CDAC NETWORK

Capacity decision framework for CCE/AAP

(communication and community engagement/
accountability to affected people)

August 2022

Australian Aid

unicef

Introduction

What is it for?

The capacity decision framework is designed to inform communication and community engagement/accountability to affected people (CCE/AAP) surge capacity requests at a country level to address inter-agency response-wide CCE/AAP gaps. It considers capacity requirements to deliver CCE/AAP across a humanitarian response in situations of natural hazard, forced displacement, conflict or public health emergency.

The decision framework represents a process from rapid context analysis to CCE/AAP surge request, guiding the development of appropriate terms of reference (ToRs) and capacity-bridging needs (including training) by providing a chronological step-by-step process to determine what competencies are required at specific levels.

Why is it needed?

This decision framework provides a structured and transparent approach towards intentionally identifying and recognising CCE/AAP gaps in a response and supports leadership-level decision-making in relation to identifying issues that are critical to a successful surge deployment (from existing local, national, regional or international sources), leading to better response outcomes.

It is part of a wider effort to increase availability of the right people at the right time for a response, and supports wider efforts on capacity bridging that prioritise local capacity where possible. Note that the framework supports surge capacity seconded locally, nationally or regionally.

Who is it for?

The tool is designed for use by **groups of decision-makers** at a multi-agency level and should be used to support collective, response-wide CCE/AAP decisions on the surge capacity that is required to improve outcomes for disaster-affected people. To ensure effective decisions, the group should be representative of the broader stakeholders involved in CCE/AAP, ensuring that local and national organisations are included.

The framework is in two parts. The decision framework guides a high-level conversation to understand capacity gaps and options, and guides a structured and transparent decision-making process to inform response planning and implementation. A separate **summary brief** for Humanitarian Coordinators provides an overview of the process captured in this framework.

It is also envisaged that the process can support internal, individual agency decision-making on CCE/AAP.

Where decision-making capacity is stretched and it is not possible for a group of decision-makers to come together and systematically follow the details at each step of the framework, the key questions that need to be responded to are:
- What kind of surge is likely to be required?
- Who can provide this surge capacity?
- Who takes the lead in making the surge capacity request?
- What are the main points that need to be included in the surge ToRs?
- How will surge support connect with existing or new coordination mechanisms on the ground?

When should it be used?

Ideally, this framework should be used as a **preparatory tool to plan for additional capacity requirements to ensure that specialist expertise is in the right place at the right time**. In this case it can be used to guide investment in skills development and pre-positioning of capabilities. It can also be used **in a scale-up exercise to acute crisis**, either following a rapid-onset crisis or in reaction to a spike in a chronic crisis.

How is it structured?

The framework is broken down into three inter-linked steps (see overview of the framework) starting with identifying what surge capacity is needed (**Step 1**) in order to inform the development of ToRs and submit a surge request (**Step 2**). The framework then goes on to provide guidance on how to support successful surge deployments (**Step 3**).

Each step consists of a set of sub-steps that, when completed, will result in decision-makers being able to:
- identify the CCE/AAP capacity gap that needs to be filled (**Step 1**)
- define the skills, competencies and resources required to fill the gap (**Step 2**)
- understand the critical factors that need to be taken into account in order to ensure that CCE/AAP surge support is effective (**Step 3**).

Each sub-step centres on responding to a core question that decision-makers will need to answer. Supporting questions and pointers have been developed in order to facilitate the response to the core question, along with select case studies of good practice from across the CDAC Network. Suggested outputs for each step and sub-step are highlighted and useful resources are signposted. Where helpful, checklists have been provided to help decision-makers ensure that all critical considerations have been taken into account.

Note: This decision framework is a working document and will be reviewed and revisited at the end of 2022.

Overview of the capacity decision framework for CCE/AAP

STEP 1

Understanding existing capacity for CCE/AAP

Step 1(a) CCE/AAP response landscape – the system
- What is the country crisis profile?
- How is the response being coordinated and structured?
- What is the existing CCE/AAP landscape?
- What are the current crisis priorities?

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Step 1(b) CCE/AAP human resource capacity
- What baseline CCE/AAP capacity is already in place, including the existence and capacity of local structures?
- What training and capacity bridging has taken place?
- What remote capacity exists to support the response?
- What are the scale-up intentions?

Step 1(c) Addressing the capacity gap
- What is required to address the system gaps?
- What is required to address the personnel gaps?
- What are the training priorities and opportunities?
- What adjustments to the capacity plan are required?

STEP 2

Developing and agreeing CCE/AAP surge ToRs

Step 2(a) Determine required role(s)
- Which of the three agreed standard CCE/AAP roles is required?

Step 2(b) Develop surge capacity ToR
- What is the purpose of the role/what is the core thematic focus?

Tool: Standard ToR templates

Step 2(c) Document, resource and advocate for surge capacity
- What needs to be done to ensure that the required surge capacity is sufficiently resourced?

Step 2(d) Submitting the surge request
- What information needs to be included in the surge request?

Tool: Checklist for surge request actions

STEP 3

Supporting a successful surge deployment

- What support needs to be provided to help ensure an effective CCE/AAP surge deployment?

Tool: Checklist for successful surge deployment

STEP 1

Understanding existing capacity for CCE/AAP

Gaining an understanding of the existing CCE/AAP system capacity (Step 1 (a)) and personnel capacity (Step 1(b)) are the first actions that need to be taken in order to draw up a realistic CCE/AAP capacity plan. These two actions, which will form the basis for the current situation analysis, are broken down into the following sub-questions. Based on an analysis of the responses to the questions from Steps 1(a) and 1(b), decision-makers will be able to identify existing capacity gaps, which will then form the basis for the development of capacity plans that best support the existing and long-term CCE/AAP goals and where that capacity is required within the coordination system – Step 1(c).

STEP 1

Step 1(a) CCE/AAP system capacity

- What is the country crisis profile?
- How is the response being coordinated and structured?
- What is the existing CCE/AAP landscape?
- What are the current crisis priorities?

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Step 1(b) CCE/AAP human resource capacity

- What baseline CCE/AAP capacity is already in place, including the existence and capacity of local structures?
- What training and capacity bridging has taken place?
- What remote capacity exists to support the response?
- What are the scale-up intentions?

Step 1(c) Addressing the capacity gap

- What is required to address the system gaps?
- What is required to address the personnel gaps?
- What are the training priorities and opportunities?
- What adjustments to the capacity plan are required?

SUGGESTED OUTPUTS

Step 1(a)

- Country and crisis contextual overview
- Overview of coordination structures and mechanisms
- CCE/AAP response landscape and priorities

Step 1(b)

- Documented record of existing capacity and planned capacity
- List of training and capacity priorities (**see Annex 1: Learning pathway for CCE/AAP surge capacity**)

Step 1(c)

- Documented conclusions that include the ambition/goal of the CCE/AAP response and a top-line estimate of who is needed, by whom and for how long (based on an assessment of capacity needs against existing capacity)
- Demand summary based on conclusions (**see Annex 2: Example demand statement**)

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(a) — CCE/AAP system capacity

CORE QUESTION **What is the country crisis profile?**

WHY? Understanding the nature and profile of the crisis country will be used to:
- Provide an overview of context and background to guide humanitarian interventions
- Serve as a basis on which a collective CCE/AAP approach would be built, offering a bird's eye view of key territories, populations and challenges for more in-depth examination.
- Identify the surge support timeframe
- Set out what skills and competencies to include in the ToR and surge requests (Step 2a)

SUPPORTING QUESTIONS

- What is the nature of the crisis/crises?
- How long is an acute humanitarian phase likely to last? (Therefore, how long will surge support be required?)
- Are there any groups that may be hard to reach?
- What geographic areas are affected by the crisis/crises?
- Potential contextual challenges to CCE/AAP

POINTERS

This should be a discussion among the decision-making group and should be recorded as a mapping of known CCE/AAP information on which to build a more structured decision.

Refer here to new and pre-existing situation analyses.

Consider that:
- There may be one or more crises happening at the same time
- Intentionally including relevant local and national organisations will be critical to understand the context and what CCE/AAP skills exist
- There may be differences in different areas of the country
- Slow- and rapid-onset crises may require different CCE/AAP skills and impact on the timeline
- If cross-border movement is likely, ensure all relevant stakeholders are involved in decision-making
- Public health crises often specific additional capacities, refer to RCCE competency framework

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

**Step 1(a) CCE/AAP
system capacity**

**Step 1(b) CCE/AAP
human resource capacity**

**Step 1(c) Addressing
the capacity gap**

STEP 2

STEP 3

CASE STUDY

Considering the needs of hard-to-reach groups

An experience from the International Federation of Red Cross and Red Crescent Societies (IFRC) during the Bhuj earthquake in India highlighted the need to understand the context before undertaking community assessments and the critical nature of consulting diverse groups to ensure that they are not missed during the assessment. In this case, volunteers were asked to approach the head of the village or urban community to assess needs. No other groups were consulted, and the community was not involved in planning the assessment. As the heads were all male, this led to the needs of many groups being overlooked in the response, including women and marginalised Muslim and lower caste groups.

Source: IFRC (2021) Guide to community engagement and accountability

STEP 1

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

Step 1(a) CCE/AAP
system capacity

Step 1(b) CCE/AAP
human resource capacity

Step 1(c) Addressing
the capacity gap

STEP 2

STEP 3

Step 1(a) | **CCE/AAP system capacity**

CORE QUESTION **How is the response being coordinated and structured?**

WHY? Being clear on where and by which actor(s) the response is being coordinated will:
- Help determine the skills and capabilities required (**Step 2**)
- Ensure the right decision-makers are consulted in the request (**Step 2b**)

SUPPORTING QUESTIONS

- How are humanitarian actions coordinated? What coordination structures exist?
- What CCE/AAP mechanisms existed in-country previously (including inter-agency mechanisms) and what exists now (e.g. a national CCE/AAP platform or CCE/AAP working group)?
- Which are the current most critical coordination fora in relation to CCE/AAP coordination (e.g. fora in which issues such as accountability mechanisms, inclusion, local action and participation are discussed)? Who leads; who participates?
- What is the structure of the country's national disaster response system?
- Which international aid organisations, NGOs and civil society organisations (CSOs) participate in CCE/AAP?
- Are key individuals in key organisations defined?
- Which local actors are key stakeholders in CCE/AAP?
- Which government office/department would be/is responsible for CCE/AAP?
- Where are discussions about CCE/AAP currently happening between organisations?
- Where will the surge capacity sit?

POINTERS

This represents the first chance to explore critical stakeholders in leading a CCE/AAP response taking into account both national and international coordination structures and processes.

In countries that are prone to recurrent disasters from natural hazards, CCE/AAP coordination mechanisms may already be part of the national humanitarian architecture led by government, national and local NGOs, community-based organisations (CBOs) and/or civil society, and supported by international UN agencies and NGOs.

When documenting your conclusions, be explicit about where capacity is likely to be needed; how this might be met; and how it can support locally led and participatory pathways

Remember that CCE/AAP is discussed in various different platforms. This may include working groups for AAP, protection from sexual exploitation and abuse (PSEA), risk communication and community engagement (RCCE) and other communications workshops, as well as in sector-specific clusters or working groups.

See: Framework for assessing success of national platforms

STEP 1

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

**Step 1(a) CCE/AAP
system capacity**

Step 1(b) CCE/AAP
human resource capacity

Step 1(c) Addressing
the capacity gap
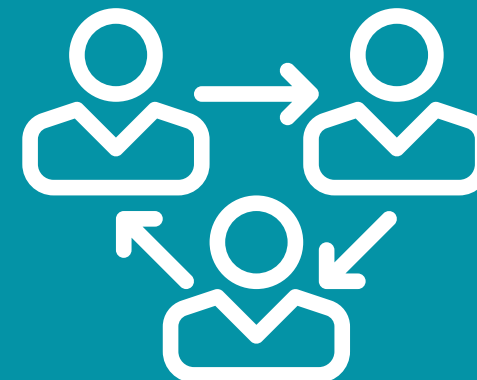
STEP 2

STEP 3

CASE STUDY

A multi-stakeholder CCE/AAP coordination mechanism

The Shongjog Multistakeholder Platform for CCE/AAP coordination was formed in June 2015 as a collaborative effort consisting of government, international and national NGOs and other actors. The platform was funded through the CDAC Network component of the DFID Disasters and Emergencies Preparedness Programme, and is an ongoing initiative led by the Government of Bangladesh Department of Disaster Management. Shongjog aimed to change policy and practice towards making communicating with communities (CwC) an integral part of disaster preparedness, response and post-disaster reconstruction and rehabilitation in Bangladesh. Key factors that have contributed to the platform's success include:

- A nationally focused and driven advocacy project, including joint action planning with the government
- Learning and reflection approach adopted to try and improve platform functioning
- Capacity building in communicating with communities with locally contextualised tools
- Government and national and international NGO composition
- An agreed ToR
- Endorsed and chaired by government
- Financial support
- Established operational procedures for response
- Situated outside the cluster system
- Continuous engagement of members
- Dedicated website

For more information:
- **Shongjog website**
- **Shongjog MSP knowledge and learning review (2017)**

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(a) — CCE/AAP system capacity

CORE QUESTION — **What is the existing CCE/AAP response landscape?**

WHY? Having a snapshot of the existing communication approaches of different groups and the accountability culture is needed in order to:
- Understand safe, appropriate and acceptable means of communication
- Highlight challenges and barriers to CCE/AAP

SUPPORTING QUESTIONS

- What means of communication are used by different groups (e.g. digital and social media, radio, TV, print, word of mouth, other traditional forms of communication)?
- What languages and dialects are used and where?
- What barriers to communication are there (e.g. levels of illiteracy; physical accessibility; power imbalances)?
- Are there any cultural or contextual barriers to CCE/AAP in the crisis?

POINTERS

In order to inform a response-wide CCE/AAP strategy, gaining a rapid understanding of the existing CCE/AAP landscape is important.

Identifying how and by what means populations communicate (in order to inform two-way decision-making mechanisms) and what the barriers may be (e.g. a lack of written language; religious nature of helping others resulting in feedback being less forthcoming; patriarchal society making female participation difficult; physical barriers e.g. for the elderly, the young and people with disabilities) will be used to help define the skills and capacities required of surge staff in **Step 2**.

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

CASE STUDY

Mapping the communication landscape

In 2021, DW Akademie undertook a series of information needs assessments with displaced populations in Ethiopia, Kenya and Tanzania.

The objective of the assessments was to better understand how people communicate; how people in different locations access information; which languages they use; their level of reading and writing skills; which modes (written, audio, video, etc.) and sources of information are available to them; whether they have enough information to make informed decisions; what information they require to make informed decisions; and which sources of information they trust.

The needs assessments helped to facilitate an understanding of the different information-seeking and communication habits across different locations. This understanding has been instrumental in programme design, allowing for collaboration with organisations that people trust in providing relevant, accessible information channels in the right languages, enabling people to make themselves heard.

Source: **DW Akademie (2021) No newspapers here: information needs assessments among refugee and host communities in Ethiopia, Kenya and Tanzania**

**Step 1(a) CCE/AAP
system capacity**

**Step 1(b) CCE/AAP
human resource capacity**

**Step 1(c) Addressing
the capacity gap**

STEP 2

STEP 3

CASE STUDY

Understanding cultural and contextual barriers to CCE/AAP

Effective communication about protection from sexual exploitation, abuse and harassment (PSEAH) is essential to ensure people know their rights, how to report violations and how to keep humanitarian responders accountable. Yet, the words used to talk about sensitive topics vary greatly between languages. CLEAR Global conducted terminology testing to create language guidance on words used to talk about gender in the Rohingya language. This found that people use a range of euphemisms to describe sexual abuse, such as 'being dishonoured' and 'stain', but feel uncomfortable with or have difficulties understanding more technical terminology usually used by humanitarians to talk about PSEAH.

Knowing the words that people use to talk about PSEAH ensures that responders understand people's experiences. This means survivors of abuse can receive the right support and perpetrators can be held to account.

Source: CLEAR Global (2018) Rohingya language guidance: building a better dialogue around gender issues

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(a) CCE/AAP system capacity

CORE QUESTION # What are the current crisis priorities?

WHY? Identifying system-related priorities will contribute to understanding where the gaps are. It will support an understanding of:

- The existence and capacity of local structures
- System-related gaps and priorities

SUPPORTING QUESTIONS

- What informal networks and other CCE/AAP mechanisms exist?
- How well are existing networks and mechanisms functioning?
- To what extent can existing mechanisms be engaged with and/or built upon?
- What are the preferred communication channels of affected communities?
- How will regional/decentralised coordination be supported?

POINTERS

This process should refer to the existing and ongoing programme planning documentation. To do this, refer to the humanitarian coordination structure in operation at country level and CCE/AAP mechanisms in place (if existing).

If undertaking this framework as part of a preparedness exercise, consider the humanitarian needs overview (HNO), Humanitarian Response Plan (HRP), Country Strategic Plan (CSP) and other planning documentation.

If undertaking this as part of a rapid scale-up exercise, use rapid data and initial programme planning data.

Refer to context mapping to consider how needs and ambition may change over time.

STEP 1

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

**Step 1(a) CCE/AAP
system capacity**

**Step 1(b) CCE/AAP
human resource capacity**

**Step 1(c) Addressing
the capacity gap**

STEP 2

STEP 3

Step 1(b) — CCE/AAP human resource capacity

CORE QUESTION — What baseline CCE/AAP capacity is already in place?

WHY? Understanding existing capacity and capabilities is a critical step in determining the gap. This will:
- Affirm the timeframe to be covered by the request
- Ensure that national recruitment into roles is prioritised

SUPPORTING QUESTIONS

To determine what capacity already exists, consider the following:
- What humanitarian interventions are ongoing at present?
- What CCE/AAP human resource skills and capacity are in place already? (Think about traditional and non-traditional humanitarian organisations, refugee-led organisations, CBOs, government, and local, national and international actors.)
- What CCE/AAP information management capacity exists?
- What social science/anthropological capacity exists?
- Where does existing CCE/AAP (or equivalent) human resource sit in relation to existing coordination structures?

POINTERS

Capacity exists in all contexts. Consider the recent humanitarian context and ensure that you have sufficiently diverse representation in your consultation group to recap on this.

When considering capacity, ensure that this includes private sector and civil society, government, media, local leaders (including at community level), marginalised groups and specialist agencies involved in communication and community engagement.

Remember that this process considers existing and planned capacity within organisations and that some national and local NGOs and CBOs may not frame their capacity as CCE/AAP but this does not mean that the capacity doesn't exist.

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

CASE STUDY

Human resource skills and capacity for CCE/AAP

The IFRC provides examples of the necessary human resource skills and capacity that should be in place among staff and volunteers.

At a minimum (when capacity, time and resources are limited), the following steps are proposed:

» Brief all staff and volunteers on community engagement and accountability
All staff joining the response should be briefed on community engagement and accountability, including their responsibilities and the different mechanisms being used within the operation. This supports consistent integration across all sectors. Everyone must sign the code of conduct and be briefed on PSEA and corruption.

» Discuss community engagement issues in operational meetings
Community engagement should be a standing agenda point in all meetings. This includes discussing the quality of community engagement, any gaps, key issues that need to be discussed with the community and how to address issues raised through community feedback and participation.

» Identify a community engagement focal point
Although everyone has a responsibility to engage communities, a focal point can help to ensure it is not forgotten and is properly integrated. This person should have community engagement experience, be at the right level to influence sector leads, and have enough time to dedicate to the role. Ideally, there should be a dedicated staff member.

Source: IFRC (2021) Guide to community engagement and accountability
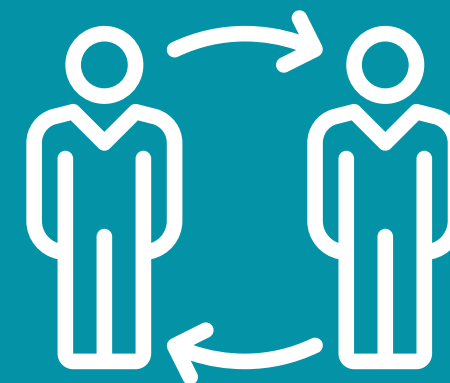
STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(b)   CCE/AAP human resource capacity

CORE QUESTION

What training and capacity bridging has taken place?

CORE QUESTION

What remote capacity exists to support the response?

SUPPORTING QUESTIONS

- How much training on CCE/AAP has been delivered, on what topics and to whom? (Including training to staff on how to professionally and sensitively receive feedback and complaints from female and male survivors of exploitation and abuse in order to make referrals for appropriate support)
- What tools and guidelines are currently in existence and are they used?

SUPPORTING QUESTIONS

- What remote capacity is being provided – especially from organisations that have a federated structure and regional support staff?

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(b) — CCE/AAP human resource capacity

CORE QUESTION
What are the scale-up intentions?

SUPPORTING QUESTIONS

- How will regional/decentralised coordination be supported?
- How many decentralised structures will be supported/established?
- How many national CCE/AAP hubs will there be?
- How may the CCE/AAP needs change over time? (Local capacity, change in the context, etc.)

Refer to the RG Results Framework, particularly section CHS 4

POINTERS

Capacity exists in all contexts. Consider the recent humanitarian context and ensure that you have sufficiently diverse representation in your consultation group to recap on this.

When considering capacity ensure that this includes private sector and civil society, government, media, local leaders (including at community level), marginalised groups and other specialist agencies involved in communication and community engagement.

Remember that this process considers existing and planned capacity within organisations and that some national and local NGOs and CBOs may not frame their capacity as CCE/AAP but this does not mean that the capacity doesn't exist.

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

Step 1(a) CCE/AAP
system capacity

Step 1(b) CCE/AAP
human resource capacity

**Step 1(c) Addressing
the capacity gap**

STEP 2

STEP 3

Step 1(c)   Addressing the capacity gap

CORE QUESTION   # What is the goal of the CCE/AAP surge capacity?

WHY? Stating the goal of the CCE/AAP surge capacity will help to understand the system
and human resource capacity gaps that need to be filled

SUPPORTING QUESTIONS

- What are the expected outputs of the CCE/AAP surge capacity?
- What are the expected outcomes of the CCE/AAP surge capacity

POINTERS

This should refer to the existing and ongoing programme planning documentation. To do this, refer to the humanitarian coordination structure in operation at country level and CCE/AAP mechanisms in place (if existing).

If undertaking this framework as part of a preparedness exercise, consider the HNO, HRP, CSP and other planning documentation.

If undertaking this as part of a rapid scale-up exercise, use rapid data and initial programme planning data.

Refer to context mapping.

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(c) Addressing the capacity gap

CORE QUESTION What is required to address the system gaps?

WHY? To understand what system-level gaps exist (Step 1(a))

SUPPORTING QUESTIONS

- How long is surge support required for?
- Which groups may be hard to reach and why?
- Which geographical areas are not yet being reached?
- What coordination needs and gaps are there?
- Have local, national and international stakeholders been included in CCE/AAP mechanisms and structures so far?
- What communication gaps exist (e.g. means of communication, functionality, preferences and barriers)?

POINTERS

Refer to context mapping to consider how needs and ambition may change over time.

N.B. At this stage the decision may be reached that there is sufficient CCE/AAP capacity to achieve the defined goal.

STEP 1

UNDERSTANDING EXISTING CAPACITY FOR CCE/AAP

Step 1(a) CCE/AAP system capacity

Step 1(b) CCE/AAP human resource capacity

Step 1(c) Addressing the capacity gap

STEP 2

STEP 3

Step 1(c) | Addressing the capacity gap

CORE QUESTION **What is required to address the personnel gaps?**

WHY? To understand:
- How many surge personnel are required
- What skills and competencies are required
- How long surge personnel will be required

SUPPORTING QUESTIONS

- What CCE/AAP skills and capacity gaps exist (including specialist skills such as information management and social science/anthropology qualifications)?
- Where could skills and capacity be sourced (locally, regionally, internationally)?
- What timeframe is surge support required for?

POINTERS

At this stage consider a localised exit strategy from surge (moving away from the surge approach, which may to have been sourced from outside the country/region) and plan culturally appropriate training and capacity building.

N.B. Existing CEE/AAP capacities should not be weakened in one area just to focus on another area when a crisis occurs.

STEP 1

UNDERSTANDING
EXISTING CAPACITY
FOR CCE/AAP

**Step 1(a) CCE/AAP
system capacity**

**Step 1(b) CCE/AAP
human resource capacity**

**Step 1(c) Addressing
the capacity gap**

STEP 2

STEP 3

Step 1(c) Addressing the capacity gap

CORE QUESTION What are the training priorities and opportunities?

SUPPORTING QUESTION

• What training and capacity bridging gaps exist – what topics, tools, targets and timeframes?

CORE QUESTION What adjustments to the capacity plan are required?

STEP 2

Develop and agree AAP/CCE surge ToRs

In this step, the focus is on turning the demand summary into an agreed and resourced capacity plan for CCE/AAP. Users will refer to key living documents to support planning, including but not limited to the results framework, the AAP accountability framework and sector-specific competency frameworks such as the RCCE competency framework.

Step 2 focuses on identifying the CCE/AAP skills and competencies that are required (linking to the nature and scale of the crisis and the CCE/AAP capacity gap ascertained in Step 1) in order to define surge capacity requirements.

N.B. Step 2 will consider the more specific technical outputs and competencies of individual surge requests.

While running through the following actions, users should refer to standard ToRs, which provide a comprehensive list of core thematic focuses of the deployment and surge request actions.

STEP 2

Step 2(a) Determine required role(s)
- Which of the three agreed standard CCE/AAP roles is required?

Step 2(b) Develop surge capacity ToR
- What is the purpose of the role/what is the core thematic focus?

Step 2(c) Document, resource and advocate for surge capacity
- What needs to be done to ensure that the required surge capacity is sufficiently resourced?

Step 2(d) Submit the surge request
- What information needs to be included in the surge request?

SUGGESTED OUTPUTS

Step 2(a)
- Documented overview that covers whether it is a single or multi-agency request; whether there will be a mentoring component; whether it is a technical request or more coordination-focused; and which of the three standard ToRs best responds to the need

Step 2(b)
- Contextualised ToR for the surge deployment

Step 2(c)
- Surge deployment budget with justifying narrative

Step 2(d)
- Approved surge request

Step 2(a) — Determine required role(s)

CORE QUESTION

Which of the three agreed standard CCE/AAP roles is required?

WHY? There are three standard roles:
- Technical officer
- Coordinator
- Senior advisor

One of more of these roles may be required, depending on context. The existing standard ToR for these three roles can be adapted to reflect requirements for your context

SUPPORTING QUESTIONS

- Is this a single agency request?
- Is this an inter-agency request?
- Is this a technical request or a coordination-focused request?
- Will there be a mentoring component?

Refer to RCCE CS competency framework and Annex 3: Standard CCE/AAP surge roles at a glance

POINTERS

It is worth remembering that there are some contexts where having both a senior advisor and a coordinator could help provide guidance, leadership and coordination on CCE/AAP within the response. These are:
- **During a large-scale response**, in particular where the operations are coordinated sub-nationally but decision-making happens at a more central, national level.
- Situations where **there is both a need for coordination** of CCE/AAP within the humanitarian response and a need to develop and **implement a collective approach**.
- Where there is opportunity to provide **immediate mentoring to national capacity**, whereby a staged transfer of responsibility may be appropriate.

Remember that, in addition to the standard roles, specific technical skills may be needed to respond to the nature of the crisis and ambition. It should also be noted that some contexts may not require CCE/AAP surge support and/or community representatives may be best placed to be the focal point.

STEP 2

DEVELOPING AND
AGREEING CCE/AAP
SURGE TOR(S)

**Step 2(a) Determine
required role(s)**

**Step 2(b) Develop surge
capacity ToR**

**Step 2(c) Document,
resource and advocate
for surge capacity**

**Step 2(d) Submit the
surge request**

Step 2(b) — Develop surge capacity ToR

CORE QUESTION

What is the purpose of the role/what is the core thematic focus?

WHY? Noting the specific thematic focus will ensure that all competencies are captured. Remember that ensuring the right capacity may involve requesting multiple personnel. This will be important when developing the ToRs and determining next steps

SUPPORTING QUESTIONS

- What are the core activities that need to take place?
- What are the key competencies per role?

POINTERS

Use the **standard TOR templates** to edit, reduce and confirm content. For this you will need to refer to planning and monitoring formats.

If you are operating in a UN-led emergency, refer to the accountability framework and the results framework. Remember that these documents may also be useful as a reference in other crises.

If international surge support is required, the role should include mentoring and coaching.

STEP 2

DEVELOPING AND AGREEING CCE/AAP SURGE TOR(S)

Step 2(a) Determine required role(s)

Step 2(b) Develop surge capacity ToR

Step 2(c) Document, resource and advocate for surge capacity

Step 2(d) Submit the surge request

Step 2(c) — Document, resource and advocate for surge capacity

CORE QUESTION What needs to be done to ensure that the required surge capacity is sufficiently resourced?

WHY? Ensuring adequate financial resourcing for the surge deployment is budgeted for and secured for the duration of the deployment is essential to ensure that the tasks set out in the ToR can be fulfilled

SUPPORTING QUESTIONS

- What are the key reasons justifying the request for surge capacity?
- What budget lines need to be included in the surge capacity budget? (Include direct and indirect costs, e.g. salary, administrative and support costs, training)
- What costs need to be attributed to each budget line?
- Who needs to approve the budget before the surge request can be submitted?
- How quickly can approval be gained?
- Can the budget be covered in any appeal documents?

POINTERS

- Develop a costed plan for capacity and include in the HNO if one exists
- Develop simple messaging to influence response decision-makers
- Share plans and seek funding

STEP 2

DEVELOPING AND AGREEING CCE/AAP SURGE TOR(S)

Step 2(a) Determine required role(s)

Step 2(b) Develop surge capacity ToR

Step 2(c) Document, resource and advocate for surge capacity

Step 2(d) Submit the surge request

Step 2(d) | Submit the surge request

CORE QUESTION What information needs to be included in the surge request?

WHY? The information included in the demand summary and ToRs can be included in the surge request. There is an essential checklist of information that should be included in each surge request. This will help the deploying agency/service identify the most appropriate personnel in a timely manner

SUPPORTING QUESTIONS

- What is the most suitable avenue through which to make the request?
- Does your agency have a process for requesting surge?
- Are there opportunities to link with other actors?

POINTERS

See: Checklist of surge request actions

STEP 2

DEVELOPING AND
AGREEING CCE/AAP
SURGE TOR(S)

**Step 2(a) Determine
required role(s)**

**Step 2(b) Develop surge
capacity ToR**

**Step 2(c) Document,
resource and advocate
for surge capacity**

**Step 2(d) Submit the
surge request**

Step 2(d)   Submit the surge request

CHECKLIST OF SURGE REQUEST ACTIONS

- ☐ All relevant actors (HCT agencies; government stakeholders; persons of concern) have been consulted on the ToR
- ☐ Deployment timeframe has been specified:
    - ☐ Within 72 hours
    - ☐ Within one week
    - ☐ Within one month
  Deployment length has been specified:
    - ☐ < 3 months
    - ☐ 3 months
    - ☐ 4–6 months
    - ☐ 7–12 months
    - ☐ 13–15 months
    - ☐ 24 months
- ☐ Identification of the agency that will be administratively responsible and responsible for the security for the deployed staff
- ☐ Identification of immediate supervisor
- ☐ Identification of administrative focal point
- ☐ Identification of security focal point
- ☐ Identification of the agency/ies that will be covering the deployment costs
- ☐ Inclusion of the deployee's mandate on the surge request, highlighting that they will have standing invitations to decision-making processes
- ☐ Inclusion of a handover/exit plan, e.g. staffing plan after the surge support period in the surge request

STEP 3

Supporting a successful surge deployment

Practice has shown that a number of critical factors need to be taken into account in order to ensure that CCE/AAP surge support is effective. Providing effective technical and advisory support relies heavily on having access to decision-makers. This can be both enabled and hampered by the quality of preparation for the deployment.

In addition, the deployee – whether they are based in an agency or at the inter-agency level – needs to be given the personal mandate for their assignment publicly from the senior leadership to fulfil their role. This should clearly set out the expectations of the support needed from stakeholders to enable the deployee to complete their assignment, including standing invitations to key decision-making meetings and dedicated space on agendas (showing the prioritisation of CCE/AAP, rather than it being relegated to 'any other business', for example).

It must be clear from the outset that the CCE/AAP surge staff have been deployed in order to support the overall response. They should not be tasked with supporting the work of the host agency. The deployee's work is independent of the work of the host organisation.

In order to ensure that all critical factors are taken into consideration in advance of a deployment, Step 3 promotes the use of an essential checklist.

STEP 3

Step 3 Supporting a successful surge deployment
- What support needs to be provided to help ensure an effective CCE/AAP surge deployment?

SUGGESTED OUTPUTS

Step 3
- Completed **checklist of surge support actions**
- After-action or learning review commissioned

STEP 3

SUPPORTING A
SUCCESSFUL SURGE
DEPLOYMENT

**Step 3 Supporting
a successful surge
deployment**

Step 3 | **Supporting a successful surge deployment**

WHY? In order to ensure that CCE/AAP surge support is effective, a number of critical factors need to be taken into account. The **checklist** provides an overview of the factors that need to be covered to help ensure a successful surge deployment.

CORE QUESTION | **What support needs to be provided to help ensure an effective CCE/AAP surge deployment?**

SUPPORTING QUESTIONS

Access? Providing effective technical support and advisory functions relies heavily on having access to decision-makers.

Influence and buy-in? The deployee – whether they are based in an agency or at the inter-agency level – needs to be given the personal mandate for their assignment publicly from the senior leadership to fulfil their role. This should clearly set out the expectations of the support needed from stakeholders to enable the deployee to complete their assignment, including standing invitations to key decision-making meetings and dedicated space on agendas (showing the prioritisation of CCE/AAP, rather than it being relegated to 'any other business', for example).

Refer to Annex 1: Learning pathway for CCE/AAP surge capacity

POINTERS

See: **Checklist of requirements for a successful surge deployment**

STEP 3

SUPPORTING A
SUCCESSFUL SURGE
DEPLOYMENT

Step 3 Supporting
a successful surge
deployment

Step 3 — Supporting a successful surge deployment

CHECKLIST OF REQUIREMENTS FOR A SUCCESSFUL SURGE DEPLOYMENT

- [ ] There is a common understanding among stakeholders with regard to:
  - [ ] Why the surge capacity is necessary
  - [ ] What the focus will be
  - [ ] What access to stakeholders will be required
  - [ ] What support is expected
- [ ] There is a common understanding among stakeholders of the deployee's mandate and inclusion in decision-making processes
- [ ] An updated stakeholder mapping is available (to enable early discussions in relation to stakeholders' current exposure to and understanding of CCE/AAP)
- [ ] Prior to deployment, line management and matrix reporting roles into other organisations are clear
- [ ] Prior to deployment, it is clear which agency will be providing administrative support, including practical issues such as: ensuring easy access to meeting rooms, IT support (e.g. printing, internet access, email ID), safety and security, accommodation and transport (avoiding the surge support's car requests being deprioritised in favour of full-time staff, for example)
- [ ] Information management support is in place
- [ ] A context briefing has been organised for the arriving surge support
- [ ] A CCE/AAP resource person has been identified to brief surge personnel on context-specific factors that could influence the deployment
- [ ] A mechanism is in place to regularly review progress towards agreed outcomes
- [ ] The host agency is clear that the surge support is being provided for the sector-wide response and not for the organisation's own CCE/AAP work
- [ ] Consideration has been given to the training, capacity-building and mentoring actions that need to be taken to facilitate local handover of CCE/AAP tasks

ANNEX 1

Learning pathway for CCE/AAP surge capacity

Objective: To provide an agreed process for building capacity to enable the growth of the talent pool of skilled surge capacity to deploy in the generic profiles that have been developed.

What is a learning pathway? A learning pathway is a structured route through training programmes that allows trainees to build knowledge progressively – it provides a roadmap identify the key stages in learning and professional development.

Does it include all training? This includes the current training material that is general in nature, as opposed to cluster- or sector-specific training.

How can this be used? The pathways helps trainees to understand the stages of their learning need and their progress to achieve their learning goal. It also helps with strategic capacity-building efforts, to identify the gaps in existing training and prioritise which ones need development.

What's included? This document charts a learning pathway to be able to deploy in the three most common CCE/AAP roles, for which the generic ToRs have been developed.

In addition, the document suggests the necessary learning pathways for an experienced coordinator to be able to deploy as a CCE Working Group (WG) coordinator, and for an information management officer (IMO) to deploy as a CCE WG IMO.

Learners are not expected to complete every course in each stage, rather they should have completed at least one of them before moving forward to the next stage. Some courses should be mandatory and suggestions for these are highlighted with an orange asterisk (*).

ANNEX 1

Learning pathway for CCE/AAP surge capacity

Pathway step	Overview	Foundational	Advanced	Technical
Description	An induction into the issues and approaches	Gives a solid grounding in the practical aspects of the work	Builds on the foundation, providing more detail	Provides specialist knowledge to enable more senior deployments
Examples of training	Being more accountable to affected people* (Kaya) Communication is aid* (Kaya) PSEA online training* (UN) Responsible data management in emergencies* (Kaya)	Community engagement and accountability (IFRC) Foundation Training (CDAC)	Community engagement and accountability surge training (IFRC) Advanced training (CDAC – under development)	GAP Information management *(to be developed?)* GAP Participatory approaches *(to be developed?)* GAP Collective CCE approaches *(to be developed?)*
Technical officer	In addition to 3–5 years' experience			
Coordinator	In addition to 5–8 years' experience			
Senior advisor	In addition to 8–10 years' experience			

For experienced coordinators to deploy as CCE WG coordinators

For an experienced coordinator it would be necessary to take part in one of the trainings from the 'advanced' stage of the pathway above (assuming a basic knowledge of the issue). In addition, they should also take the CCE/AAP WG briefing (to be developed) to understand the different inputs and outputs at different stages of the humanitarian programme cycle and how they can deliver these.

For IMOs to support CCE/AAP

For an experienced IMO, it would be necessary to take part in a training from the 'advanced' stage of the pathway above (assuming a basic knowledge of the issue). In addition, they should also receive the CCE/AAP information management orientation (being developed) to better understand the workings of a CCE WG and what is expected of an IMO supporting a working group.

ANNEX 1

Existing AAP and CCE training materials available and their learning objectives

Training name	Organisation	Learning objectives
Being more accountable to affected people	CHS Alliance, CDAC Network, Ground Truth Solutions, Sphere and the Humanitarian Leadership Academy	On completion of this course, you will be able to explain: • What AAP means for you • Why AAP is increasingly in focus • How to build AAP into every stage of the project cycle • How to address challenges to accountability
Communication is aid	CDAC Network and the Humanitarian Leadership Academy	On completion of this course, you will gain an understanding of: • How communication can be used to support disaster-affected people and programme objectives • How to assess the information needs of the community and decide through which channel(s) of communication to reach them • How to create and adapt information and messages to maximise impact • How to develop a communications strategy • How to manage and respond to feedback from the community.
Responsible data management in emergencies	Save the Children	On completion of this course, you will be able to: • Better understand important principles in data protection and privacy laws and how they are relevant in humanitarian contexts • Be able to identify data protection and privacy risks in humanitarian contexts and conduct a data protection risk assessment • Have the necessary knowledge and tools to develop and implement a responsible data management plan

ANNEX 1

Existing AAP and CCE training materials available and their learning objectives

Training name	Organisation	Learning objectives
Community engagement and accountability	IFRC	On completion of this course, you will be able to: • Explain the principles of CCE/AAP, its purpose and how it can benefit programmes and operations • Define and explain CCE/AAP components of community participation and feedback, information as aid, behaviour and social change communication and evidence-based advocacy and how they link together • Explain how to integrate CCE/AAP into each stage of the programme cycle • Explain how to integrate CCE/AAP into emergency response operations • Provide an introduction to institutionalising CCE/AAP in National Society processes and procedures
Foundation training	CDAC Network	On completion of this course, you will be able to: • Provide information for people affected by disaster to save lives and mitigate risk • Set up mechanisms for two-way communication between humanitarian actors and the people they seek to serve so that humanitarian programmes are informed by communities, enable their participation in humanitarian response and enable them to hold actors to account when something isn't right • Enable communication between disaster-affected people themselves to keep people connected to each other • Engage in collaboration across different humanitarian actors, with different humanitarian actors to harness different experiences, skills and expertise
Community engagement and accountability surge training	IFRC	TBC
Advanced training	CDAC Network	Covers a number of subjects including needs assessments, planning, resource mobilisation, implementation, monitoring and evaluation

Example demand statement

What is needed and why

This is an L3 emergency with more than 30 humanitarian agencies involved in the response. There is a critical need to engage communities with the humanitarian response and for humanitarian organisations to collectively facilitate access to life-saving information and enable the participation of affected communities in decision-making and in the response effort and ensuring the creation of effective feedback mechanisms.

There is a need for an CCE/AAP coordinator, IMO and a senior CCE/AAP advisor at national level. A CCE/AAP coordinator is also required at sub-national level as the sub-cluster system starts to function.

A CCE/AAP coordinator is needed to coordinateCCE/AAP activities across the response, and will be required to establish a CCE/AAP technical working group and associated work plan. The coordinator will be required to represent the working group in relevant coordination fora (e.g. HCT and Inter-Cluster Coordination Group), reporting on the priority CCE/AAP issues and advising on appropriate courses of action, to enable decision-making. In addition, the coordinator will be responsible for advocating for the integration of CCE/AAP approaches within humanitarian operations and facilitating the development of joint planning, fundraising and common advocacy. A key part of the role will be to build the capacity of an identified local counterpart as part of the surge withdrawal strategy.

The coordinator will be required to provide a combination of advisory and technical support, coordination and information management (until an IMO is deployed).

The IMO will be required to develop an information management strategy and priorities; undertake data analysis to support evidence-based planning and operations; develop and support a humanitarian information dashboard; and promote dissemination of knowledge and information.

The senior CCE/AAP advisor will be the key focal point for technical advice, capacity building and coordination of CCE/AAP in the humanitarian response at national level. The senior advisor will be responsible for developing a collective approach to CCE/AAP and ensuring this is reflected throughout the humanitarian programme cycle, including leading resource mobilisation.

ANNEX 3

Standard CCE/AAP surge roles at a glance

Objective of the role	Appropriate role	Key tasks
To help improve an agency's or organisation's performance around CCE/AAP, to help deliver on the **Inter-Agency Standing Committee commitments on AAP and PSEA**	Technical officer	The technical officer would facilitate an assessment of current practice, identify key areas for improvement, develop a strategy to help them improve, and support the necessary skills-building to enable the strategy
To coordinate the community engagement activities across multiple organisations and clusters/sectors	Coordinator[1]	The coordinator would facilitate a coordination platform (e.g. working group) to help avoid gaps and duplication within community engagement activities, ensure a more predictable and consistent approach to community engagement, develop common tools, provide guidance and facilitate resource mobilisation
To work with senior humanitarian management to develop and implement a collective approach to CCE/AAP, as per **the HCT Compact**	Senior advisor	The senior advisor would identify opportunities to aggregate the existing organisational CCE/AAP practice to ensure that decision-making is informed by community perspectives. They would help build a better understanding of the overall needs and preferences of affected people across the response, identifying where gaps exist, and guide prioritisation.

[1] It is worth noting that in some contexts, as a cost-saving measure, the technical officer and the coordinator roles are combined. However, this is not recommended: at best, it leads to confusion about the two roles; at worst, it is a conflict of interest for the role of a neutral and impartial coordinator.

CDAC is a network of more than 35 of the largest humanitarian, media development and social innovation actors – including UN agencies, Red Cross/Red Crescent, NGOs, media and communications actors – working together to shift the dial on humanitarian and development decision-making, moving from global to local.