately

"lifesaving" (Khan, 2014). By extension, "the focus of the [Community Restoration] Cluster got

muddied a bit, due to government involvement, which may have affected how the NGOs

engaged with the Cluster in 2010" (Nichols, 2014).

HCT Resistance

There was also resistance by the Humanitarian Country Team (HCT) to prioritize

integration of formal Early Recovery into the Cluster response during the immediate relief

phase, despite activating the Community Restoration Cluster and the deployment of an Early

Recovery Advisor (ERA).[29] "The argument was that [Early Recovery] seemed like a duplication of

efforts since Disaster Risk Reduction (DRR) was already included in UN programs" and there

was to be a distinct Early Recovery phase (Khan, 2014).[30] Consequently, "when the initial

response plan was launched, the Community Restoration Cluster was not made a part of it"

(Khan, 2014). Instead, "Early Recovery [was to] come after a few months and appear in the

revised [response] plan" thus delaying Early Recovery integration within the response (Khan,

2014).

Respondents noted the lack of full-fledged support from the HCT led to general

resistance to the Community Restoration Cluster and the Early Recovery concept by

implementing agents, including the other UN Clusters and the NGOs operating under each

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[29] See Appendix 3 for complete explanation of the Humanitarian Country Team.

[30] See Appendix 2 for Disaster Risk Reduction definition.

cluster. This resistance could explain the low score for inter-cluster coordination measured under "UN Agencies" in both categories. Correspondingly, "many [UN] agencies [and INGOs] did not see that Early Recovery was part of their responsibility" and did not formally include (title) Early Recovery in their programs (Trolle, 2014).[31]

Cluster Level

Cluster level issues pertain only to INGOs operating as part of the Community Restoration Cluster. The barriers and challenges faced by INGOs operating under the Community Restoration Cluster are broken into subgroups in an effort to clearly organize the information. Challenges reported shed light to the variation in both categories and help explain the different levels of coordination documented during the planning and coordination and phase-out stages. Subgroups include *Cluster Meeting Management, Information Sharing, Funding Streams,* and *Direct NGO Participation*.

In general, respondents noted that overall, "the Community Restoration Cluster was not as strong as the other emergency clusters" in terms of coordinating and streamlining programs (Ahmed, 2014).[32] Moreover, at the district level, there was no international or national NGO co-lead to represent the NGO community with the Community Restoration Cluster (Ahmed, 2014). Consequently, the NGO voice (both national and international) was not strongly incorporated into district level coordination mechanisms (Ahmed, 2014).

Cluster Meeting Management

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[31] According to respondents, this was also true of other crisis situations, including Pakistan, Indonesia in 2009, and Zimbabwe in 2010 (Trolle, 2014).

[32] Other clusters identified were Water, Sanitation and Hygiene (WASH), headed by UNICEF, and the Food Security Cluster, headed by FAO.

A major barrier for INGOs attempting to implement cluster-driven Early Recovery projects was ineffective or poorly managed cluster meetings at the district level. During the relief phase, the Community Restoration Cluster led by UNDP held national and district level meetings with all implementing organizations (all cluster-affiliated international and national NGOs) to collaborate and coordinate planning and implementation of cluster-driven projects. However, according to respondents, there were "issues with basic meeting management" which led to poor coordination within the Cluster and inefficient project implementation (Nichols, 2014).

At the national level, meetings that took place in Islamabad "in some cases…were not as effective as they should be in terms of documenting what [was] going on in [affected] areas" (Muhammad, 2014). Moreover, there was minimal discussion of "what the proposed interventions and strategies [were] by local or international organizations" (Muhammad, 2014). Consequently, "when [NGOs] came out of the meeting [we] had nothing to strategize or [we] didn't have any document to share with the other organizations working [in the same areas] or with the community," which could explain why "Cluster-Affiliated INGOs" scored low in both categories under formal "Meetings" and "Consultations" (Muhammad, 2014). Conjointly, respondents stated, "most meetings [were] just a formality, so they were taken for granted" instead of providing a collaborative platform to improve coordination among the implementing agents (Muhammad, 2014).

Several respondents also stated that they did not "feel that they [gained] something from going to these meetings" particularly because "they don't feel they have influence" (Trolle, 2014). Respondents said, "UNDP are used to dictating the organizations in the [Cluster]

meetings" (Ahmed, 2014).[33] Instead of using a "participatory or sharing approach, and being a

voice for humanitarian organizations and affected communities…UNDP used to treat us like we

are all the small implementing partners of UNDP" as opposed to collaborative partners (Ahmed,

2014). Simultaneously, respondents stated that UNDP "were not listening to us at that time,

and several organizations actually walked out of [the Community Restoration Cluster]

meetings" (Ahmed, 2014). This could explain why the "Consultation" indicator scored

consistently low when "Meetings" scored high. In addition, "most of the time these meetings

[were] held for the sake of conducting a meeting and not taken seriously to move forward or to

involve other stakeholders into the coordination" (Muhammad, 2014). Accordingly, INGOs did

not have "a motivation to go into…cluster meetings" (Trolle, 2014) particularly since the general

impression was that "UNDP was not taking their role seriously" (Muhammad, 2014).

On top of meeting management, all respondents stated that on several occasions,

"meetings would be called and then canceled," especially at the district level (Nichols, 2014). At

the district level, UNDP typically delegated meeting organization to the District Coordination

Officer (DCO). However, "when the meeting time came, the DCO was often in another

meeting…so the meeting never took place at all" (Muhammad, 2014). Likewise, "about 50% of

the time, a meeting would be cancelled while [the NGOs] were in route. This all had a

significant dampening effect on [NGOs'] willingness to coordinate" (Nichols, 2014).

Information Sharing
Another barrier for INGOs working under the Community Restoration Cluster was poor

information sharing. As the cluster lead agency, respondents stated that UNDP should be

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[33] UNDP was the Cluster lead Agency for the Community Restoration Cluster in Pakistan in 2010. Respondents
often spoke of the Community Restoration Cluster as synonymous to UNDP.

responsible for disseminating relevant information among all implementing organizations

operating under the Cluster, specifically the content discussed during cluster meetings,

decisions made at the national level by the UN and GoP, and information from or pertaining to

the other UN clusters. Instead, after a cluster meeting, there was minimal cluster-initiated

follow up with affiliated NGOs. Respondents stated they were often "waiting for the meeting

minutes and documentation of the decisions made during the meeting in terms of delegating

roles and responsibilities" which usually never came (Muhammad, 2014). Consequently,

respondents stated that slow information sharing also led to delays and stagnation when

implementing cluster-driven relief programs. Moreover, all respondents stated that the

Community Restoration Cluster did not disseminate "action points so that when [organizations]

leave the meeting, people don't forget what they are suppose to be doing" (Muhammad,

2014). Furthermore, this challenge could also explain the low scores associated with inner-

cluster coordination measured under "Cluster-Affiliated INGO" in both categories.

In addition, respondents stated a lack of regular assessments conducted by the

Community Restoration Cluster affected program visibility among the other activated clusters.

According to respondents, assessments are instrumental to share information "so that other

organizations know about what the organizations working under the umbrella of the

[Community Restoration] Cluster are doing and so other clusters know about the activeness of

the Cluster" (Muhammad, 2014). "Assessments keep [clusters] alive in the humanitarian sector

because people come to know about your activeness, seriousness and involvement in all these

activities, be it a short or rapid assessment" (Muhammad, 2014). Subsequently, respondents

agreed that not conducting and disseminating assessments pertaining to the Community

Restoration Cluster led to a missed opportunity to generate widespread support and foster coordination with other UN activated clusters and explains why "UN Agency" consistently received "Not Specified" in both categories. More fundamentally, respondents stated, "many organizations are applying for funding, so assessments are needed to assist in attaining funding" (Muhammad, 2014).

Funding Streams

During the 2010 relief response, untimely and inconsistent finding distributions were a significant barrier for INGOs implementing cluster-driven Early Recovery programs under the Community Restoration Cluster. Bifurcating the relief and Early Recovery phase affected the way in which the Community Restoration Cluster was funded. The Community Restoration Cluster was not included in the original Consolidated Appeal Process (CAP) initiated in August 2010 (United Nations, 2010). Instead, the Community Restoration Cluster appeared in the revised CAP published in November 2010 (United Nations, 2010). As a result, the Community Restoration Cluster did not receive funding as quickly as the clusters included in the original CAP. In fact, as of October 31, 2010, two months after the flooding subsided, the Community Restoration Cluster received only 4% of its total funding goal (United Nations, 2010).

Moreover, respondents stated that the bifurcation gave UN agencies, including OCHA and the HCT, the impression that "some relief funding [would] be diverted to Early Recovery activities" (Khan, 2014). Consequently, respondents claimed that the OCHA and the HCT did not "give Early Recovery the priority,"[34] resulting in a "major barrier for effective Early Recovery mainstreaming" throughout the UN Cluster system and within the Community Restoration Cluster (Khan, 2014). In conjunction, this bifurcation also confused donors. "Donors have

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[34] In reference to the Community Restoration Cluster.

funding available for humanitarian response, so when there [was] Early Recovery as well in the response plan," respondents agreed that humanitarian donors did not prioritize Early Recovery, especially in terms of funding for the Community Restoration Cluster (Khan, 2014).

According to the DRC, to generate "buy-in", Early Recovery "must be guided in terms of fundraising" (Trolle, 2014). While respondents stated that they understood the challenges associated with humanitarian funding mechanisms, the general impression among respondents was that UNDP as Cluster lead agency did not advocate or fight strongly to make Early Recovery a priority among international donors and within the HCT. Conjointly, according to IRC, "UNDP cut funding in the middle of [our] program implementation" and IRC was unable to fully execute the cluster-driven Early Recovery program (Muhammad, 2014).[35] "If a strong organization like UNDP is not serious in taking [Early Recovery] forward [financially], how can other organizations believe in UNDP's role or buy in to Early Recovery?" (Muhammad, 2014).

Finally, "local organizations look to the UN and other international organizations for funding" (Muhammad, 2014). However, because Community Restoration funding was difficult to procure, respondents stated that these organizations were forced to look elsewhere for stable funding streams. Consequently, "in certain cases, some of the NGOs that got sufficient funding from other sources…[became] mainly interested in other sectors or other clusters" which shifted allegiance away from formal, cluster-driven Early Recovery (Khan, 2014). Thus, minimal financial support proved a significant barrier for INGOs implementing cluster-driven Early Recovery programs.[36]

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[35] Respondent did not know why the funding was cut in the middle of the program. The UNDP representative was contacted to comment on this matter to gain clarification, however, the representative was unable to respond.
[36] Additional note on Funding Streams can be found in Appendix 8.

Direct NGO Participation

The Community Restoration Cluster "was responsible for the coordination of the NGOs, for managing the preparation of the response plan, getting proposals from the NGOs, vetting the proposals, [and] recommending them for inclusion in the response plan" (Khan, 2014). Likewise, NGOs operating as part of the Community Restoration Cluster were responsible for "program implementation and monitoring of the activities" (Khan, 2014). A major challenge, however, was that "at the district level there was no co-leading from the international or national organizations" (Ahmed, 2014). Respondents stated that the absence of an NGO cluster co-lead minimized the collective NGO voice, especially when it came to generating effective field level coordination. Respondents stated that there were "no concrete discussions of where [NGOs] were making [a] program, what were the specific objectives [NGOs] wanted to achieve, and how [NGOs] could spread out into other areas and work locations" (Muhammad, 2014). Respondents stated having an NGO co-lead could have generated "strong coordination between organizations working in the same area so as to reach as many beneficiaries as [possible], with the same amount of money or funding that is available" (Muhammad, 2014). However, without the NGO co-lead, the DCO or UNDP staff dominated district level meetings and did not strongly include the NGO voice.[37]

Concluding Remarks

Respondents noted that not all challenges could be addressed at the global level. However, the exampled provided pinpoint areas the CWGER could engage with globally to improve coordination and subsequent successful implementation of programs initiated by

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[37] Accordingly, this finding could explain the low score under "Other Cluster-Affiliated INGOs", particularly during "Sustainable Transition".

future Early Recovery Clusters and refine INGO integration of the Early Recovery approach in comparable humanitarian crises. According to respondents at the national level, bifurcating the response led to significant delays in cluster-strategy roll out, funding, and program implementation. Thus, engaging with "at risk" governments before a crisis could improve understanding of Early Recovery and streamline the humanitarian response. Likewise, at the national level, the Humanitarian Country Team (HCT) substantially impacted the way in which Early Recovery was integrated into the response. As mentioned previously, the Community Restoration Cluster was not included in the original Consolidated Appeal Process (CAP) and instead appeared in the revised CAP, which was finalized in November 2010 – two months after the flooding stopped. This led to significant delays in funding the Community Restoration Cluster and also negatively impacted the perception of the Cluster among other Clusters and implementing agents. Though there was an Early Recovery Advisor deployed, respondents noted that the Humanitarian Coordinator/Resident Coordinator (HC/RC) in Pakistan was "not aware of their responsibility of coordinating Early Recovery" (Trolle, 2014) during the response (Anonymous N. , 2014).[38] Since the HC/RC is the primary driver of the international humanitarian response, respondents noted that it is imperative to ensure that the "HC/RC knows the role [of the ERA] and the value of Early Recovery" before a crisis to avoid conflict and delays during the response (Trolle, 2014).

Despite the cluster level challenges, respondents provided examples of effective field level coordination strategies that led to successful field projects. Though the successful

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[38] This is not only true for the 2010 Pakistan response but also in Zimbabwe and Indonesia where Trolle was deployed as an ERA in 2009. The Humanitarian/Resident Coordinator (HC/RC) is in charge of the Humanitarian Country Team (HCT) and is responsible for coordinating the humanitarian response. I was unable to interview the former HC/RC for this report.

strategies center on field level coordination, the examples provided nonetheless offer insight as to how the CWGER can improve coordination at the cluster level to improve the foundations for mainstreaming Early Recovery into INGO programs.

Part V: Successful Strategies

INGOs Views on Successful Early Recovery Program Implementation (field level)
Cluster – Driven Early Recovery Programs
INGOs operating under the Community Restoration Cluster implemented both cluster-driven Early Recovery projects and incorporated elements of the Early Recovery approach into their planning, coordination, and implementation strategies at the field level. The anecdotal data illustrate what INGO staff members considered effective coordination initiatives utilized to achieve successful implementation of cluster-driven projects despite the cluster level barriers and challenges. In addition to the Recommendations, the CWGER can use these anecdotes to explain Early Recovery in terms of programs and processes within the UN and among NGOs.

International Rescue Committee (IRC), for example, implemented community-driven reconstruction projects in districts assigned by the Community Restoration Cluster. According to IRC, "it was the community who was in charge of deciding the type of activities based on social mapping" (Muhammad, 2014). Through a series of community meetings, community members would submit a "menu" of the top "six or seven priority projects", such as "physical infrastructure, irrigation channels, street pavements, non-food items, depending on the nature of destruction in the area" (Muhammad, 2014). IRC would then hold another community meeting in which IRC and community leaders would collectively decide the "top three to [projects] to implement" (Muhammad, 2014). Ultimately, "implementation was in the hand of

IRC, but the decision-making, the monitoring, and evaluation of each and every activity was mutually between IRC and the village committee or community members" (Muhammad, 2014). According to IRC, this type of involvement with local communities "helped accountability and ownership of the activity" and improved overall project sustainability (Muhammad, 2014).

Oxfam also deeply incorporated elements of the Early Recovery approach into their programs under the Community Restoration Cluster. Since Oxfam is not typically an implementing organization, Oxfam partners with national NGOs, who become the main implementing agents of Oxfam projects. To ensure effective and sustained implementation, Oxfam "signs MOUs with national NGOs at the beginning of each project" (Majid Khan, 2014). The MOUs state the partner NGO is responsible for program implementation, coordination with affected communities, monitoring and evaluation throughout the project lifecycle, and strong collaboration with local government and communities to effectively phase out and transfer programs (Majid Khan, 2014).

Additionally, Oxfam's partners attained the majority of their information from "observations, questionnaires, and key informants" (Anonymous, 2014). To supplement this information, Oxfam's implanting partners held gender separate meetings to ensure all voices were heard equally (Majid Khan, 2014). Accordingly, male NGO counterparts mediated the men's meeting, while female NGO counterparts conducted the women's meetings. During these meetings, attendees discussed and prioritized the proposed projects gathered from the initial questionnaires and assessments (Anonymous, 2014). The prioritized projects were then discussed in "broad-based community meetings with elders and other influential community members" to decide the top three to five projects, typically under the umbrella of

infrastructure rehabilitation, irrigation channel repairs and road construction (Anonymous, 2014). The community-driven decision process improved project ownership and implementation, particularly in areas where government capacity was lower (Anonymous, 2014). Moreover, while national partners were implementing projects, Oxfam directly consulted "district level line department, such as the education and housing and works divisions" to maintain consistency with long-term GoP programs and goals and sync agendas (Anonymous, 2014). Further, Oxfam not only "met and worked in coordination with [the local government departments]" but they also required the national partners join those meetings and "continuously engage with [the local government departments] to ensure guidelines were in line with the district level government" (Majid Khan, 2014).

Oxfam also executed effective project transition and hand-over to community counterparts through the national NGO partners. To ensure stable and sustainable project transition, Oxfam and the national NGO partners "held phase-out meetings with community members and local project overseers" to discuss and plan project hand-over (Majid Khan, 2014). Depending on the area, Oxfam also included government line departments in phase-out meetings and sometimes handed the project over completely to the district level governments to manage and monitor in the long run (Anonymous, 2014). Even though Oxfam did not directly implement programs, strong collaboration and involvement with district level governments and local community members ensured project ownership and led to effective implementation sustainable transition. Moreover, working with national partners and local government agencies to coordinate and implement projects encouraged nationally-owned recovery initiatives, an integral concept of Early Recovery.

Though examples provided are of cluster-driven Early Recovery projects, the processes and methods shared nonetheless embody elements of the Early Recovery approach. Both IRC and Oxfam scored relatively high on the Early Recovery index, denoting a high degree of Early Recovery integration.[39] The examples provided illustrate how both INGOs were able to effectively coordinate and implement field level projects despite the cluster level challenges while also applying elements of the Early Recovery approach.

INGO Initiated Early Recovery Programs

INGOs operating outside of the Community Restoration Cluster integrated elements of Early Recovery in their relief programs. The central difference, however, was that the programs were most often not titled Early Recovery. Based on the interviews, INGO staff did not actively integrate the Early Recovery approach into their programs. Instead, INGOs predominantly followed their own organizational standards and operating procedures that tended to overlap with Early Recovery principles.

According to IRC, many of their traditional emergency response programs could also be reframed as Early Recovery (Nichols, 2014).[40] For example, in Sindh Province, IRC installed water tanks, dug boreholes and installed hand pumps to provide basic clean water services for approximately 50,000 people (IRC, 2010). According to Caroline Nichols, former IRC Deputy Director for Programme Design and Quality, instead of replacing basic infrastructure to its pre-flood state, IRC installed "hand pumps three feet high as opposed to the normal 18 inches off the ground" in an effort to make the hand pumps more resistant to future flood damage

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[39] IRC earned 65% and 87.2%, while Oxfam scored 60% and 65.8% for "Multi-Stakeholder Collaboration" and "Sustainable Transition", respectively.

[40] IRC also implemented relief programs independently of the Community Restoration Cluster. The example provided is of one of the programs IRC enacted as part of the WASH Cluster.

(Nichols, 2014).[41] According to Nichols, this program "fulfilled an emergency need, but I think it is also had Early Recovery aspects" (Nichols, 2014). However, the title of the program was not Early Recovery and instead classified under Disaster Risk Reduction.

Save the Children (Save) operated similarly to IRC. During the immediate relief phase, Save initiated a Cash-for-Work program to engage communities to take ownership of their own relief efforts and to supplement the formal economy disrupted by the floods. According to Save, with the "onset of a major emergency, people do not have resources, namely their livelihoods earnings and cash" (Ahmed, 2014). The purpose of Cash-for-Work is to provide affected communities with "immediate cash injections but link it to the development or rehabilitation of infrastructure" (Ahmed, 2014). For Save, the first step was to identify "what sort of community needs [were] there" and then hold consultative meetings with community members and committees to prioritize the types of project selected for the Cash-for-Work scheme (Ahmed, 2014). Accordingly, Save scored a 5 for every indicator under "Local Civil Society" for "Multi-Stakeholder Collaboration", illustrating extensive participation of local actors in Save's programs.

Though elements of the Early Recovery approach were included in this program example and the Cash-for-Work scheme falls under the umbrella of what would typically be labeled a formal Early Recovery program, "for [Save, the programs] were not labeled as Early Recovery programs" (Ahmed, 2014). In fact, "none of the proposals…[were called] Early Recovery, but they were based on the [same] objectives and… intervention framework"

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[41] Nichols is currently at InterAction as a Senior Manager for Humanitarian Policy. Nichols was interviewed for her work at IRC during the 2010 floods as well as her current role in humanitarian policy at InterAction.

(Ahmed, 2014). Nonetheless, Save received high scores for Early Recovery integration for both

"Multi-Stakeholder Collaboration" and "Sustainable Transition".[42]

Concluding Remarks

Ultimately, INGOs implemented programs based on beneficiary needs and availability of

technical support from affiliated clusters.[43] According to all respondents, formal Early Recovery

was often not prioritized and in some cases even sidelined due the various barriers and

challenges encountered at the national and cluster level. However, findings clearly show an

adequate degree of Early Recovery integration by the INGOs sampled, especially in terms of

"National NGO" and "Local Civil Society" engagement. When told the projects and processes

implemented reflected the Early Recovery approach, most respondents dismissed this

argument by claiming that it was "just good business" and the way INGOs operated.

Part VI: Recommendations and Considerations[44]

Recommendations

Recommendations are based on suggestions from interview responses and analysis of

challenges at the national and cluster level. While it is not feasible for the CWGER to address

field level issues, recommendations focus on steps the CWGER can take globally to improve

integration of the Early Recovery approach into the humanitarian architecture and lay the

foundations for successful Early Recovery program implantation by INGOs in the field.

Unfortunately, it was not possible to recommend potential solutions that address every barrier

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[42] Save scored 81.5% for "Multi-Stakeholder Collaboration" and 76.6% for "Sustainable Transition".

[43] Respondents also noted available financial support from affiliated clusters, however, this is not fully accurate in terms of how INGOs typically acquire funding. See Funding Streams note in Appendix 9.

[44] Additional "Considerations" can be found in Appendix 11.

and challenge mentioned throughout the report. However, suggestions are put forth for the CWGER to consider addressing in a manner that suits their agencys' priorities and standards. In addition, INGOs realize that it is their own responsibility to integrate Early Recovery into their programs and processes. However, there are steps the CWGER can take at the global level that would enable INGOs to enhance the degree of Early Recovery integration.

1. INGO Early Recovery Workshops and Global Level Engagement

Following this report, the CWGER should continue engagement with and outreach to INGOs at the global level. In order to do so, the CWGER should conduct short workshops with key INGO staff members to address the following:

1. Promote the Early Recovery approach;

2. Clarify the CWGERs role at the global level;

3. Increase awareness amongst INGOs regarding the coordination processes the Early Recovery approach aims to achieve prior to and during a crisis;

4. Explain the support measures the CWGER can take at the global level that could assist INGOs operating in humanitarian crises;

5. Create an informational exchange between the CWGER and global level INGOs to initiate dialogue and collaboration.

Workshops should also inform INGOs on the Early Recovery approach, the value of incorporating the Early Recovery approach into INGO programs, and how specifically the CWGER envisions Early Recovery implementation in crisis settings. Each numbered suggestion derives from what INGO respondents expressed interest in learning and accomplishing from a potential workshop. INGO workshops should also include and emphasize what the CWGER and

ERA can do to support the various INGOs at the global and country level, respectively. Moreover, the workshop could provide the CWGER with the opportunity to dispel misconceptions surrounding Early Recovery, including funding streams. I recommend the workshops loosely follow the Early Recovery Advisor trainings modules, however, the information in each module should be specific to INGOs.

Since most INGOs already apply Early Recovery approaches (though may not be titled as such), the workshops need not be as long as the Early Recovery Advisor trainings. Instead, workshops could be confined to a short, daylong session. The goal of the workshops could be an exchange of best practices of projects that embody the Early Recovery approach wherein the CWGER could also advise the participating INGOs on how to enhance Early Recovery within their programing. Moreover, workshops could also provide a direct learning opportunity for the CWGER wherein INGOs could provide input on further engagement strategies and facilitate initial dialogue to improve collaboration and coordination at the global level, which could trickle down to the country level.

Prior to the workshops, the CWGER should distribute the following survey to attain additional information from global level INGOs. The CWGER should distribute survey questions to global level INGOs as a means to initiate engagement and gather information regarding INGOs views and policies surrounding Early Recovery. Below is an excerpt from the survey. The complete survey can be found in Appendix 10. The survey questions are a guide for the CWGER to use and adapt as they see fit:

1.) Is the INGO familiar with the CWGER Early Recovery Approach?

    a.) Why or why not?

b.) If so, how has your INGO integrated elements of the Early Recovery approach into

programs?

2.) What specific measures can the CWGER take at the global level to support or assist your

organization prior to a humanitarian crisis?

a.) Improve outreach prior to a crisis?

b.) Improve coordination mechanisms prior to a crisis?

c.) Encourage collaboration when designing or implementing policies?

d.) Improve availability of CWGER staff or deployed ERAs?

e.) Engage with HCT and HC/RC during a crisis?

f.) Work with Early Recovery Cluster Coordinator during a crisis to help guide

coordination for the response?

g.) Please provide other suggestions.

The survey can assist the CWGER in gathering additional information from INGOs

operating at the global level. The information attained can help guide the CWGER to plan a

more effective workshop, since responses can provide insight as to the specific areas where the

INGOs want to gain more information and/or where the CWGER recognizes a need to focus

attention.

Though the INGO workshops will be at the global level, the information shared and

learned will address how the INGO can successfully integrate or enhance the degree of the

Early Recovery approach when coordinating and planning field level programs.

2. ERA Pre-Deployments

Respondents interviewed stated that the Early Recovery Advisor had little-to-no impact

on incorporating Early Recovery into the countrywide humanitarian response or guiding the

Humanitarian Country Team (HCT) to integrate Early Recovery into the relief response. The

NDMA respondent noted, "I didn't know if it was the competition for relevance among agencies

based in Islamabad, or if that was just how the game was played, but the ERA was not very

effective at all" in terms of generating support for and integration of Early Recovery among the

different clusters (Anonymous N. , 2014). The lack of full-fledged support was clearly illustrated

by INGO respondents' interviews and the lack of support for the Community Restoration

Cluster during the 2010 flood response. In conjunction, Mikkel Trolle from the Danish Refugee

Council and formerly deployed ERA stated, "It is not ideal to come to a crisis situation and the

first thing you have to do is convince people as to why you are there. It's a waste of time and

money" (Trolle, 2014).

ERA deployments are essential to attain support and integration of Early Recovery into

the humanitarian response. However, amid the chaos of an emergency, the ERA is thrown into

a challenging and fast-paced environment and expected to advocate and win support within

the Humanitarian Country Team (HCT) for Early Recovery immediately. Though the ERA is an

essential tool to achieve Early Recovery integration at the country level, the CWGER could also

initiate an "Early Recovery-style" ERA deployment program wherein ERAs are deployed to the

other UN cluster-lead agencies before a crisis to help coordinate programs and mainstream

Early Recovery into each global-level cluster program.

For example, a pre-deployed ERA to the Food Security Cluster could work with the

cluster-lead agency (FAO in Pakistan) to integrate Early Recovery into their programs. The Food

Security cluster is considered a lifesaving relief cluster. Accordingly, relief programs are shorter-

term, especially in the early stages of the response. This could be a strategic point of entry for

the CWGER to ensure Early Recovery is integrated early into the relief response and a prime area for the CWGER to target to integrate Early Recovery into a lifesaving relief program and augment the Cluster's policies to include a longer-term approach to their service delivery. While the Food Security Cluster does have programs that reflect elements of the Early Recovery approach, they usually occur later in the response than Early Recovery requires. Thus, the pre-deployed ERA could work with cluster-lead policymakers to enhance the presence of Early Recovery in their programs and the mainstream the Early Recovery framework within the cluster-lead agency directly. Subsequently, this will enable INGOs operating under the cluster to implement programs that are more reflective of the Early Recovery approach in the field since the cluster-lead agency already has Early Recovery strongly standardized into their programs.

By engaging with cluster-lead agencies before a crisis, the cluster-deployed ERA is also able to form stronger relationships with the various cluster leads. Thus, when an emergency hits, the cluster-lead agency will already understand the value of the Early Recovery approach. Additionally, reaching out to multiple cluster-lead agencies could improve broad-based support for Early Recovery within the humanitarian response and possibly induce the Humanitarian Country Team (HCT) to actively mainstream Early Recovery into the initial response plan. Therefore, engaging with the cluster-lead agency before a crisis can help mainstream Early Recovery integration in order to generate a more effective and cohesive approach with less delay and conflict during an emergency.

Concluding Remarks

These recommendations offer the CWGER global-level engagement strategies that are not currently in practice. The recommendations are based off of respondents' suggestions and

submitted to the CWGER for consideration. The CWGER is free to adapt or alter the recommendations as they see fit with respect to their own policies and engagement strategy procedures. It is hoped that the recommendations provided can assist the CWGER to enhance engagement with INGOs at the global level and improve coordination and integration of the Early Recovery approach before and during a crisis. Additional considerations are included in Appendix 11 and are based off of further suggestions from interview respondents.

Finally, direct engagement with the INGO community and other UN cluster-lead agencies will improve visibility of the CWGER. All respondents noted that the CWGER maintained a lower profile at the global level compared to other UN agencies, which inhibited the amount of impact the CWGER could have on the humanitarian community, particularly in terms of generating sustained broad-based support for Early Recovery. Moreover, respondents interpreted the low profile to mean that the CWGER did not have much weight or credibility behind their messages. Consequently, this understanding led other organizations to prioritize other cross-cutting themes over Early Recovery, such as gender or protection. Direct engagement with INGOs and UN agencies at the global level could improve the CWGERs credibility and establish stronger authority behind their advocacy and messages. Furthermore, directly engaging with these actors could strengthen communication and coordination within the humanitarian community to implement a more effective and harmonized humanitarian response.
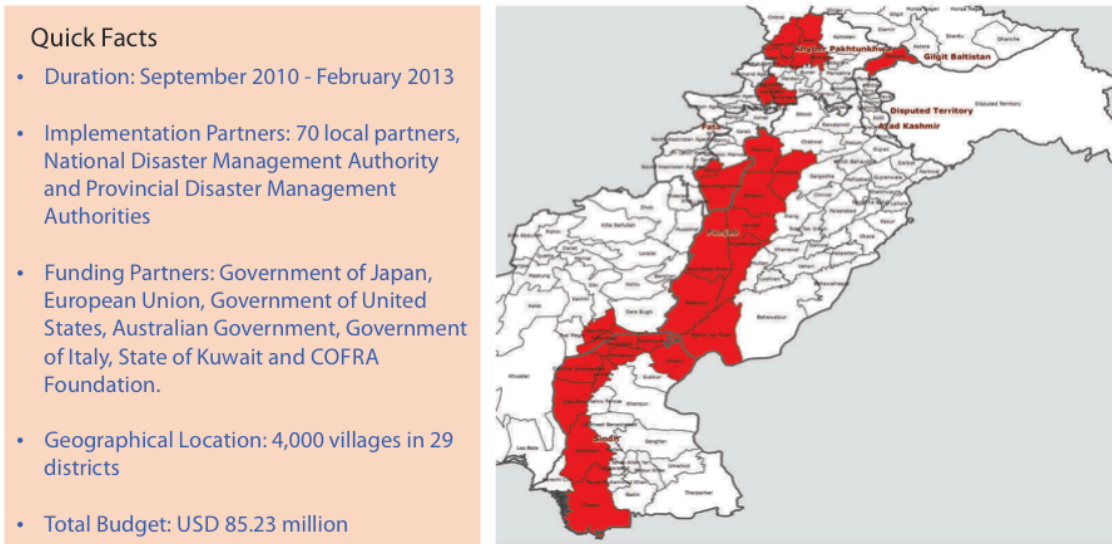
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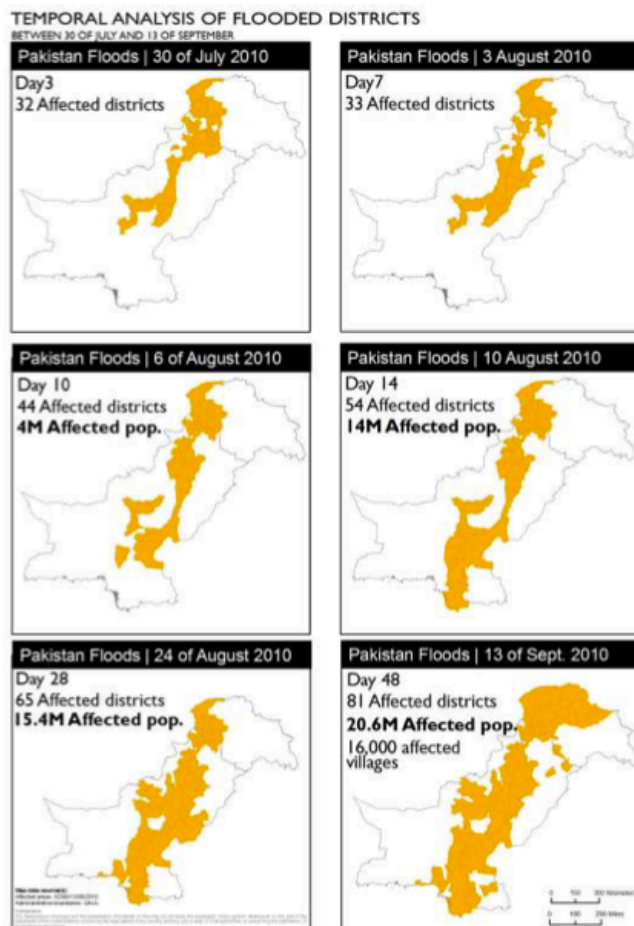
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Appendix 1:

Quick Facts

- Duration: September 2010 - February 2013

- Implementation Partners: 70 local partners, National Disaster Management Authority and Provincial Disaster Management Authorities

- Funding Partners: Government of Japan, European Union, Government of United States, Australian Government, Government of Italy, State of Kuwait and COFRA Foundation.

- Geographical Location: 4,000 villages in 29 districts

- Total Budget: USD 85.23 million

Note: Map taken from UNDP Early Recovery Programme Stat Sheet (UNDP, 2010)**.**

(United Nations, 2010)

Appendix 2:

DISASTER RISK REDUCTION (DRR)
There is no such thing as a 'natural' disaster, only natural hazards.
Disaster Risk Reduction (DRR) aims to reduce the damage caused by natural hazards like earthquakes, floods, droughts and cyclones, through an ethic of prevention.
Disasters often follow natural hazards. A disaster's severity depends on how much impact a hazard has on society and the environment. The scale of the impact in turn depends on the choices we make for our lives and for our environment. These choices relate to how we grow our food, where and how we build our homes, what kind of government we have, how our financial system works and even what we teach in schools. Each decision and action makes us more vulnerable to disasters - or more resilient to them.

Disaster risk reduction is about choices.

Disaster risk reduction is the concept and practice of reducing disaster risks through systematic efforts to analyse and reduce the causal factors of disasters. Reducing exposure to hazards, lessening vulnerability of people and property, wise management of land and the environment, and improving preparedness and early warning for adverse events are all examples of disaster risk reduction (UNISDR)**.**

Appendix 3:

Pakistan Humanitarian Forum: The Cluster System

<div align="right">Above Figure: (Pakistan Humanitarian Forum, 2010)</div>

Explanation:

"The cluster approach is a coordination mechanism involving UN agencies, government authorities and national and international NGOs to make humanitarian response better planned, more effective and accountable by improving partnership working. This joint approach also helps to avoid overlapping and in gap identification across all areas and sectors of the response. Each cluster covers one thematic area, for example: Protection; Shelter; Food Security.

"The cluster system is activated at the time of emergency and when the emergency phases out the clusters become sectorial working groups. Cluster meetings are held at district, provincial and at federal level. District clusters are linked with provincial clusters and provincial clusters to their national counterparts.

"For the coordination of clusters at provincial and national level, Inter Cluster Coordination Meeting (ICCM) are held in which all cluster leads participate, with seats for PHF and the NHN" (Pakistan Humanitarian Forum, 2010).

Note: According to the diagram above, UNDP is the Cluster Lead Agency for Early Recovery, and is therefore responsible for the Early Recovery Cluster and coordination and organization of the humanitarian response enacted by the Early Recovery Cluster.

Additional explanation:

Reporting Primer

Early Recovery

Note: Reporting Primers are internal guidance for OCHA staff to increase understanding of specialized aspects of humanitarian operations and in turn strengthen reporting efforts. The information contained here is for background purposes only. Reporting for a specific emergency should always be based on input from, and dialogue with, cluster representatives in the field.

(OCHA, 2010)

I. Overview

Global Cluster Working Group Lead: United Nations Development Programme (UNDP)

The overall focus of the recovery approach is to restore the capacity of national institutions and communities to recover from a conflict or a natural disaster, enter transition or 'build back better' and avoid relapses. Early Recovery (ER) is a process that actually begins during what has traditionally been thought of as the 'humanitarian' or 'relief' phase and uses development principles to make recovery sustainable. In practical terms it encompasses the restoration of basic services, livelihoods, transitional shelter, governance, security and rule of law, environment and other socio-economic dimensions, including the reintegration of displaced populations.1

Examples of ER activities:

• Re-establishing and facilitating access to essential services such as health, education, water and sanitation, finances, primary infrastructure (road repair, transport, communication) and restoring environmental assets

1. Ensuring appropriate transitional shelter
2. Distributing seeds, tools and other goods and services that help to revive socio-economic activities among women and men
3. Providing temporary wage employment for women and men (e.g. cash-for-work programmes)
4. Strengthening the rule of law and the capacity of the State to respect, protect and fulfill the rights of the people Note: At the country level, the name of the cluster established to address recovery needs may change to reflect the priorities of the Cluster or existing governmental development bodies. In Pakistan for example, the Early Recovery Cluster was named the "Community Restoration Cluster" to reflect an emphasis on projects in the areas of governance, non-farm livelihoods and community infrastructure rehabilitation.

II. Early recovery coordination

The early recovery process is multidimensional. Early recovery activities are often just one element of the overall work being carried out by clusters. But at the same time, these activities are also early recovery activities in their own right. To address this, a specific coordination approach is required.

The Early Recovery Network is a network of ER focal points from each of the other clusters, working together on the integration, mainstreaming and coordination of early recovery issues within each cluster. The ER Network makes ER a common concern and avoids limiting it to the work of one cluster. Each of the other Inter-Agency Standing Committee clusters on the ground – such as health, protection and education – systematically plan and implement ER interventions within the context of their own specific areas of work.

In addition, there are often areas of ER that are not covered by the other clusters and that are essential in order to kick-start the recovery effort. Those ER areas will vary from context to context and may include, for example, livelihoods, reintegration, land and property, infrastructure, governance, or rule of law.

Together, the cluster and network form an L-shaped model of ER coordination (see diagram overleaf). The L-shape ensures that: a) early recovery is effectively mainstreamed throughout everyone's work and becomes a collective responsibility (through the horizontal ER Network); and b) no gaps are left uncovered that are considered essential for the success of the collective ER effort (through the vertical ER Cluster).
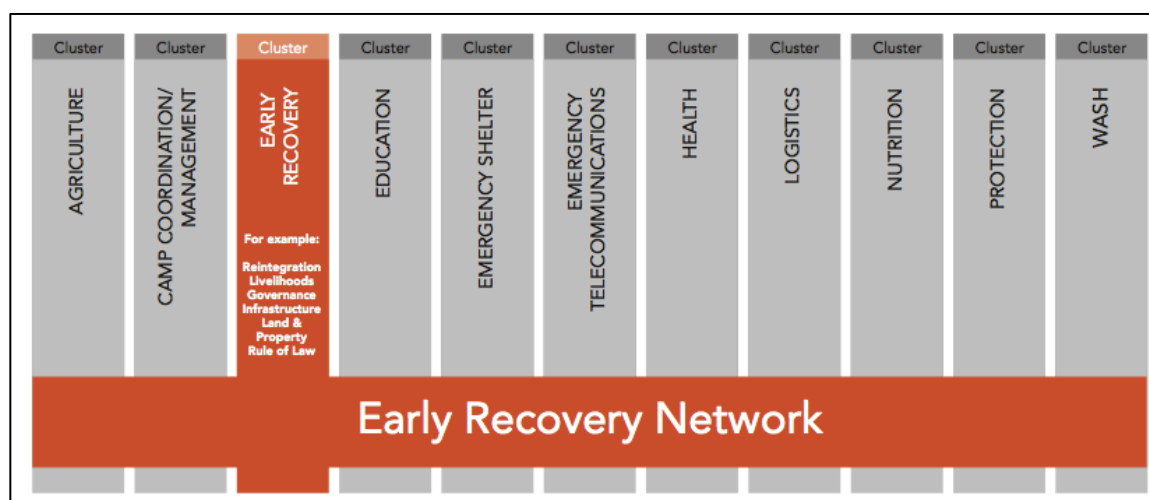
(OCHA, 2010)

III. Glossary of frequently used terms in early recovery2

Transition: The period immediately after a disaster or conflict when pre-existing plans and programmes no longer reflect the most pressing priorities.

Livelihood: The means by which an individual or household obtains assets for survival and self-development. Livelihood assets are the tools (skills, objects, rights, knowledge, social capital) applied to enacting the livelihood.

Governance: The exercise of economic, political and administrative authority to manage a country's affairs at all levels. It comprises the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences.

Post-Disaster Needs Assessment (PDNA): A process by which the results of assessments undertaken by various actors (i.e. United Nations and World Bank) are integrated with recovery programme planning to develop a comprehensive approach to recovery requirements and priorities. It aims to improve coordination and capacity among the United Nations, the World Bank, the European Commission and other interested recovery stakeholders to support country-level recovery needs assessment, planning and implementation.3

United Nations Development Assistance Framework (UNDAF): The common strategic framework for the operational activities of the United Nations system at the country level.

IV. For more information
All cluster information and documents can be found on *http://oneresponse.info* **Key documents to read are:** *Early Recovery Coordination: Frequently Asked Questions Guidance Note on Early Recovery* (OCHA, 2010)

———————

2 Source: UNDP unless otherwise indicated. 3 Adapted from the CWGER "Guidance Note on Early Recovery."

Humanitarian Country Team Definition:

The Humanitarian Country Team (HCT), under the leadership of the Humanitarian Coordinator (HC), is the centre-piece of the new humanitarian coordination architecture established by Humanitarian Reform. The HCT is composed of organisations that undertake humanitarian action in-country and that commit to participate in coordination arrangements. Its objective is to ensure that the activities of such organisations are coordinated, and that humanitarian action in-country is principled, timely, effective and efficient, and contributes to longer-term recovery. The overall purpose is to alleviate human suffering and protect the lives, livelihoods and dignity of populations in need.

The HCT is ultimately accountable to the populations in need. Appropriate and meaningful mechanisms should be designed and implemented at the local level to achieve this goal.The affected State retains the primary role in the initiation, organisation, coordination, and implementation of humanitarian assistance within its territory. Whenever possible, the HCT

operates in support of and in coordination with national and local authorities (Inter-Agency Standing Committee).

Cluster –Lead Agency Definition:

     Cluster Lead Agency: an agency or organization that has been designated by the IASC (for global level) or RC or HC (at country level) to lead coordination for a particular sector. The agency formally commits to take on a leadership role within the international humanitarian community in a particular sector/area of activity, to ensure adequate response including, importantly, ensuring that the cluster/sub-cluster has adequate capacity for coordination, and high standards of predictability, accountability & partnership. A "cluster lead agency" takes on the commitment to act as the "provider of last resort" in that particular sector/area of activity, where this is necessary (UNICEF).

Appendix 4:

Record Details: The Community Restoration Cluster

Organization: UNDP

The Community Restoration Cluster (CRC) lead by the United Nations Development Program (UNDP) is responsible for addressing the early recovery needs of the conflict affected population of North West Frontier Province (NWFP) and Federally Administered Tribal Areas (FATA). In the present context, the Community Restoration cluster covers areas not covered by other clusters. It provides technical support and coordination to cluster members whose projects' activities fall under the following 5 areas:

· Non Farm Livelihoods;
· Governance;
· Social cohesion;
· Environment;
· Basic Community Infrastructure.

Response Plan Objectives and Strategy

The CR Cluster strategy aims at providing a coordination mechanism for cluster members working in humanitarian settings and establishing the foundations for post crises early recovery, addressing the needs of IDPs in and off camps, host communities, returnees and population in affected areas. In the designing of the response strategy, inputs from cross cluster assessments and community consultations are incorporated along with the following imperatives:

· Integration of cross-cutting issues in needs assessment, planning, monitoring and response such as age, sex, diversity, physical disability, environment, HIV and AIDS, disaster risk reduction and human rights;

· Gender-proactive programming and promotion of gender equality; ensuring that the needs, contributions and capacities of women are addressed to an equal capacity as compared to men;

· Incorporation of conflict sensitive approach in programming, so that peace building potential of the interventions are maximized;

· Support and strengthen the capacity of national and local institutions particularly the civil society organisations (One Response Pakistan, 2010).

Appendix 5:

NGO InterAtion Consortium:

   The selected INGOs are also all members of the InterAction NGO consortium; the Danish Refugee Council is the only non-InterAction member.[45] The InterAction NGO consortium is the largest alliance of United States-based INGOs. InterAction was created to provide a collaborative and coordinated platform for development and humanitarian INGOs. InterAction membership tacitly binds affiliated INGOs to UN guidelines and principles. Moreover, each INGO member subscribes to the InterAction Humanitarian Policy, which coordinates and unifies member INGOs' humanitarian response policies and programs (InterAction). InterAction membership also serves as a representative body for the U.S. NGO community in the Inter-Agency Standing Committee (InterAction).

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[45] The Danish Refugee Council (DRC) was selected by the CWGER by Stuart Kefford. Mr. Kefford is contracted by the DRC to work for the CWGER to conduct NGO outreach and integrate the Early Recovery Approach into humanitarian INGO policies and programs.

Appendix 6:

"Immediately following a humanitarian crisis, humanitarian actors in the field can immediately provide life-saving assistance using pooled funds managed by OCHA. There are three types of pooled funds: the Central Emergency Response Fund (CERF), Common Humanitarian Funds (CHFs) and Emergency Response Funds (ERFs). While the CERF can cover all countries affected by an emergency, the CHFs and ERFs are country-based pooled funds that respond to specific humanitarian situations in currently 18 countries" (CWGER).

FUNDING BY CLUSTER
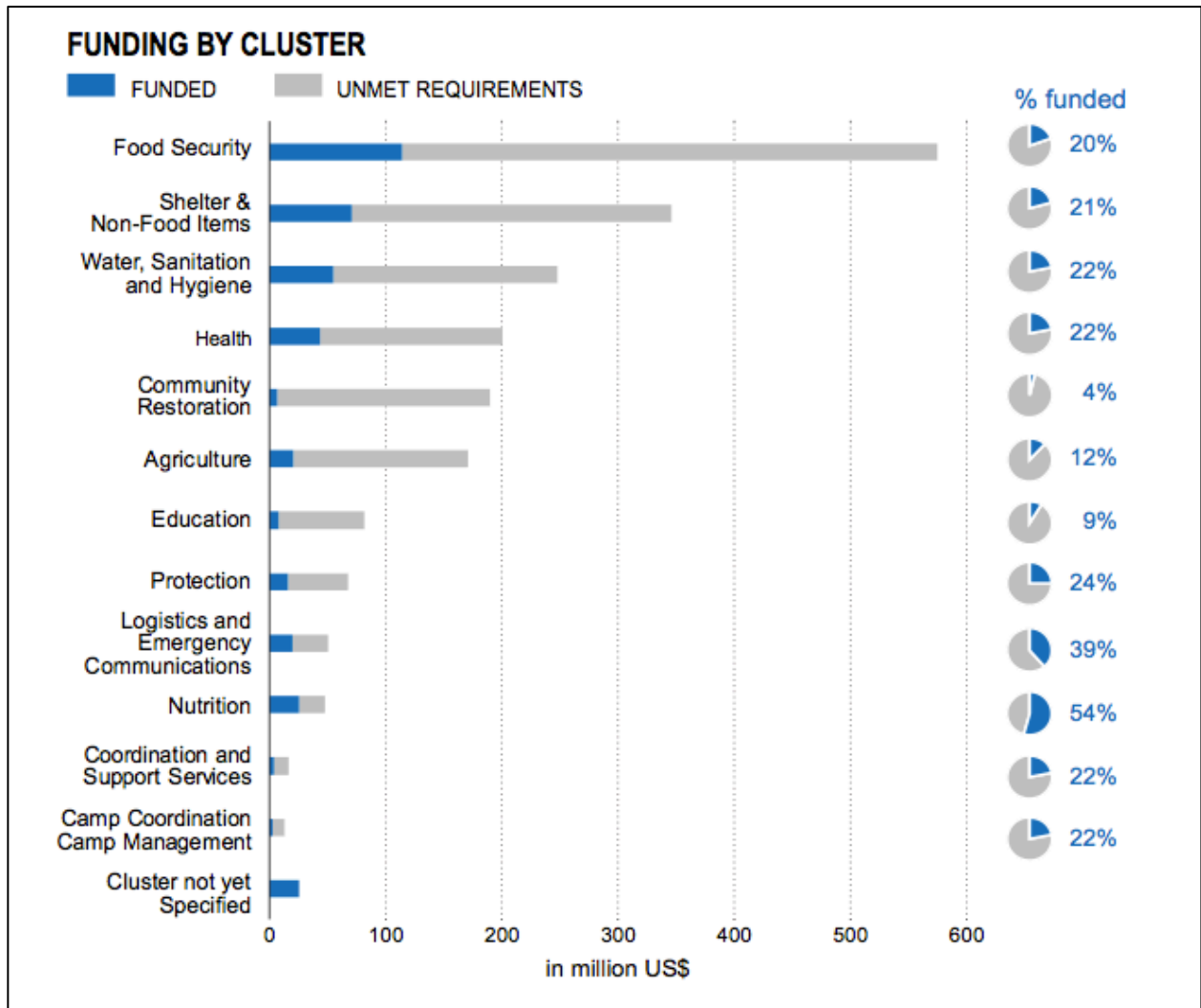
(United Nations, 2010)

Note: Community Restoration Cluster is only 4% funded as of October 31, 2010, three months into the relief phase. This was in part due to the fact that the Community Restoration Cluster did not appear in the original CAP Appeal and was included in the revised appeal, written in September 2010.

2.3 FUNDING TO DATE

The Pakistan Initial Floods Emergency Response Plan requested $460 million for projects in seven clusters. Initial funding for the response plan was swift, with commitments and pledges for the plan totaling more than $307 million by the end of August (67% of initial requirements). An additional $490 million had been pledged or committed outside the framework of the inter-agency plan by that time, for total international humanitarian contributions of $797 million. Funding reported to projects inside and outside this response plan can be viewed on the OCHA Financial Tracking Service (FTS) at:http://fts.unocha.org/pageloader.aspx?page=emerg-emergencyDetails&emergID=15913. Although the pace of contributions decreased significantly during the first two weeks of September, funding for the Response Plan increased to $412 million (89.6% of original requirements) by 15 September.

As of 17 September, the Central Emergency Response Fund (CERF) had released nearly $30 million and has pledged an additional $10 million to nine UN agencies and IOM in response to the widespread flooding in Pakistan. The Emergency Relief Coordinator approved the first allocation of $16.6 million by 10 August to jumpstart life-saving activities. A second allocation of $13.3 million was released between 27 August and 1 September to bolster and expand operations. CERF funds are supporting emergency shelter and NFIs (30%), food (25%), health care (18%) and water and sanitation services (16%) as well as vital common services for the humanitarian community, including telecommunications, aviation services and security. The Emergency Response Fund (ERF) was activated at the beginning of September to provide international and national NGOs, UN agencies, and the International Organization for Migration (IOM) with rapid and flexible initial funds to respond to the floods. By mid-September, more than 30 projects in the priority Food, Health, WASH, and Shelter and NFI Clusters had been selected for funding, for a total of more than $8 million. These projects are being implemented in Balochistan, KPK, Punjab, and Sindh. Six donors and numerous private individuals have contributed $12.6 million to the fund.

Total requirements increased substantially during the response plan revision, highlighting significant funding gaps in several clusters, including agriculture, *community restoration*, and education which were added during the revision (United Nations, 2010).

Appendix 7:

Coding Indices for Early Recovery

Coding Key

Score	Degree
0	None
1	Minimal
2	Somewhat
3	Adequate
4	Strong
5	Extensive

*Score adjusted based on questions asked/answered. "Not Specified" indicates questions not asked or no mention from respondents during the interview and do not count negatively toward the INGO score.

*N/A stands for Not Applicable. Either the NGO was not questioned on this indicator or it was not applicable in the context provided.

Index 1: Multi-Stakeholder Collaboration

Question: What actors did your organization work in partnership with during the planning and implementation phases of the relief response? And what coordination mechanisms did your organization utilize, ex: community meetings, government consultants, other UN Agencies? Please provide specific examples.

International Rescue Committee (Table 1)

IRC		**Multi-Stakeholder Collaboration - Planning and Coordination Process**					
	Partner:	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of CR Cluster)	Other (Please Specify)
Collaboration Method Indicator:	Meetings	3 – informal coordination occurred but NOT organized by cluster	Not specified	4 – gender-based and broad-based community meetings, focused on community mobilization	2/3 – sometimes coordinated depending on program, sometimes DCO cancelled	Not specified	N/A
	Consultations	Not specified	Not Specified	2 – needs assessments	2 – relevant line department at district level when applicable	Not specified	N/A
				4 – based on social			

				mapping, community meetings, gender-based consultation			N/A
Information Gathering and Sharing Methods	Not Specified	Not Specified	mapping, community meetings, gender-based consultation	Not Specified	Not Specified	N/A
Designated Implementing Partner	Not Specified	2 – some involvement w/ national NGOs - not extensive sometimes national NGO implement an aspect of project	5 – local committees in charge of hiring, contracting process, signed MOUs w/ all village committees	3 – depending on project, relevant line department involved	Not Specified	5 - Local Businesses: IRC split contact w/ 2-3 different vendors to increase opportunity, spur income generation also, local labor force

Breakdown by Indicator

		Multi-Stakeholder Collaboration - Planning and Coordination Process					
IRC	**Partner**	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	3/20	2/20	15/20	7.5/20	0/20	5 Additional points

IRC Raw Score: 32.5/100
IRC Adjusted Score: 32.5/50*

Finding: IRC = 65% in terms of degree of Early Recovery integration with regard to Multi-Stakeholder Collaboration.

Save the Children (Table 2)

	Multi-Stakeholder Collaboration - Planning and Coordination Process

Save	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of CR Cluster)	Other (Please Specify)
Collaboration Method Indicator:	Meetings	4 - informal coordination w/ NGOs NOT cluster driven	4 - Informal coordination w/ NGOs NOT cluster driven	5 -gender-based and broad - based community meetings	3 - coordinated w/ social welfare cell in district line departments	Not Specified	N/A
	Consultations	Not Specified	Not Specified	5 - needs assessments, baseline, mid-line, end-line surveys	3/4 - relevant line departments when applicable to sync agendas	Not Specified	N/A
	Information Sharing and Gathering Methods	3/4 - Informal coordination w/ NGOs to discuss projects and supplement other NGO programs in same areas	3/4 - Informal coordination w/ NGOs to discuss projects and supplement other NGO programs in same areas	5 -"User Committees" established, gender-based and broad - based community meetings	3 - coordinated w/ social welfare cell in district line departments	Not Specified	N/A
	Designated Implementing Partner	Not Specified	3/4 - often use national NGOs as implemented partners for portions of project	5 - User Committees oversaw project proposal, planning, implementation and monitoring	5 - all village level projects endorsed by the social welfare cell at the district level	Not Specified	N/A

Breakdown by Indicator

Save	Partner	Multi-Stakeholder Collaboration - Planning and Coordination Process					
		Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	7.5/20	11/20	20/20	14.5/20	0/20	No Additional Points

Save Raw Score: 53/100
Save Adjusted Score: 53/65*

Finding: Save = 81.5% in terms of degree of Early Recovery integration with regard to Multi-Stakeholder Collaboration

Oxfam (Table 3)

<table>
<tr><th rowspan="2">Oxfam</th><th colspan="7">Multi-Stakeholder Collaboration - Planning and Coordination Process</th></tr>
<tr><th>Partner</th><th>Other Cluster-Affiliated INGOs</th><th>National NGOs (Cluster-Affiliated or Other)</th><th>Local Civil Society (Community Committees, Women's Groups, etc.)</th><th>Government Actors (National, Provincial, District Level)</th><th>UN Agencies (Outside of ER Cluster)</th><th>Other (Please Specify)</th></tr>
<tr><td rowspan="3">Collaboration Method Indicator:</td><td>Meetings</td><td>3 - INGOs attended cluster meetings, some coordination</td><td>5 - strong coordination w/ national partners</td><td>N/A - Oxfam not usually implementing agent</td><td>3 - coordinate w/ relevant DCO or line department</td><td>O - other UN Agencies do not typically attend other cluster meetings, Oxfam did not reach out</td><td>N/A</td></tr>
<tr><td>Consultation</td><td>3/4 - Actively seek out info on INGO projects to distribute to relevant implementing partners</td><td>5 - strong collaboration and consultation, share standards, guidelines, relevant info</td><td>N/A</td><td>3/4 - relevant line departments when applicable to sync agendas</td><td>0 - No direct consultations</td><td>N/A</td></tr>
<tr><td>Information Sharing and Gathering Methods</td><td>3/4 - Emails, meeting minutes, coordination mechanisms at district level</td><td>5 - Initiates strong coordination w/ NGOs to discuss project guidelines standards</td><td>N/A</td><td>3 - if gov involved in project planning implementation</td><td>1 - some information sharing, but not typical</td><td>N/A</td></tr>
</table>

	Designated Implementing Partner	0 - No partnership w/ INGOs for project implementation	5 - always use national NGOs as implementing partners for entire project	N/A	5 - all village level projects were endorsed by the social welfare cell at district level	N/A	N/A

Breakdown by Indicator

		Multi-Stakeholder Collaboration - Planning and Coordination Process					
Oxfam	**Partner**	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	10/20	20/20	0/20	14.5/20	1/20	No Additional Points

Oxfam Raw Score: 45.5/100
Save Adjusted Score: 45.4/75*

Finding: Oxfam = 60% in terms of degree of Early Recovery integration with regard to Multi-Stakeholder Collaboration

Compiled Index Scores

		Multi-Stakeholder Collaboration - Planning and Coordination Process					
Final Tally	**Partner**	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
INGO	**IRC**	3	2	15	7.5	0	5 Add. Points
	Save	7.5	11	20	14.5	0	No Add. Points
	Oxfam	10	20	0	14.5	1	No Add. Points

Index 2: Sustainable Transition and Phase-Out Strategy

Question: Since there was no cluster-transition strategy, did your organization transfer ownership and control of programs? If so, how did your organization manage this task? And who were the main actors you transferred the programs to? Please provide specific examples of which programs were transferred and what types of programs were transferred?

International Rescue Committee (Table 4)

IRC	Partner	**Sustainable Transition - Planning, Coordination and Transfer Process**					
		Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of CR Cluster)	Other (Please Specify)
Phase-Out Strategy Indicator:	Phase-Out Meetings	Not Specified	4/5 - Phase-out meetings held w/ all key stakeholders	5 - community committees headed regular meetings, involved in phase-out and transfer	4 - depending on project	Not Specified	N/A
	MOUs, Contracts, other formal or informal coordination mechanisms	Not Specified	Not Specified	5 – MOUs signed w/village committees for project take-over	4 - depending on project	Not Specified	4 - Local vendors and contractors
	Capacity Building	N/A	4 - when working with other national NGOs	5 - mobilization committees, implementation	3 - when applicable, if district level government capacity was lacking, IRC held trainings but only when involved in specific project	Not Specified	N/A
	Leadership Transfer	Not Specified	3/4 - If national NGO was implementing agent, NGOs took project lead	5 - transferred project ownership to community leaders who were leaders from project start date	5 - when applicable, if district line department involved in project planning, implementation	Not Specified	N/A
	Project Transfer	Not Specified	3/4 - If national NGO was implementing agent, program was transferred	5 - transferred project ownership to community	5 - when applicable, if district line department was involved in project planning and implementation	Not Specified	N/A

| | Monitoring and Evaluation | Not Specified | 3/4 - If project transferred to national NGO | 4/5 - capacity built for community-driven future planning, documentation, sustained community meetings to monitor after IRC end date | Not Specified | Not Specified | 5 - IRC sustained monitoring of community-based projects to acquire additional funding beyond IRC project end date |

Breakdown by Indicator

IRC	Sustainable Transition - Planning, Coordination and Transfer Process						
	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	0/30	19/30	29.5/30	21/30	0/30	9 Additional Points

IRC Raw Score: 78.5/150
IRC Adjusted Score: 78.5/90*

Finding: IRC = 87.2% in terms of degree of Early Recovery integration with regard to Sustainable Transition.

Save the Children (Table 5)

Save	Sustainable Transition - Planning, Coordination and Transfer Process						
	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of CR Cluster)	Other (Please Specify)

Phase-Out Strategy Indicator:						
	Phase-Out Meetings	Not Specified	3/4 - included only when national NGOs were involved	4/5 - User Committees established	4/5 - when local gov. departments were involved in project coordination and implementation	Not Specified	N/A
	MoUs, Contracts, other formal or informal coordination mechanisms	4/5 - Informal field-level cluster monitored coordinated by NGOs operating in the same area	4/5 - Informal field-level cluster monitored and coordinated by NGOs operating in the same area	3/4 - no official MOU specified, but established User committees for every project	4/5 - all village level committees were endorsed by the social welfare department	Not Specified	N/A
	Capacity Building	N/A	3 - de facto capacity building, Save implemented (several) projects through local organizations - typically when capacity was already there	3 - trained local counterparts selected as leaders, community committee, no mention of advanced or broad-based training	4 - when necessary, Save bolstered gov capacity in terms of project management, M&E and data compilation and information sharing	Not Specified	N/A
	Leadership Transfer	Not Specified	3 - when local NGOs were implementing partners	3/4 - typically taken over by local project leaders	4/5 - District Coordination Officer, when gov was involved in project	Not Specified	N/A
	Project Transfer	Not Specified	3 - only referenced when local NGOs were implementing partners	3/4 - typically taken over by local project committees involved since project start date	4/5 - when gov was involved, assisted in further rehabilitation and development work under the DCO (district coordination officer)	Not Specified	N/A

Sustained Monitoring and Evaluation	Not Specified	3 - only referenced when local NGOs were implementing partners	Not Specified	4/5 - sustained project management, monitoring and evaluation after Save end date	Not Specified - but during Early Recovery phase, assumed UNDP would undertake responsibility	N/A

Breakdown by Indicator

Save	Sustainable Transition - Planning, Coordination and Transfer Process					
	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	4.5/30	20/30	18/30	26.5/30	0	No Additional Points

Save Raw Score: 69/150
Save Adjusted Score: 69/90*

Finding: Save = 76.6% in terms of degree of Early Recovery integration with regard to Sustainable Transition.

Oxfam (Table 6)

Oxfam	Sustainable Transition - Planning, Coordination and Transfer Process					
	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
Phase-Out Strategy Indicator:	Phase-Out Meetings	N/A - not implementing partner	5 - main implementing partner	N/A	2 - not typically, only when very involved	N/A	N/A

	MoUs, Contracts, other formal or informal coordination mechanisms	N/A - not implementing partner	5 - always, terms and conditions for project implementation, M&E, sustained reporting	N/A	3 - MOU and strong coordination when gov involved in project	N/A	N/A
	Capacity Building	3/4 - runs trainings for INGOs implementing Cash-transfer programs	3/4 - built capacity when necessary	N/A	Not Specified	N/A	N/A
	Leadership Transfer	N/A - not implementing partner	5 - national partner leads project from start to end date	N/A	Not Specified	N/A	N/A
	Project Transfer	N/A - not implementing partner	5 - national partner responsible	N/A	1 - gov is involved but project not officially transferred	N/A	N/A
	Monitoring and Evaluation	0 - never	5 - conducted by national partner	N/A	1/2 - only if deeply involved	N/A	N/A

Breakdown by Engagement Partner

	Sustainable Transition - Planning, Coordination and Transfer Process						
Oxfam	**Partner**	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
	Total Score	3.5/30	28.5/30	0/30	7.5/30	030	No Additional Points

Oxfam Raw Score: 39.5/150
Oxfam Adjusted Score: 39.5/60*

Finding: Oxfam = 65.8% in terms of degree of Early Recovery integration with regard to Sustainable Transition.

Compiled Index Scores

	Sustainable Transition - Planning, Coordination and Transfer Process

Final Tally	Partner	Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or Other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of ER Cluster)	Other (Please Specify)
INGO	**IRC**	0	19	29.5	21	0	9 Add. Points
	Save	4.5	20	18	26.5	0	No Add. Points
	Oxfam	3.5	28.5	0	7.5	0	No Add. Points

Summary of Findings

Based on the findings, the INGOs sampled adequately integrated elements of the Early Recovery approach into their programs during the relief phase.[46] All INGOs interviewed consistently earned high scores for the "National NGOs", "Local Civil Society", and "Government Actors" indicators, illustrating a robust degree of Early Recovery approach integration as measured through "Multi-Stakeholder Collaboration" and "Sustainable Transition" categories.

All respondents provided examples of programs implemented during the relief phase that illustrated Early Recovery approach integration. However, respondents stated that the majority of these programs were not expressly titled "Early Recovery", even within the Community Restoration Cluster. Though this did not appear to affect the degree of Early Recovery approach integration in INGO projects and processes, it could explain why INGOs did not immediately see how their standard operating procedures reflected elements of the Early Recovery approach. Further, each respondent highlighted several challenges that hindered their INGO from collaborating and coordinating with all actors listed in the indices. These barriers and challenges could explain some of the variation and inconsistencies brought forth in the findings.

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[46] Though most INGO staff interviewed indicated their response programs included elements similar to or reflective of Early Recovery, most INGO programs were not titled "Early Recovery". Instead, Disaster Risk Reduction (DRR) or Rehabilitation were more common.

Appendix 8:

Early Recovery Benchmarks:

  To help interview coding, I developed a set of six benchmarks derived from the principles specified in the Guidance Note on Early Recovery and sanctioned by the IASC Transformative Agenda. The benchmarks will be used to frame and guide the preliminary research to be conducted prior to the interview phase. Benchmarks include:

1. Did the INGO implement programs that are owned and led by national actors?
2. Did the INGO include local civil society and national government actors into the planning and implementation phase of the needs assessments?
3. Did the INGO implement programs focused on short-term recovery initiatives, such as repair or rehabilitation of infrastructure, cash-for-work programs, cash transfers or rubble removal?
4. Did the Cluster coordinate and/or collaborate with the ERA (was an ERA deployed), Humanitarian/Resident Coordinator, Humanitarian Country Team, or other UN humanitarian agencies to collaborate and coordinate relief responses addressing multi-sector issues and inter-cluster coordination at the National level? If so, how did this coordination/collaboration affect the INGOs working under the cluster?
5. Did the INGO integrate cross-cutting issues, such as gender or accountability inclusion/consideration in project design?
6. Did the INGO transfer project ownership to local actors, including national NGOs, civil society or relevant government agencies?

  These benchmarks served as indicators when codifying the methods and strategies the selected INGOs utilized when planning, coordinating, implementing and transferring projects in Pakistan. The benchmarks helped determine if elements of the Early Recovery approach appear in the INGO operating procedures and helped quantify the degree of Early Recovery integration.

Semi-Interview Questions:

Interview Questions:
  In addition to the sources of information listed above, interviews with the selected INGOs' staff, including field staff and executives at headquarters will serve to fill in the informational gaps. Most interviews will occur via skype and may be constrained in terms of time or scheduling.
  After the initial benchmark assessment of INGO policies and programs in South Sudan, the interviews will serve to fill in the informational gaps and look for trends or themes in the INGO programs. Interview questions are categorized based on relevance to the respective module. The interview questions also have sub-questions and follow-up questions based on potential responses.

Additionally, access to interviewees may be limited based on the nature of humanitarian crises. Due to potential interview time constraints, the interview questions are listed based on module priority. Guiding questions are:

Module 1: Government and Civil Society Engagement (Top Priority)
1) What actors did your organization work in partnership with during the planning and implementation phases of the relief response?

Other Cluster-Affiliated INGOs	National NGOs (Cluster-Affiliated or other)	Local Civil Society (Community Committees, Women's Groups, etc.)	Government Actors (National, Provincial, District Level)	UN Agencies (Outside of the ER Cluster)	Other (Please Specify)

2) Can you give examples of partnerships with these actors (above question) which were conducive (or obstructive) to an efficient early recovery programing?
   a.) How did the partnership occur?

Organizational Mandate	Civil Society Initiated	Government Initiated	UN Agency (ERA facilitated)	Other

3.) How did your organization engage with local government or civil society actors during the planning and implementation phase of the response? Please provide specific examples.

Module 2: Coordination Mechanisms (Top Priority)
1.) What was the planning process like (in-country)?
   a.) Who were the main actors involved in the planning stages?
   b.) How much coordination/collaboration occurred during the planning stages
   c.) What coordination mechanisms did your organization utilize, ex: community meetings, government consultants, ERA organized? Sectoral Coordination mechanism AND inter-cluster coordination mechanism – in Pakistan, the INGOs missed this mechanism! Very important to ensure that Inter-cluster coordination is in place and that the INGOs are invited to the inter-cluster coordination (in general – in country meetings, strategic planning discussions) and also VERY important for my future recommendations section – how CWGER can engage.
2.) What influenced the elements included in the programs? Sub Box: donors? Local populations demanded? Needs assessments? Government influence? ERA influence?
3.) How did your organization implement programs? Please provide specific examples.

a.) Who were the main actors involved in implementation? For example, community leaders, other INGOs, national NGOs, government actors, UN agencies, other?

b.) What was the timeline for these programs?

Short-term	Medium-term	Long-term	Other

Module 3: Cluster Transition and Exit Strategy (Medium Priority)

1.) Was there a cluster-transition strategy developed in the country?
2.) Did the INGO consult with national governments and other UN agencies to contribute to developing a " cluster transition" strategy/exit strategy? (Note: how do INGOs move out of the Clusters and into government coordination structure and ownership?) And if so, is there a national authority to which the recovery coordination role was transferred?
3.) Since there was no cluster-transition strategy, did your organization transfer ownership and control of programs? Please provide specific examples of which programs were transferred and what types of programs were transferred.
    a.) Why or why not?
    b.) If so, how did your organization manage this task?
4.) Who were the main actors you transferred the programs to?
    a.) Why did you choose to transfer the programs to these actors?
5.) What were the main challenges your organization faced when attempting to transfer programs to other actors? Explain with examples.

Other INGOs	National NGOs	Government Actors	UN Agencies	Other

Module 4: Program Sustainability (Low Priority)

1.) Did the program have a sustainability component to it? NOT sustainable, but sustainable, meaning the positive effects of the programs lasted beyond the strict timeframe of implementation?
2.) How long did the programs continue after your organizations' departure? Please provide specific examples of the programs that continued.

Yes	No	Unknown

3.) Did the actors involved have the capacity to sustain the programs transferred?
4.) What were the main challenges that prevented successful continuation of the programs?

Appendix 9:

Note on Funding Streams (from *Barriers and Challenges* Section):

Respondents also noted that even when integrating the Early Recovery approach, without a stable funding mechanism, the incentive to formally incorporate a new concept into their programing is low.[47] Most fundamentally, respondents stated that "in order to build the trust among local and international organizations, [UNDP] needs to…bring in some international donors" (Muhammad, 2014).

Though this was a common misperception amongst all INGO respondents, it is nevertheless included to provide insight for the CWGER to consider.

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[47] In this context, formal incorporation means titling programs "Early Recovery" and institutionalizing that phase in their organizational language, which donors will be responsive to and fund the project.

Appendix 10:

INGO Survey Questions (to be adapted by CWGER)

1.) Is the INGO familiar with the CWGER Early Recovery Approach?
   a.) Why or why not?
   b.) If so, how has your INGO integrated elements of the Early Recovery approach into programs?

3.) Was the INGO in contact with the Early Recovery Cluster Coordinator (ERCC) or Early Recovery Advisor (ERA) during the last humanitarian crisis?
   a.) Why or why not?
   b.) If so, was the ERCC or ERA willing to engage with INGOs?
   c.) If so, what was the engagement process/method?
   d.) If not, what could the ERCC/ERA have done differently to improve engagement and integration of the INGO voice in during the response planning?

4.) What specific measures can the CWGER take at the global level to support or assist your organization prior to a humanitarian crisis?
   h.) Improve outreach prior to a crisis?
   i.) Improve coordination mechanisms prior to a crisis?
   j.) Encourage collaboration when designing or implementing policies?
   k.) Improve availability of CWGER staff or deployed ERAs?
   l.) Engage with HCT and HC/RC during crisis?
   m.) Work with Early Recovery Cluster Coordinator during crisis to help guide coordination for the response?
   n.) Please provide other suggestions.

5.) What specific measures can the CWGER take at the global level to support or assist your organization prior to a humanitarian crisis?
   a.) Engage with the Early Recovery Cluster Coordinator to improve coordination?
   b.) Engage with the HCT ad HC/RC to ensure Early Recovery, as a cluster and as a cross-cutting theme, is adequately incorporated into the initial response planning?
   c.) Please provide other suggestions.

6.) What are the main challenges the INGO faces when trying to implement early recovery policies and programs during a crisis? Please describe (briefly) specific examples.
   a.) What can the CWGER do to assist the INGO to make Early Recovery integration easier? (Please describe briefly below).

7.) What are the main challenges the INGO encounters when coordinating Early Recovery with UN agencies or other INGOs?
   a.) What can the CWGER do to assist the INGO to make Early Recovery integration easier? (Please describe briefly below).

8.) Would the INGO be willing to participate in a short workshop regarding Early Recovery ?

Appendix 11:

Additional Points of Consideration

1. HCT Engagement

Respondents noted that the Humanitarian Coordinator/Resident Coordinator (HC/RC) in Pakistan was "not aware of their responsibility of coordinating Early Recovery" during the response (Trolle, 2014).[48] Since the HC/RC is the primary driver of the international humanitarian response, respondents noted that it is imperative to ensure that the "HC/RC knows the role [of the ERA] and the value of Early Recovery" (Trolle, 2014).

"There has to be a lot of work with the HCs. They have to be the ones that drive [the ER approach in crisis situations]" (Trolle, 2014). Based on the generic Terms of Reference for the Humanitarian Coordinator, the HC is mandated to support Early Recovery as part of the humanitarian response.[49] Moreover, it is also the HCs responsibility include Early Recovery as part of the response, however, based on the 2010 case study, the HC is not always willing to incorporate Early Recovery into the larger humanitarian response. Therefore, the CWGER should take a more active approach to advocate and engage directly with HC/RCs before the onset of a crisis to explain the Early Recovery approach, the role of the ERA in a crisis situation, the role of the CWGER in a crisis situation, and how Early Recovery should be mainstreamed into the humanitarian response by all activated clusters. The CWGER could also target "at risk" countries where a crisis may be more likely to occur.

2. Global Engagement and Outreach to OCHA

respondents stated that global-level engagement with OCHA is essential to successfully mainstream the Early Recovery approach into the humanitarian architecture. During the 2010 flood response, respondents stated that there was considerable resistance from OCHA to integrate the Early Recovery approach into the relief phase of the humanitarian response:

"When you use Early Recovery in a phase, it means the relief phase is no longer there and UNDP is in the lead. After that, the GoP asked UNDP to take the lead and we established an Early Recovery Working Group here. But it created that type of environment, which irritated some of the stakeholders. I think some of the resistance is that OCHA is not very forthcoming with early recovery (Khan, 2014).

Though this particular quotation is from Khan, several other respondents echoed the same concern. Accordingly, respondents advocated for the CWGER to engage with OCHA more actively at the global level to generate support within the agency for Early Recovery.

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[48] This is not only true for the 2010 Pakistan response but also in Zimbabwe and Indonesia where Trolle was deployed as an ERA in 2009.

[49] "Ensures that a common strategic plan for realising this vision (CHAP — Common Humanitarian Action Plan or equivalent) is articulated, based on documented needs and integrating cross-cutting issues (for example age, gender, diversity, human rights, HIV/AIDS, and the environment) and activities in support of early recovery, by leading and coordinating its development" (Inter-Agency Standing Committee).

3. "At-Risk" Governments

Several respondents also mentioned engaging with "at-risk" governments to explain and clarify the Early Recovery concept would be helpful prior to the onset of a crisis. Though no details were mentioned, this suggestion spawned from the GoPs bifurcation of the relief and Early Recovery phases, which generated tension between the GoP and the UN at the national level, leading to delays and conflict (NDMA, 2011). Respondents encouraged the CWGER to engage with "at-risk" governments to mitigate future confusion during an emergency.