REFERENCE GUIDE FOR OCHA'S STRATEGIC FRAMEWORK 2010-2013
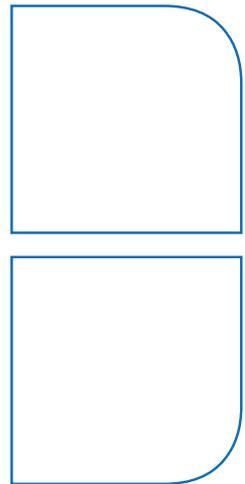
OCHA

REFERENCE GUIDE FOR OCHA'S STRATEGIC FRAMEWORK 2010-2013

OCHA, 14 April 2010

Contents

Introduction

The OCHA Strategic Framework[1] (SF) for 2010-2013 builds on the organization's achievements and key learning between 2007 and 2009. The wide-ranging "bottom-up" exercise of developing the SF reflected the ideas, insights and feedback from a steering group of experts from across OCHA. The exercise included exhaustive field-level consultations; regular OCHA Senior Management Team (SMT) reviews; regional and global management retreats with broad participation of country and regional offices and Headquarters; interviews with key partners; and a review of Inter-Agency Standing Committee (IASC) priorities and IASC organization strategic plans. The process also included regular consultations with the OCHA Donor Support Group.

The SF for 2010-2013 aims to help OCHA become a more systematic, professional and transparent organization that provides consistent, high-quality services to partners and clients. To do this, the SF also focuses on strengthening OCHA itself. The SF represents a four-year strategy. Progress will be incremental over the entire period of implementation, with key learning systematically informing OCHA work along the way. As such, the strategy is expected to evolve as the office learns and applies lessons during each planning cycle.

Previous OCHA strategic frameworks only included a brief set of goals and objectives. The SF for 2010-2013 provides more comprehensive strategic guidance to underpin OCHA planning over the next four years. With the introduction of corporate OCHA strategies, to be honed each year through annual planning and monitoring, the SF is more detailed for 2010-2013 than for previous years. The hope is that OCHA planning against the SF will remain ambitious, while aiming for realistic and concrete outputs that can feasibly be delivered.

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[1] The OCHA Strategic Framework for 2010-2013 provides additional detail to the United Nations Strategic Framework for the period 2010-2011, which was approved by the General Assembly at its sixty-third session in 2008 and will feed into the development of the United Nations Strategic Framework for the 2012-2013 biennium.

This *Reference Guide for OCHA's Strategic Framework 2010-2013* is a synopsis of the key documents produced throughout 2009 that shaped the SF objectives and their underlying strategies. Part I summarizes the rationale for the SF goals and objectives. Part II outlines, by objective, the results OCHA aims to achieve over the next four years and the broad strategies OCHA will employ. Part III focuses on how OCHA will use the SF to guide annual planning, and monitor and evaluate progress. Annex I provides a list of key OCHA policy guidance for implementing the SF, and Annex II provides key source documents for developing the SF.

The primary target audience for the *Reference Guide* is OCHA staff. The guide will help them translate the SF into annual work and cost plans. The guide will be supplemented annually by additional, more specific, planning guidance highlighting yearly corporate priorities and targets for each level of OCHA: country offices, regional offices and Headquarters.

Part I: Rationale for the Strategic Framework Goals and Objectives

Adapting to global challenges

To support the development of the SF, OCHA undertook a desk review in 2009 of global challenges and their impact on international humanitarian action and coordination. The review's findings, summarized below, were vetted by OCHA staff in three regional management retreats in Cairo, Bangkok and Nairobi. The review helped OCHA assess the current and emerging global challenges and how these might affect humanitarian action and OCHA work. Below is an excerpt from "Global Challenges and Their Impact on International Humanitarian Action."[2]

Global challenges are shaping the humanitarian landscape in new and profound ways. These challenges include climate change, the continuing global food crisis, population growth, urbanization and other demographic shifts. This results in more people living in high risk areas; land, water and energy scarcities; global health pandemics; and increased negative impacts of the current global economic and financial crisis on those already poor and most vulnerable.

Humanitarians believe these challenges will increase the depth and incidence of humanitarian needs and will have implications for the delivery of humanitarian assistance. OCHA's preliminary analysis identified three main areas that require further discussion and debate with partners:

1. The humanitarian community may need to broaden its notions of vulnerability and risk, reconsider what drives a humanitarian emergency and, subsequently, what triggers an international humanitarian response. A new type of humanitarian emergency

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[2] *Global Challenges and Their Impact on International Humanitarian Action*, OCHA Occasional Policy Briefing Series - No. 1, OCHA Policy Development and Studies Branch, August 2009.

   may emerge that is not caused by a definable event or process, but by the confluence of global challenges.

2. While traditional inter- and intra-state conflicts will continue, insecurity will also stem from instability and violence driven by the intersection of non-traditional threats from natural resource scarcities, volatile markets and structural trends, such as urbanization and extreme poverty.

3. There will increasingly be a need to transcend traditional definitions of what is "humanitarian" and "developmental". This will assist in moving toward more integrated country plans and partnerships that may simultaneously promote actions that increase resilience in the short term and reduce overall vulnerability in the long term.

For OCHA work, one conclusion is clear: the observed and potential impact of these global challenges on vulnerable people around the world will require coordination with a wider and more diverse set of actors and more strategic partnerships, particularly with a broader group of Member States and regional organizations.

The new SF expresses OCHA commitment to work with partners over the next four years to examine the significance of these projected global challenges, and to ensure that OCHA, with the international humanitarian system, remains responsive to a changing world.

OCHA readiness for global challenges

Below is a synopsis of the "Zero Draft of OCHA's Strategic Framework 2010-2013" of 15 April 2009, pertaining to OCHA's readiness to adapt to global challenges.[3]

Adapting OCHA to global challenges does not necessarily mean growing the organization in physical and financial terms. Rather, it means setting clear objectives and underlying strategies for the next four years based on a "whole of OCHA" approach, and having the discipline to stay on course. It implies changing the way OCHA organizes and coordinates its work internally, while also recognizing that OCHA may need to stop or reduce some activities while expanding or undertaking new activities that are more relevant in the current and expected operating environment. All of this must be done while adhering to the OCHA mandate.

The OCHA mandate is rooted in General Assembly (GA) Resolution 46/182 of 1991. In summary, OCHA catalyses the international humanitarian system to prepare for emergencies, ensure more timely and adequate response, and facilitate a more seamless and predictable handover to national partners in support of national efforts. A 2009 review of GA resolutions related to OCHA work since 1991 underscores that while GA Resolution 46/182 is the basis for OCHA work, it cannot be read in isolation from subsequent GA, Economic and Social Council (ECOSOC) and Security Council (SC) decisions regarding humanitarian action.[4]

One conclusion that can be drawn from this review is that the OCHA mandate has historically shown a high degree of flexibility and adaptability to respond to new and emerging challenges. OCHA leadership on issues such as IDP response, protection of civilians, the Central Emergency Response Fund (CERF) and the cluster approach are often cited as ways in which OCHA has used its unique convening and coordinating role within the international humanitarian system to enable

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[3] The *Zero Draft* can be found on the Strategic Planning Unit's page on OCHAnet, http://ochanet.unocha.org/AS/Strategic_Planning/Pages/default.aspx

[4] "Reference Guide: Summarizing normative humanitarian developments in General Assembly, Economic and Social Council, and Security Council Resolutions Decisions", OCHA Policy and Studies Series, Vol. I No2, OCHA PDSB, 2009.

the type of change requirwed to keep the international humanitarian system fit for purpose.

Therefore, it is consistent with the OCHA mandate to support the international humanitarian system in adapting to the changing operating environment that is currently foreseen by most trend analysts. A central tenet of the SF is for OCHA to more clearly define its roles and responsibilities, consistent with its mandate, while catalysing others in the system to play their respective roles. OCHA aims to be a focused engine for change to support the international humanitarian system to evolve and continue to work as effectively as possible. This is the OCHA comparative advantage within the international humanitarian system.

The new SF reaffirms the "core" functions that OCHA carries out in support of its mandate, all of which pertain to OCHA's role in humanitarian preparedness and response. These primary functions go beyond the purview of any single OCHA Headquarters branch or section, and are generally carried out in tandem by country and regional offices. They include:

1. **Coordination** – OCHA aims to support national response and coordinate international humanitarian system efforts to prepare for and respond to humanitarian needs at the global, regional and country level.

2. **Humanitarian Financing** – OCHA aims to mobilize resources for fast and effective humanitarian response. OCHA supports programmes that reduce acute vulnerability and save lives.

3. **Policy Development** – OCHA aims to develop, maintain and act as custodian of the normative frameworks for coordinated and principled humanitarian preparedness and response, with national and international partners.

4. **Advocacy** – OCHA aims to support international and national partners to give voice to the voiceless, so that acute vulnerabilities are reduced and needs are met.

5. **Information Management** – OCHA aims to provide and manage quality information and analysis. OCHA acquires, analyses, synthesizes and disseminates the information needed to identify and prepare for a potential event and support an effective response.

OCHA Core Business

Mission	OCHA mobilizes and coordinates effective and principled humanitarian action in partnership with national and international actors.
Who	OCHA work ultimately benefits people in need of humanitarian assistance.
	OCHA's primary clients are stakeholders in the international humanitarian system, including Member States, IASC organizations, national and international NGOs, regional organizations and other actors influencing humanitarian outcomes.
What	OCHA helps the Emergency Relief Coordinator (ERC) make the international humanitarian system work better. OCHA helps it become better prepared to respond to emergencies: when they occur OCHA helps the humanitarian system respond more quickly and coherently.
	OCHA helps the humanitarian system become more prepared to respond by (i) identifying high risk areas; (ii) ensuring OCHA is prepared to respond; (iii) preparing international and national response systems, humanitarian country teams and Member States to work together effectively.
	OCHA helps coordinate efforts to reduce acute vulnerability and restore livelihoods.
Why	OCHA aims to save more lives by improving humanitarian coordination.
When and Where	OCHA performs this role in countries where trends have led to, or may lead to, rapidly increasing acute vulnerability requiring levels of humanitarian assistance beyond the capacity of the Government to coordinate, and where the Government has requested United Nations support.
How	OCHA fulfills this role by performing five core functions: Coordination, Advocacy, Information Management, Policy Development and Humanitarian Financing.

Planning assumptions

The text below is a synopsis of planning assumptions derived from the "Zero Draft of OCHA's Strategic Framework 2010-2013" *of 15 April 2009, and the internal SMT discussion paper* "Options for Dealing with the Multi-Hazard Environment" of 15 April 2009[5].

During the SF development process, a broad set of planning assumptions was articulated. It includes:

Planning Assumption 1: OCHA's SF should communicate how the organization plans to carry out its mandated activities through its core functions over the next four years at all levels of the organization (Headquarters, regions and countries) as it adapts to relevant new and emerging trends. If the SF does not reflect OCHA work, then that area of work should be assessed to determine if it is still necessary for the organization to carry out its mandate in light of the evolving context in which it works.

Planning Assumption 2: OCHA should resist the temptation to necessarily "do" more and instead work more strategically with partners, be they Member States, United Nations agencies, development actors or NGOs, to achieve greater impact.

Planning Assumption 3: Member States may be more inclined to invest in OCHA if the organization can present and implement a compelling SF that articulates its added value through its unique catalytic role, lays out strategies for each objective and improves accountability, as evidenced by improvements in work planning, budgeting processes and reporting on results.

Planning Assumption 4: In light of global challenges, and the expectation of increased demand for humanitarian action, it is important for OCHA to prioritize where and how it works, based on clearer criteria. OCHA cannot do all that is conceivable or necessary to respond to the scale of current and expected humanitarian need. OCHA should concentrate on situations where it can add value and its mandate is

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[5] Both documents can be found on SPU's page on OCHAnet, http://ochanet.unocha. org/AS/Strategic_Planning/Pages/default.aspx

most relevant. OCHA increasingly must be clear about its rationale for phasing up and phasing down operations. The SF envisages that these considerations will be elaborated into a more clearly defined concept of operations around the following broad notions:

→ OCHA helps the humanitarian system prepare for and respond to emergencies that may create, or have resulted in, acute vulnerability requiring a level of humanitarian assistance that is beyond the capacity of Government or in-country international humanitarian actors to coordinate.

→ Acute vulnerability may be driven by traditional factors, such as conflicts and crises resulting from natural hazards, or the combined local impact of multiple non-traditional threats and emerging global trends. In other words, OCHA engagement will aim to be driven by acute humanitarian needs, regardless of their cause.

→ Helping the system prepare for emergencies means (i) identifying high risk areas; (ii) ensuring OCHA is prepared to respond; (iii) preparing international and national response systems, humanitarian country teams and governments to work together effectively.

→ Once OCHA has responded, it will help the system save lives and restore livelihoods by reducing acute vulnerability until the United Nations Country Team or Government has the capacity to do so.

Part II: Strategic Framework 2010-2013

The following broad four-year strategies were developed by teams of OCHA staff from June-October 2009. The strategies were vetted at the OCHA Global Management Retreat in July 2009 and revised accordingly. Revised versions were subsequently sent to all staff as the basis for 2010 work planning and reviewed by the SMT in September 2009, with the caveat that the strategies should be "reality tested" during the planning process. Based on feedback from field and Headquarters staff during the annual planning process, the strategies were again refined. The strategies are meant to be indicative of OCHA's overall direction for the next four years. To be meaningful, they must evolve and develop over time, based on learning. Accordingly, the strategies will be monitored and further refined over the SF's period.

OCHA STRATEGIC FRAMEWORK
2010-2013

GOAL 1
A more enabling environment for humanitarian affairs

GOAL 2
A more effective humanitarian coordination system

GOAL 3
Strengthened OCHA management and administration

Goal 1 objectives:

1.1 Partnerships with a wider group of Member States and regional organizations in support of humanitarian action

1.2 Relationships strengthened with a wider group of operational partners and other relevant actors to advance humanitarian action

1.3 Defined roles and responsibilities within OCHA and among international development and humanitarian partners to support Member States and regional organizations in response preparedness

1.4 Humanitarian response and response preparedness are underpinned by integrated analysis and rigorous learning

Goal 3 objectives:

3.1 Effective, timely, transparent and accurate financial, budgetary and resource management and reporting

3.2 Adequate and timely recruitment, deployment and retention of qualified and diverse staff

3.3 Improved organizational learning and development to achieve better results

Goal 2 objectives:

2.1 Effective mechanisms that manage and support accountable humanitarian coordination leaders

2.2 An OCHA capable of responding quickly with clear triggers for establishing, phasing and drawing-down operations

2.3 A more predictable and scalable suite of OCHA services and tools to support leaders and partners in response preparedness, humanitarian response and transition

2.4 A more systematic coordination of the common humanitarian programme cycle (preparedness, needs assessment and analysis, joint planning, resource allocation and monitoring and evaluation)

Goal 1

A more enabling environment for humanitarian affairs

OCHA seeks to engage with a larger and more diverse group of stakeholders to address the humanitarian impact of global challenges. OCHA will further embed relationship building in all aspects of its work. By doing so, OCHA aims to build greater credibility and a stronger ability to lead and advocate humanitarian issues, thereby gaining a wider acceptance of humanitarian principles. Underpinning this goal is the necessity for a more thorough analysis of the environment in which humanitarians operate, as well as the emerging trends and issues affecting the world today. To achieve this goal, it is critical that OCHA uses its unique convening role within the international humanitarian system to catalyse action by others, including for preparedness.

Objective 1.1	**Partnerships with a wider group of Member States and regional organizations in support of humanitarian action**

Summary

By 2013, a better internally coordinated OCHA should have strengthened its relationships with a more diverse group of States and regional organizations. These relationships should help to increase acceptance of the humanitarian policy agenda; make better use of national and regional capacities to respond to disasters and emergencies; and expand the number of States that financially support coordinated humanitarian action.

What is the rationale?

➜ The breadth of current challenges is changing vulnerability patterns and increasing the demand for humanitarian assistance.

➜ More States and regional organizations have a greater capacity to coordinate and respond to humanitarian emergencies, yet partnership between States, regional organizations and the international humanitarian system is not always optimal.

➜ There needs to be greater understanding of the scepticism of some States and other non-State actors about the neutrality and impartiality of humanitarian work.

➜ National and regional armed forces continue to play a role in humanitarian response, with OCHA expected to play a role in facilitating coordination between these forces and the international humanitarian system.

➜ Humanitarian aid workers' security continues to be a major concern.

What are the expected results for 2013?

➜ Strengthened engagement with a wider group of States and regional organizations that helps generate greater support for humanitarian action, and makes better use of national and regional operational capacities in preparing for and responding to emergencies.

→ National authorities' increased awareness in relation to the normative framework, principles and practices of humanitarian action.

→ Increased national and regional partnerships for humanitarian response and preparedness tools (e.g., United Nations Disaster Assessment and Coordination, International Search and Rescue Advisory Group (INSARAG) and International Humanitarian Partnership).

→ A broadened donor base and increased funding levels for the Consolidated Appeals Process (CAP), and a broadened donor base and increased commitments over CERF's current status.

What is OCHA's basic four-year strategy?

→ Seek agreements with States and regional organizations for better use of national and regional operational capacities in preparing for and responding to emergencies.

→ Develop a multi-year agenda with partners to advance priority policy issues in ECOSOC and the GA.

→ Further develop the use of OCHA key advocacy messages to promote greater understanding among States of humanitarian issues.

→ Advocate continued increase in the number of States contributing annually to CERF.

→ Advocate an increase in the number of countries responding to Flash Appeals and CAPs within their region.

→ OCHA coordinates its strategies and approaches to States, regional organizations and intergovernmental processes, making full use of its various entry points to achieve a common aim.

| Objective 1.2 | **Relationships strengthened with a wider group of operational partners and other relevant actors to advance humanitarian action** |

Summary

To coordinate humanitarian action in increasingly complex environments, OCHA will systematically engage the expanding number of relevant stakeholders involved in humanitarian preparedness and response. This involves nurturing existing relations with operational partners (such as IASC organizations) and engaging more strategically and systematically with – and influencing – other actors such as the Department of Political Affairs (DPA), the Department of Peacekeeping Operations (DPKO), the Peacebuilding Support Office (PBSO), the Department of Safety and Security (DSS), other militaries operating in the humanitarian context, the World Bank and the private sector.

What is the rationale?

➜ Successful coordination today demands working well with traditional IASC partners, while recognizing that other actors – such as those engaged in peacekeeping, peacebuilding and transition – are increasingly present in humanitarian contexts and shaping humanitarian outcomes. Interaction with these actors is not always prioritized, well structured or deemed possible, perhaps due to resource constraints.

➜ In countries where the principles of integration apply, OCHA does not consistently prioritize participation in mechanisms to facilitate coordination among United Nations Secretariat entities (e.g., DPKO, DPA and PBSO).

➜ The private sector at the national, regional and global level is currently an untapped potential resource for humanitarian response.

What are the expected results for 2013?

➜ OCHA credibility further strengthened among operational partners, such as IASC organizations and humanitarian NGOs generally.

➔ Better structured and more mutually supportive relationships with peacekeeping and peacebuilding entities.

➔ OCHA is a credible interlocutor between a United Nations peacekeeping or political mission and the humanitarian community within an integrated United Nations presence.

➔ More structured relations with development actors to incorporate humanitarian considerations more systematically into development planning.

➔ More consistent engagement with other actors (such as private corporations, community-based groups, religious organizations and think-tanks) who increasingly operate alongside humanitarians before, during and after emergencies, including in the post-conflict and recovery periods.

What is OCHA's basic four-year strategy?

➔ Rigorous stakeholder analysis at all levels (COs, ROs and HQ) informing OCHA annual planning and end-of-cycle reviews.

➔ Facilitate a more focused and prioritized IASC forward agenda, and promote implementation of agreed polices at regional and country level.

➔ Strengthen OCHA HQ and CO engagement in the integrated mission planning process, Integration Steering Group, and peacebuilding and related transition efforts, including with DPKO, DPA, PBSO, Integrated Missions Task Forces and Integrated Task Forces.

➔ Operationalize the OCHA secretariat role to bridge United Nations political elements and the humanitarian community.

➔ OCHA ROs participate more consistently in regional directors teams and, where feasible, ROs and COs contribute to the development of Common Country Assessments / United Nations Development Assistance Frameworks (CCA/UNDAF).

| Objective 1.3 | **Defined roles and responsibilities within OCHA and among international development and humanitarian partners to support Member States and regional organizations in response preparedness** |

Summary

OCHA will aim to more clearly define its role in preparedness, consistent with its mandate, to support governments and regional organizations in response preparedness. OCHA will intensify discussions among partners to help provide greater understanding and predictability on institutional roles, responsibilities and accountabilities.

What is the rationale?

➔ The effects of global challenges, such as climate change, will likely place greater emphasis on prevention and preparedness to reduce demand for international humanitarian response.

➔ Repeated GA and ECOSOC resolutions call for greater United Nations capacity-building support for governments to assist them with preparing for and responding to emergencies. However, it is unclear how this support is being provided and coordinated.

➔ The OCHA role in preparedness tends to be interpreted differently within OCHA, internally and from region to region.

➔ Partner roles, responsibilities and accountabilities in relation to Member States and regional organizations in preparedness also require greater clarity and more predictability.

What are the expected results for 2013?

➔ The OCHA role in preparedness and disaster risk reduction (DRR) clarified, consistent with its mandate.

➔ Clearer roles, responsibilities and accountabilities facilitated at country, regional and global level, with regard to inter-agency coordination of preparedness activities.

➔ More coordinated and coherent support for preparedness begins to be provided by relevant international development and humanitarian partners to Member States and regional organizations.

➔ OCHA increasingly recognized as an important interlocutor on preparedness issues, bringing the various actors and levels of preparedness and response together in a coordinated manner.

What is OCHA's basic four-year strategy?

➔ Facilitate SMT decision-making and implementation on the following issues: a policy instruction on OCHA's role in preparedness, options for internal arrangements, including a single Headquarters coordinating entity to facilitate OCHA's role in preparedness, and analysis of RO capacities in preparedness.

➔ ROs and COs progressively provide a consistent minimum package of response-preparedness activities in support of national efforts.

➔ Review and reshape the OCHA/UNDP/ISDR Capacity for Disaster Reduction Initiative (CADRI), in particular the OCHA engagement in this partnership, and strengthen collaboration on preparedness among CADRI member organizations.

➔ Seek IASC agreement on a definition of preparedness and the division of labour among international partners to support national response-preparedness efforts.

➔ Ensure the CCA/UNDAF guidelines to mainstream DRR include response preparedness requirements and ensure OCHA staff are trained on applying the guidelines.

➔ Support contingency planning and simulations with humanitarian country teams and Member States as a progressively standard practice.

| Objective 1.4 | Humanitarian response and response pre- paredness are underpinned by integrated analysis and rigorous learning |

Summary

OCHA will support the Under-Secretary-General/ERC's leadership role within the international humanitarian system to influence and shape the humanitarian policy agenda and highlight upcoming challenges. OCHA will identify policy and advocacy issues to improve the humanitarian system. It will systematically and accurately communicate its findings to inform decision-making and policy.

What is the rationale?

➔ Effective advocacy is underpinned by analysis, learning and trends. To influence States, regional organizations and current and potential partners, the ERC requires an overview of current trends and sound analysis of future challenges.

➔ OCHA can do a much better job of organizing, systematizing and integrating its analytic capacities at the country, regional and HQ levels to identify trends and support ERC leadership and agenda setting.

What are the expected results for 2013?

➔ OCHA identifies relevant data and provides analysis in a coordinated manner in direct support of the ERC's leadership role within the United Nations system. This includes shaping/leading the humanitarian agenda and identifying/addressing upcoming challenges (as OCHA has done with the Protection of Civilians agenda, CERF, etc.).

➔ OCHA is at the forefront of identifying trends and facilitating agreement on collective policy and advocacy issues to improve humanitarian action.

➔ OCHA systematically and accurately seeks to communicate its findings to a targeted set of actors, thus informing decision-making and policy.

➔ OCHA systematically coordinates analytical tools and processes that support system-wide learning on priority issues.

What is OCHA's basic four-year strategy?

➔ Review the identified priorities of the humanitarian system (e.g. climate change, access, security and gender) to integrate them into relevant OCHA strategies for HQ, ROs and COs.

➔ Move towards an OCHA that is recognized as a learning leader for international humanitarian stakeholders through gathering, processing and disseminating partner analysis.

➔ Differentiate OCHA analytical work and products to support field operations, regional preparedness activities and HQ agenda setting in support of the ERC.

➔ Situate OCHA analytical products within existing frameworks and in synergy with other actors involved in the same exercise (e.g. ISDR, academic institutions, other United Nations and NGO partners).

➔ Interlink OCHA internal capacities for analysis and learning at the global, regional and country level more effectively to shape and influence humanitarian action.

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Goal 3 objectives:

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2.2 An OCHA capable of responding quickly with clear triggers for establishing, phasing and drawing-down operations

2.3 A more predictable and scalable suite of OCHA services and tools to support leaders and partners in response preparedness, humanitarian response and transition

2.4 A more systematic coordination of the common humanitarian programme cycle (preparedness, needs assessment and analysis, joint planning, resource allocation and monitoring and evaluation)

Goal 2

A more effective humanitarian coordination system

This goal serves to consolidate the gains of humanitarian reform and address areas for improvement. This includes leadership and accountability at all levels of the new coordination architecture; well-defined inter-cluster support by OCHA at all stages of engagement (before, during and after an emergency); and an evidence base to underpin planning and resource allocation. OCHA aims to join the various elements of the programme cycle into a seamless suite of tools that mutually reinforce one another. This will ensure well-planned, well-resourced humanitarian action according to need. OCHA will facilitate more effective coordination of principled, timely and efficient humanitarian assistance and protection. OCHA will support coordination mechanisms and approaches that are predictable, accountable, inclusive and led by effective leaders.

<table>
<tr><td>**Objective 2.1**</td><td>**Effective mechanisms that manage and support accountable humanitarian coordination leaders**</td></tr>
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Summary

OCHA helps to build a more effective humanitarian coordination system, including ensuring effective mechanisms are in place to manage and support mutually accountable humanitarian coordination leaders. Host governments have the primary responsibility for preparing for and leading responses to humanitarian emergencies in their countries. To assist them in this task, Resident Coordinators/Humanitarian Coordinators (RCs/HCs), Deputy Humanitarian Coordinators and cluster leads also have leadership responsibilities. OCHA Heads of Office at the country level support coordination leaders and undertake a number of humanitarian coordination functions. The aim is for all humanitarian coordination leaders to have adequate skills, knowledge and experience so tasks can be effectively managed and adequately supported. To succeed, humanitarian coordination leaders require a system where all parties share responsibility. Therefore, coordination mechanisms must be strengthened, policy issues must be resolved and institutional hindrances to effective coordination must be mitigated.

What is the rationale?

- ➔ Humanitarian coordination leader performance is dependent on skills, knowledge and experience.

- ➔ OCHA can provide more consistent and strengthened support to humanitarian coordination leaders and cluster lead agencies.

- ➔ Partner commitment to coordination may be deemed uneven at times, generally due to "institutional" constraints.

- ➔ Humanitarian response architecture developed under IASC reforms require more consistent application and buy-in.

What are the expected results for 2013?

→ Humanitarian coordination leaders have sufficient and adequate skills, knowledge and experience to perform their tasks effectively.

→ Humanitarian coordination leaders are adequately managed and supported by OCHA at country and global level.

→ Unresolved policy issues that hinder the effectiveness of humanitarian coordination leaders are addressed.

→ Institutional hindrances to the effectiveness of humanitarian coordination leaders have been mitigated.

→ Strengthened agency commitment to coordination.

What is OCHA's basic four-year strategy?

The strategy will be carried out at three levels: the individual level (humanitarian coordination leaders), the management level and the institutional level.

Individual level

→ Develop and/or align competencies for cluster lead agency representatives and OCHA Heads of Office with those of HCs.

→ Conduct an assessment of the knowledge, skills and experience of humanitarian coordination leaders against the agreed benchmarks.

→ Establish and implement a programme to address gaps in leader skills, knowledge and experience, covering career development, selection and learning.

Management level

→ OCHA and relevant IASC and donor partners facilitate implementation of the Cluster II evaluation.

→ Improve management of coordinators and support by OCHA Heads of Office.

→ Develop minimum basic requirements/outputs for each humanitarian leader in the different phases of humanitarian action.

➔ Develop and implement an action plan to address shortfalls in OCHA support to HCs.

➔ Identify and implement preferred options to provide greater support to RCs in the preparedness phase.

➔ Develop and implement guidance on management of cluster lead agencies, and incorporate responsibilities of cluster lead agency representatives into job descriptions and performance appraisals.

➔ Support HCs to take corrective action and set clearer expectations for cluster leads, and develop coordination compact between HCs, cluster leads and OCHA.

➔ Global cluster leads provide adequate guidance and support to cluster lead agencies in the field.

Institutional level

➔ Strengthen incentives to coordination and ensure coordination adds value to humanitarian actors' work.

➔ Develop and ensure IASC endorsement of mutual accountability framework covering all humanitarian actors.

➔ Engage with other parts of the United Nations system on strengthening the RC system.

➔ Engage with agencies to ensure that the role of cluster lead agencies is adequately recognized and reflected in IASC policies.

➔ Strengthen linkages/synergies among coordination leaders.

➔ Strengthen periodic review template.

Objective 2.2

An OCHA capable of responding quickly with clear triggers for establishing, phasing and drawing-down operations

Summary

OCHA will seek to identify objectively high risk countries and then, based on analysis and clear triggers, use the right set of preparedness, emergency response, field presence and transition options. (The interrelated OCHA commitment to supporting adequate and timely surge capacity is addressed under Objective 3.2.)

What is the rationale?

→ OCHA is intent on doing more to ensure it has a clearer system for deciding where and when it engages and disengages; the complement of services, tools and resources to be deployed; and the size and duration of its field operations.

→ Response decisions are not always strictly humanitarian, needs and evidence based. Reliability can be undermined by funding availability and donor interests in specific operations or themes.

→ While situation monitoring and analysis has been strengthened, monitoring and analysis between regions, countries and situations can be further unified.

What are the expected results for 2013?

→ OCHA should have timely and accurate information about relevant trends and areas at risk of a humanitarian emergency.

→ OCHA should have clear criteria to determine when trends dictate that a situation may require more intensive response preparedness, response or reduction of OCHA support.

→ Turning information and criteria into action will require clear and consistent internal decision-making processes for determining the level of OCHA engagement.

What is OCHA's basic four-year strategy?

→ Based on existing work (e.g. the Global Focus Model), develop and adopt a tool to record baseline data and detect/monitor situations or countries of concern.

→ Develop a system with benchmarks that aims to define how remote or in-country OCHA engagement will be initiated and increased in accordance with deteriorating trends in vulnerability.

→ Clearly outline how conclusions will be drawn that certain vulnerability benchmarks have been surpassed (upwards or downwards), requiring a different type and/or scope of OCHA engagement/presence.

→ Provide a clear overview of the scalable suite of services OCHA has at its disposal to respond to evolving levels of vulnerability and humanitarian need.

→ Establish procedures to ensure OCHA operations have an entry and exit strategy at the earliest opportunity, with a planned annual review as to whether the exit strategy needs to be implemented.

→ Ensure clearer agreement with transition actors such as the Bureau for Crisis Prevention and Recovery to facilitate phase out when appropriate.

Objective 2.3 — A more predictable and scalable suite of OCHA services and tools to support leaders and partners in response preparedness, humanitarian response and transition

Summary

When OCHA engages in a country, it will provide more predictable services and tools that are responsive to partner needs and updated to match the expectations of the new humanitarian coordination architecture. This should comprise a more rigorous and standardized OCHA approach to supporting inter-cluster coordination; facilitate high-level situation assessments and analysis to support advocacy and strategic decision-making; and support HCs to promote compliance with humanitarian principles and implement strategies to enhance access.

What is the rationale?

➜ To consolidate the reforms of recent years, OCHA should aim to ensure that the new coordination architecture is supported by appropriate, up-to-date and relevant tools and services.

➜ OCHA is needed to support humanitarian coordination leaders in cross-sectoral humanitarian strategy development and risk management through inclusive, rigorous and year-round processes that include preparedness, response and early recovery and transition considerations.

➜ OCHA requires more consistent reporting and strategic communications tools, as well as a more integrated information management system that supports all activities related to preparedness, response and recovery.

➜ Particularly in regard to access and security, advocacy can be undertaken in a much more consistent manner.

➜ The OCHA approach to protection and gender issues can be embedded more thoroughly in humanitarian response, contingency planning, reporting, advocacy and integrated-mission planning.

What are the expected results for 2013?

→ Strengthened humanitarian coordination architecture supported consistently by OCHA with a clear and shared understanding of what this entails, including the smooth implementation of the cluster approach in sudden-onset emergencies.

→ Consistently applied set of tools and services put in place, integrating protection and gender issues for (i) gathering and analysing information on vulnerabilities, capacities and needs; (ii) synthesizing and communicating information to support awareness-raising, decision-making, planning, advocacy and humanitarian financing at all stages of a humanitarian emergency.

→ Consistent engagement in public and private advocacy serves to implement and support common humanitarian plans and aims to change the conditions facing vulnerable populations.

→ Humanitarian actors' ability to establish and maintain access to affected populations consistently facilitated and coordinated.

→ Every OCHA office has the same consistent suite of high quality information products and websites that are relied upon to serve their audience's needs.

What is OCHA's basic four-year strategy?

→ Articulate a clear concept of how OCHA operates at the country level derived from the OCHA mandate.

→ Implement accepted Cluster II evaluation recommendations pertaining to the OCHA role in supporting the cluster approach.

→ Review existing OCHA tools and services, and identify gaps and areas where development of tools and services is required.

→ Identify and implement the minimum suite of services and tools to be provided and/or facilitated by OCHA COs and ROs in all pre-crisis (response preparedness), crisis (response) and post-crisis (transition) situations.

→ Develop, deliver and deploy early warning and monitoring support, preparedness/contingency planning and coordination sup-

port teams to countries at risk of deterioration into humanitarian crisis and countries emerging from crisis.

→ Clarify the OCHA role in promoting humanitarian principles and develop a methodology to better gauge stakeholder perceptions and acceptance of humanitarian actors.

→ Clarify OCHA IDP responsibilities to support more robust analysis, clear prioritization, and focused and relevant strategies for assisting IDPs in emergencies.

→ Operationalize the OCHA standardized access monitoring and reporting framework and database.

→ Develop and implement analytical and advocacy frameworks for better protection and security analysis.

→ Develop clearly defined internal modes of communication and co-ordination for emergency response.

→ Ensure gender quality, including gender-based violence and sexual exploitation and abuse, are integrated as appropriate into OCHA guidance and analytical, monitoring and reporting frameworks.

| Objective 2.4 | **A more systematic coordination of the common humanitarian programme cycle (preparedness, needs assessment and analysis, joint planning, resource allocation and monitoring and evaluation)** |

Summary

OCHA will emphasize better complementarity of all aspects of the common humanitarian programme cycle for sudden-onset and protracted crises: preparedness planning; needs assessment and analysis; joint programme planning; joint resource mobilization and allocation; and monitoring and evaluation. OCHA will work with partners to enhance and ensure quality control over these tools, while reinforcing their interdependence.

What is the rationale?

→ With greater beneficiary caseloads and tightening humanitarian budgets, donors are examining aid efficiency and effectiveness in funding decisions. Performance against assessed needs, accountability measures and transaction costs are increasingly being scrutinized.

→ For stronger and more coherent support to HCs and HCTs, OCHA can enhance and better align needs assessment, planning, resource mobilization, humanitarian pooled funds, monitoring and evaluation.

→ There is sharpened IASC and donor commitment to scale-up the development of coherent information collection, presentation and analysis tools to satisfy humanitarian programme cycle requirements.

→ New Emergency Response Funds and Common Humanitarian Funds – and CERF's global reach – necessitate proper institutional frameworks and resources for the management and accountability of the allocation/proposal development processes.

What are the expected results for 2013?

→ Under RC/HC leadership, the overall programme cycle is coordinated and implemented as a joint continuous process, with appropriate mechanisms to leverage and reinforce the different parts of the cycle.

➜ The HC and partners can rely on more predictable and systematic OCHA coordination and support for all aspects of the common humanitarian programme cycle, informed by IASC guidance.

➜ OCHA support reinforces the role of the RC/HC, the cluster approach and partnerships.

➜ RC/HCs can report with greater credibility on the performance of the humanitarian system to deliver planned results.

➜ The humanitarian pooled funds managed by OCHA operate in a cost-effective manner and transparently complement the other funding streams (e.g. bilateral contributions and non-emergency pooled funds).

What is OCHA's basic four-year strategy?

➜ Ensure clarification and coherency of the expected roles, responsibilities and capacity requirements of OCHA COs, ROs and HQ entities in support of the common humanitarian programme cycle.

➜ COs, supported by HQ with relevant policy, ensure that the various parts of the programme cycle managed by OCHA mutually reinforce one another.

➜ Support RC/HCs to establish the necessary mechanisms at country level for agreed HCT needs assessment frameworks.

➜ COs ensure that the Common Humanitarian Action Plan (or similar) is informed by agreed needs assessment frameworks and is monitored based on IASC agreements to be developed.

➜ Ensure progressively more efficient and transparent disbursement of OCHA-managed pooled funds according to evidence of need and assessment of impact on the entire humanitarian response.

➜ Introduce CERF Performance and Accountability Framework, guidance and training packages linked to other programme cycle components.

➜ Ensure monitoring and reporting systems increasingly support improved performance within the humanitarian system.

➜ Ensure projects that support gender equity are marked and tracked through a new tool.

OCHA STRATEGIC FRAMEWORK
2010-2013

GOAL 1
A more enabling environment for humanitarian affairs

GOAL 2
A more effective humanitarian coordination system

GOAL 3
Strengthened OCHA management and administration

Goal 1 objectives:

1.1 Partnerships with a wider group of Member States and regional organizations in support of humanitarian action

1.2 Relationships strengthened with a wider group of operational partners and other relevant actors to advance humanitarian action

1.3 Defined roles and responsibilities within OCHA and among international development and humanitarian partners to support Member States and regional organizations in response preparedness

1.4 Humanitarian response and response preparedness are underpinned by integrated analysis and rigorous learning

Goal 3 objectives:

3.1 Effective, timely, transparent and accurate financial, budgetary and resource management and reporting

3.2 Adequate and timely recruitment, deployment and retention of qualified and diverse staff

3.3 Improved organizational learning and development to achieve better results

Goal 2 objectives:

2.1 Effective mechanisms that manage and support accountable humanitarian coordination leaders

2.2 An OCHA capable of responding quickly with clear triggers for establishing, phasing and drawing-down operations

2.3 A more predictable and scalable suite of OCHA services and tools to support leaders and partners in response preparedness, humanitarian response and transition

2.4 A more systematic coordination of the common humanitarian programme cycle (preparedness, needs assessment and analysis, joint planning, resource allocation and monitoring and evaluation)

Goal 3

Strengthened OCHA management and administration

To support effective humanitarian coordination, OCHA must employ an adaptive management framework. The OCHA human resources system should more rapidly recruit, deploy and maintain qualified and diverse staff, and establish improved career development support. OCHA must strengthen internal and external surge coordination, ensuring a continuous and appropriate presence. It must seek to improve performance through managing for results, enhanced accountability and organizational learning that feeds back into the programme cycle.

Objective 3.1	Effective, timely, transparent and accurate financial, budgetary and resource management and reporting

Summary

OCHA will work to promote a financial management culture of increased accountability and greater decision-making authority for programme managers. OCHA fund-raising and allocation management will be rendered more effective, timely and accurate. OCHA will re-engineer and bolster its processes and systems at Headquarters and in the field to better support and facilitate timely financial decision-making and reporting. OCHA will seek to improve predictability in annual resource requirements and enable managers to play a defined role in fund-raising and allocation. Managers will be systematically informed about OCHA priorities and activities to better nurture the support of the OCHA Donor Support Group and other potential donors.

What is the rationale?

➔ Strengthened funding systems and clearer responsibilities for programme managers and donor relations officers would improve fund-raising and implementation strategies, and increase implementation rates.

➔ Enhanced financial and inventory monitoring at all levels would ensure effective resource allocation.

➔ More timely and accurate financial monitoring, reporting and forecasting would contribute to informed senior management decision-making.

➔ OCHA budgetary priorities can be reviewed and communicated in a more consistent, timely and accurate manner.

What are the expected results for 2013?

➔ Greater predictability in funding, more strategic earmarking, a larger share of unearmarked income and a broader donor base, as well as enhanced OCHA reporting to donors achieved.

→ Managers' full engagement in the implementation of an agreed resource mobilization strategy.

→ Clearer allocation processes developed with resource limits linked to cost plans, and clearer internal resource management roles and responsibilities developed.

→ Simplified and harmonized financial processes across locations.

→ Full integration of OCHA's Contributions Tracking System (OCT) and Financial Accounting System (FAS).

→ Branch and senior managers take full responsibility for managing funds according to programme priorities.

→ Results-driven, accountable management and work planning process and culture, guided by requirements and funding potential.

What is OCHA's basic four-year strategy?

→ Implement resource mobilization, budgetary and financial management policy.

→ Ensure all managers are familiarized with the OCHA resource mobilization strategy/principles.

→ Ensure financial products and services meet OCHA programme managers' needs.

→ Be involved in the development phases of the United Nations Enterprise Resource Planning (ERP – UMOJA) to ensure compatibility with OCHA requirements.

→ Ensure the OCT upgrade plan and OCT/FAS integration is approved by ICT governance board and budgeted.

→ Implement approved plan for EO/AO/Donor Relations Section cooperation on funding management.

→ Advance discussions with the United Nations Comptroller to facilitate pilot testing of delegation of authority for OCHA field administration and finance staff.

Objective 3.2 — Adequate and timely recruitment, deployment and retention of qualified and diverse staff

Summary

OCHA recruitment and selection will be expedited to ensure flexibility, responsiveness, continuity and effectiveness, while aiming for appropriate geographical and gender balance. OCHA needs to foster a results- and performance-oriented culture through effective management and regular, proactive and professional human resource support. Career planning mechanisms should retain qualified and motivated OCHA staff. Staff development should build and maintain the necessary skills to achieve results. Internal and external surge coordination should be enhanced, providing a continuous and adequate presence of qualified staff to satisfy operational requirements.

What is the rationale?

➜ More timely staff selection and deployment will enable OCHA to meet stakeholders' expectations in terms of principled and competent humanitarian coordination.

➜ Lack of staff mobility, deteriorating security conditions and increased competition for talent among United Nations agencies complicate efforts to attract and retain new OCHA staff, particularly for hardship duty stations.

➜ Internal coordination on surge provision and linkage/transition to regular staffing can be further strengthened.

What are the expected results for 2013?

➜ Timely surge deployments and integrated surge solutions realized for OCHA in the field.

➜ Improved field staffing mechanisms, in particular with adapting the new Pilot Roster Management Programme to the new contractual framework and United Nations Secretariat human resources

policies, including occupational networks, rosters and "mobility for promotion".

➜ Enhanced workforce planning through better projections of staffing requirements, combined with adequate analysis of existing capacities of OCHA staff and an outreach strategy to attract qualified external candidates.

➜ Programme managers' enhanced understanding of responsibilities and accountabilities in human resources processes.

What is OCHA's basic four-year strategy?

➜ Adopt policy guidance on opening and closing offices with respect to staffing issues.

➜ Adopt surge management policy, outlining resources and considerations for successful surge.

➜ Regularly communicate available vacancies and selections, including a continuously updated compendium of HQ and field vacancies.

➜ Fully implement the Pilot Roster Management Programme and the new contractual framework.

➜ Adopt mobility and rotation guidelines that facilitate staff movement between hardship and less-hardship duty stations, as well as staff development.

➜ Ensure key career/staff development strategies are identified in consultation with staff representatives; review and approval by senior management; and roll-out.

➜ Enhance the understanding of programme manager roles, responsibilities and accountability in managing human resources.

➜ Determine appropriate levels of delegated authority in consultation with the Office of Human Resource Management.

| Objective 3.3 | **Improved organizational learning and development to achieve better results** |

Summary

OCHA will set clear and consistent expectations regarding the achievement of results by managers, their teams and individual staff members. OCHA will set and communicate its expected results through better integrated (HQ and field) planning, guidance and training systems that are built on lessons learned and provide a basis for individual and team performance monitoring and accountability mechanisms.

What is the rationale?

→ OCHA has numerous elements of organizational learning and development in place: some evaluations; limited OCHA-only training programmes; a policy and guidance system; and strategic planning and knowledge management through OCHAnet. However, these resources can be more adequately linked, coordinated and leveraged.

→ Without a more unified concept of organizational development, there may be, for instance, limited and uneven uptake of lessons learned from evaluations within the OCHA work programme and strategic thinking; little incorporation of guidance into training programmes; and insufficient coordination of training programmes and knowledge management systems.

→ OCHA must have adequate capacity to systematically learn lessons, convey key corporate messages and priorities to staff, and ensure appropriate accountability.

What are the expected results for 2013?

→ More clearly delegated decision-making responsibilities instituted for programme managers.

→ An agreed corporate approach to organizational learning and development is linked to planning, knowledge management, guidance, training, monitoring and evaluation.

→ A more coordinated set of OCHA-managed training programmes communicates key corporate knowledge and develops essential corporate skills.

→ An effective accountability system links performance and reporting mechanisms (such as compacts, work plans, audits, evaluation and EPAS), providing greater transparency to OCHA managers and staff, as well as to Member States and humanitarian stakeholders.

What is OCHA's basic four-year strategy?

→ Compile best practice on creating a sound organizational learning culture in order to develop OCHA Organizational Learning.

→ Ensure mechanisms promote closer collaboration between senior and middle managers, and staff set realistic annual targets, discuss progress and ensure accountability for results.

→ Develop and align the four-year evaluation strategy to the OCHA Strategic Framework 2010-2013 and evaluation policy.

→ Develop a process to systematically incorporate recommendations from internal reviews, evaluations and audits into OCHA work processes.

→ Review and harmonize existing trainings, ensuring clear staff-learning paths, within a coordinated set of OCHA-managed training offerings.

→ Establish accountability tools such as ToR for all management levels (e.g., head of department, director, chief of branch, head of section and head of units).

→ Develop IT and IM systems to support organizational development (i.e. knowledge management, lessons learned and communities of practice).

→ Develop a twice-yearly monitoring system of cross-branch reviews to assess progress against OCHA objective-level commitments from the Annual Plan.

Part III: Implementing the Strategic Framework

Whole-of-organization approach

To implement the SF, OCHA aims to strengthen a whole-of-organization approach to its work. This means that all OCHA work units at the Headquarters, regional and county level work together in a more collaborative manner, maximizing the comparative advantages of each part of the office. Success requires strong and sustained senior management ownership and oversight, an engaged and empowered middle management cadre, and improved internal OCHA communication and coordination.

In line with the whole-of-organization approach, the SF is not organized to reflect individual OCHA work units (divisions, branches, offices, sections or projects). One, several, or all OCHA work units have a role in contributing to and implementing activities and producing outputs that lead to the common objectives and agreed goals. For example, achieving an "OCHA capable of responding quickly with clearer triggers for establishing, phasing and drawing down operations", Objective 2.2, requires concerted work from COs, ROs, desks, information management, etc. There are no strategic goals or objectives that are clearly and solely the purview of any single entity.

To successfully achieve its strategic goals and objectives, OCHA field and Headquarters entities identified a number of additional factors deemed critical for success:

- ☑ Drive a consistent and predictable OCHA corporate identity.

- ☑ Ensure senior management ownership and oversight.

- ☑ Ensure decision-making authority is delegated downwards to the extent feasible.

- ☑ Individual or entity priorities are established based on organizational priorities.

☑ Share information and multiply best practices across OCHA.

☑ Have clarity about the OCHA-specific role in all areas of work: preparedness, response and transition.

☑ Gender considerations are mainstreamed and reflected in all products of OCHA's planning cycle.

☑ Adhere to and implement internal policies and guidance, particularly in times of crisis.

Planning against the Strategic Framework and the Management Task Teams

The SF provides OCHA with a corporate direction. At each level within OCHA (Headquarters, ROs and COs), OCHA managers are expected to develop their corresponding annual plan of action and contribute, from their vantage point, to the achievement of the different strategic objectives and results enumerated in the SF. The plans are developed annually and the expected results for each year are milestones within the SF's four-year period.

Managers across OCHA are accountable for developing and implementing their work plans through OCHA's annual work planning process (see diagram below) and in accordance with *OCHA Guideline on Results-Oriented Planning and Monitoring*. In addition, the new whole-of-organization approach requires managers to coordinate their work planning with other relevant parts of OCHA.

To support improved OCHA coordination to implement the SF, Management Task Teams (MTTs) are being established for each SF objective. MTTs are chaired by one or more senior managers and comprised of other Headquarters, regional or country office managers who are directly responsible for implementing the SF objective. MTTs perform the following tasks:

➔ Further develop implementation strategies for the objective, drawing upon the ideas and understanding of risks from across its members.

➔ Coordinate work among relevant units, as appropriate, to achieve agreed outputs.

➔ Monitor and report on objective-level progress throughout the year, particularly during the mid-term and end-of-cycle reviews.

→ Develop the 2011 and subsequent objective-level annual plan and performance framework.

→ Provide substantive objective-level input to OCHA's flagship publications, *OCHA in 20XX* and the *Annual Report*.

MTTs are expected to be fully operational by the second quarter of 2010.

OCHA Planning and Monitoring Cycle		
Scheduling	**Tool/Document**	**Main Purpose**
Every Four Years	**OCHA Strategic Framework**	**Longer-term Priority Setting** (OCHA internal)
August – September	**Work & Cost Plans**	**Yearly Planning** (OCHA internal)
September - November	**OCHA Annual Plan (OCHA in 20XX)**	**Fund-raising** (external use)
December – January	**End-of-Cycle Review** (previous year)	**Self-assessment** (OCHA internal)
December – January	**Compacts (USG-SG/ASG-USG)**	**Accountability** (UN internal/external)
February – April	**Annual Report** (previous year)	**Accountability** (external use)
March - April	**PAS**	**Performance Management** (OCHA internal)
Late June	**Mid-Year Review**	**Monitoring** (OCHA Internal)

Monitoring and accountability

Since 2007, OCHA formally monitors its annual plan twice per year: the Mid-Year Review in June, and the End-of-Cycle Review and Annual Report from January to March. These monitoring and reporting exercises serve to foster a culture of accountability for improved performance.

The formal monitoring exercise allows programme managers in the field and at HQ to review performance against internal commitments outlined in work plans and external (published) commitments made in its annual planning and budgeting document, *OCHA in 20XX*.

The newly established MTTs will enable senior-level monitoring of overall OCHA performance for each strategic objective. The mid-year and end-of-cycle monitoring reports generated by each OCHA work unit will be reviewed more systematically and rigorously by the MTTs. Through the MTTs, it is expected that OCHA will be in a better position to manage risk, feed learning back into strategy development and, in so doing, be able to identify and seize new opportunities, effectively respond to threats and, if necessary, change course. The MTTs will also help OCHA assess year-end achievements, and demonstrate the results and added value of OCHA work.

OCHA managers and staff are expected to regularly monitor performance, and maintain information on progress to feed learning back into planning and decision-making.

In addition to, and interrelated with, the annual monitoring and reporting process, OCHA has introduced a new Evaluation Policy (EP), with an accompanying strategy tightly aligned to the SF. The EP enables the organization to systematically evaluate the impact of OCHA work. It further aims to ensure that lessons learned and best practices are more systematically incorporated into OCHA annual planning and inform corporate and field level strategies as they evolve each year.

OCHA aims to make independent evaluation a routine practice within the organization. As part of the annual planning process, during each year of the SF for 2010-2013 OCHA SMT will agree on a set of evaluations that will include select countries and regions, one to two strategic objectives and a policy or thematic-related evaluation.

Evaluation findings that are accepted by the SMT will systematically be integrated into OCHA work planning and performance frameworks, and serve to strengthen policy guidance and relevant decision-making processes. OCHA annual reports will convey lessons learned arising from evaluations. Evaluation reports will be widely disseminated, while improved procedures for the systematic application and monitoring of lessons learned will also be put in place.

OCHA will also continue to promote and participate in relevant inter-agency, joint or system-wide evaluations, and continue to conduct and directly manage external evaluations of inter-agency or joint activities on behalf of the IASC. These include as-needed real-time evaluations of new emergencies and system-wide impact-oriented evaluations.

The ERC, when commissioning inter-agency, joint or system-wide evaluations, will aim to ensure that follow-up to these evaluations is discussed and agreed by relevant inter-agency committees. OCHA will work with partners' evaluation units to help integrate findings and strengthen system-wide humanitarian coordination.

Managing risk

OCHA is committed to progressively moving toward greater risk management practices. Efforts within the previous SF (2007-2009), which introduced risk management into work planning, were deemed uneven as they were insufficiently backed by training and support at the country level. With the SF for 2010-2013, renewed attention is being placed on ensuring adequate support and guidance to managing recurrent risks. It is expected that risk management will feature more prominently in the annual planning guidance for 2011.

As part of 2010 planning, OCHA analysed all HQ, CO and RO work plans to identify the perception of risk at the Headquarters, country and regional level. These inputs were collated to lend a clear overview of the perception of risk within the organization. While a range of different risks were identified, four risks were identified fairly consistently throughout the organization.

1. **Member States' perceptions of humanitarian affairs**: Member States' perceptions of humanitarian affairs suggest a widening

gap between the expectations of Member States and those of the international humanitarian system. This risk is believed to have implications for staff safety and security, operational effectiveness and access, and humanitarian financing. The risk was identified in the review of global challenges. The mitigating strategy for this risk is addressed under Strategic Objective 1.1 of the SF for 2010-2013.

2. **Humanitarian partner buy-in to the cluster approach**: OCHA COs and ROs identified cluster leads' institutional and financial commitment to the cluster approach as a key risk factor. This risk is perceived to have a negative impact on the overall effectiveness and timeliness of humanitarian response. It also affects OCHA's ability to phase-down operations and handover coordination functions. The mitigating strategy for this risk is addressed under Strategic Objective 2.1 of the SF for 2010-2013.

3. **Human Resources Management**: Human resources management remains a key risk to OCHA's overall ability to carry out its mandate effectively in new and continuing emergencies. The risk relates to OCHA's ability to attract and retain the right people, deploy them in a timely fashion and ensure a sustained presence where necessary. The mitigating strategy for this risk is addressed under Strategic Objective 3.2 of the SF for 2010-2013.

4. **Lack of Predictable Funding for OCHA**: The lack of predictable funding for OCHA is perceived to be a risk in terms of limiting OCHA action. There is a perception that this issue sometimes influences the organization to focus on donor countries' priorities, as opposed to the wider group of Member States. The mitigating strategy for this risk is addressed under Strategic Objective 3.1 of the SF for 2010-2013.

ANNEX 1

Key OCHA Policy Guidance for implementing the Strategic Framework

Please see the OCHA Policy Guidance Framework on OCHAnet for the full range of OCHA guidance: http://ochanet.unocha.org/PG/Pages/default.aspx

Existing guidance

PI on the Roles and Responsibilities of Regional Offices

PI on OCHA's Structural Relationships within an Integrated UN Presence

PI on Cooperation with the Private Sector

PI on OCHA's Role in Supporting Protection

PI on the Relationship between HCs and Heads of OCHA Field Offices

PI on Advocacy (requires revision)

PI on Public Information (requires revision)

PI on Resource Mobilization

SOP on ECHO grant procedures

SOP on Pledge Management

SOP on HQ Induction Missions for HoO and AOs

SOP on Flexible Working Arrangements for HQ

Forthcoming guidance

PI on the Roles and Responsibilities of Country Offices

PI on Preparedness

PI on OCHA Tracking of Humanitarian Funding

PI on OCHA Support to the Cluster Approach

PI on Emergency Response

PI on the Emergency Response Roster

SOP on the Emergency Response Roster

PI on Transition

PI on Security

SOP on Petty Cash

PI on Evaluation

Proposed guidance

PI on Surge Capacity

PI on Access

SOP on ERF

ANNEX 2

Key Source Documents

1. *Note to the SMT on OCHA Strategic Framework 2010-13: The Consultation Process*, 26 February 2009, prepared by OCHA Strategic Planning Unit (SPU).

2. *Scope of Work: Steering Group for OCHA's Strategic Framework (2010-2013)*, 26 February 2009, SPU.

3. *Global Challenges and Their Impact on International Humanitarian Action*, OCHA Occasional Policy Briefing Series - No. 1, OCHA PDSB, August 2009.

4. *Reference Guide: Summarizing normative humanitarian developments in General Assembly, Economic and Social Council, and Security Council Resolutions Decisions*, OCHA Policy and Studies Series, Vol. I No2, OCHA PDSB, 29 June 2009.

5. *OCHA Meta-evaluation Final Report,* 7 July 2009, commissioned by OCHA PDSB-Evaluation and Studies Section.

6. *Note for the File: Regional Management Retreat*, Cairo, 5-6 March 2009, SPU.

7. *Note for the File: Regional Management Retreat, Asia and the Pacific Bangkok*, 23-24 April 2009, SPU.

8. *Report on the Joint (ROSA, ROWA and ROCEA and COs) Regional Management Retreat, Africa*, 18-19 May 2009, OCHA ROCEA.

9. *OCHA Strategic Framework 2010-2013: Zero Draft*, 7 May 2009, Strategic Framework Steering Committee.

10. *OCHA Strategic Framework 2010-2013: Options for Dealing with the Multi-Hazard Environment*, 7 May 2009, Strategic Framework Steering Committee.

11. OCHA's Strategic Framework: 2010-2013, Background Document for the High-Level ODSG Meeting, Helsinki, Finland, 1-2 June 2009, SPU.

12. *Global Management Retreat Record of Proceedings*, 22-24 July 2009.

13. OCHA Strategic Framework 2010-2013: Update for Donors, 31 July 2009.

14. Email - ODSG written comments on the draft Strategic Framework, 12 August 2009.

15. *Guideline on Results-Oriented Planning and Monitoring for 2010*, 3 September 2009, SPU.

16. *OCHA Strategic Framework 2010-2013: Quick Reference Guide: Work Planning 2010*, 3 September 2009, SPU.

17. *OCHA Strategic Framework 2010-2013: Country Office Summary Sheet*, 3 September 2009, SPU.

18. Email Sent to All Staff by the ASG on OCHA 2010 Work and Cost Planning, 4 September 2009, including the following documents:

    ♦ OCHA Strategic Framework 2010-2013: Version Sent to All Staff by the ASG, 4 September 2009

    ♦ OCHA Performance Framework for 2010: Version Sent to All Staff by the ASG, 4 September 2009

19. OCHA Strategic Framework 2010-2013: Abridged Version Sent to ODSG, 30 September 2009, SPU.

20. Draft OCHA Policy Instruction on the Roles and Responsibilities of Country Offices, Version 0.2i, 30 December 2010, OCHA PDSB – Guidance Management Project (GMP).

21. Draft OCHA Policy Instruction on Evaluation, Evaluation and Studies Section, 8 February 2010, OCHA PDSB-GMP._

22. OCHA Policy Instruction on the Roles and Responsibilities of Regional Offices, 15 January 2010, OCHA PDSB-GMP.

23. *OCHA in 2010*, Annual Plan and Budget, 7 January 2010

OCHA Strategic Framework

2010 - 2013

The United Nations Office for the Coordination of Humanitarian Affairs (OCHA) mobilizes and coordinates effective and principled humanitarian action in partnership with national and international actors.

OBJECTIVES

1.1 Partnerships with a wider group of Member States and regional organizations in support of humanitarian action

1.2 Relationships strengthened with a wider group of operational partners, and other relevant actors to advance humanitarian action

1.3 Defined roles and responsibilities within OCHA and among international development and humanitarian partners to support Member States and regional organizations in response preparedness

1.4 Humanitarian response and response preparedness are underpinned by integrated analysis and rigorous learning

GOALS

1: A more enabling environment for humanitarian action

OBJECTIVES

2.1 Effective mechanisms that manage and support accountable humanitarian coordination leaders

2.2 An OCHA capable of responding quickly with clear triggers for establishing, phasing and drawing down operations

2.3 A more predictable and scalable suite of OCHA services and tools to support leaders and partners in response preparedness, humanitarian response, and transition

2.4 A more systematic coordination of the common humanitarian programme cycle (needs assessment and analysis, joint planning, fundraising and resource allocation, and monitoring and evaluation)

GOALS

2: A more effective humanitarian coordination system

3: Strengthened OCHA management and administration

3.1 Effective, timely, transparent and accurate financial, budgetary and resource management and reporting

3.2 Adequate and timely recruitment, deployment and retention of qualified and diverse staff

3.3 Improved organizational learning and development to achieve better results