Policy Instruction

The Roles and Responsibilities of Country Offices

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A.   PURPOSE

1.   This policy instruction outlines the roles and responsibilities of OCHA Country Offices (COs). It is intended to standardize the role of these corporate assets by identifying i.) when they should be deployed, ii.) what functions they should carry out, iii.) what services, tools and products they should provide, and iv.) how they should be scaled and organized to fit different contexts. When a CO should be phased out in favor of other field coordination arrangements is covered in OCHA's *Policy Instruction on Transition*.

B.   SCOPE

2.   This policy instruction applies to all OCHA staff. Compliance is mandatory.

C. RATIONALE

3. In early 2007, OCHA conducted a comprehensive review of its COs. This review called on OCHA to provide its COs with more clear guidance on the scope of activities they should carry out. To this end, guidance has been developed that outlines the work of COs in certain situations such as an integrated United Nations (UN) presence or the initial phase of an emergency. This policy augments this context-specific guidance by setting out OCHA's overall expectations for its COs. The aim is to harmonize views within OCHA on the roles and priorities of these corporate entities.

3.1. Additionally, the aim is to clarify what a CO does to support the in-country humanitarian coordination system for crises agreed to by the Inter-Agency Standing Committee as part of the Humanitarian Reform process launched by the Emergency Relief Coordinator (ERC)[1] in 2005. In this system, the cluster approach and pooled funds are used by humanitarian coordination leaders such as Humanitarian Coordinators (HC), cluster leads and members of more inclusive Humanitarian Country Teams (HCTs), which are expected to operate according to agreed Principles of Partnership.

D. POLICY

4. **Role, Priorities and Operating Principles**

4.1. When a country faces an emergency resulting in acute vulnerability that requires a level of international humanitarian assistance that is beyond the capacity of the government to coordinate and beyond the mandate or capacity of one agency to deliver, it is OCHA's goal to help save lives, reduce suffering and restore livelihoods by reducing acute vulnerability through well coordinated humanitarian action. This goal extends to any CO OCHA establishes. To achieve this goal, a CO will support the in-country humanitarian coordination system for crises agreed to by the Inter-Agency Standing Committee as part of the Humanitarian Reform process. In particular, a CO will support an HC who will be designated by the ERC to coordinate development and implementation of an overall humanitarian strategy to save lives, reduce suffering and restore livelihoods. Supporting the HC is the main role of a CO.

4.2. To effectively support an HC and the in-country humanitarian coordination system, a CO should organize its work around Five Operational Priorities. These are:

⇨ Build a shared situational awareness and understanding
  ▪ *(develop sources, gather information, assess needs, analyze, communicate)*

⇨ Build a common approach
  ▪ *(identify key policy and operational dilemmas, identify options, advocate and build consensus)*

⇨ Build a common strategy and implementation plan
  ▪ *(covering establishment of coordination mechanisms, advocacy -- including public information campaigns and private diplomacy initiatives -- protection efforts, programming, logistics, resource mobilization and the development of humanitarian financing instruments)*

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[1] United Nations General Assembly Resolution 46/182, adopted in December 1991, created the high-level position of ERC. Soon after, the Secretary-General assigned the ERC the status of Under-Secretary-General for Humanitarian Affairs (USG-HA). For the sake of simplicity, the term ERC will be used throughout this document.

↳ Facilitate implementation and monitoring
  ▪ *(establish coordination mechanisms, launch public information campaigns, initiate private diplomacy initiatives, negotiate access, mobilize resources)*

↳ Develop shared lessons learned
  ▪ *(identify key questions for review and review options – impact evaluations, lessons learned – after action reviews -- build consensus*

4.3.   These Five Operational Priorities are further described in Section 5 and Annex A, Part I. Additionally, Annex A, Part II identifies the minimum services and products that a CO needs to provide to meet these priorities.

4.4.   Adherence to these operational priorities helps a CO to provide a higher quality of support to the in-country humanitarian coordination system. By organizing its work around these priorities, a CO will be better positioned to help an HC ensure that the in-country humanitarian coordination system has a sound strategy and a coordinated common humanitarian program cycle that links preparedness, needs assessment and analysis, joint planning, resource allocation, monitoring and evaluation.

4.5.   Additionally, COs have particular services they are expected to provide to various parts of the in-country humanitarian coordination system. For example, COs will provide HCTs with secretariat support. They will facilitate allocation of loans and grants for the Central Emergency Response Fund (CERF). They will establish, facilitate the management of, and administer standard pooled funding mechanisms such as Emergency Response Funds (ERFs). They will promote the Principles of Partnership. They will also facilitate inter-cluster coordination mechanisms, processes or fora. These services, and others supporting the in-country humanitarian coordination system are described in Annex A, Part II.

4.6.   To provide these services and meet its Five Operational Priorities, a CO will have to utilize all of OCHA's Five Core Functions. These are information management, policy development, coordination, advocacy and humanitarian finance. While there is some similarity between OCHA's functions and the operational priorities of a CO, there is in fact no one-to-one correspondence. To meet any one of the five operational priorities listed above, a CO will have to utilize several or even all of OCHA's functions. For example, building a shared awareness of the situation may require the creation of an information-sharing system with partners. Establishing this system might require a series of coordination meetings, and the development of a shared policy on how information will be used. It could also require advocacy with some partners to get them to participate in the system or to provide funding for it.

4.7.   To maximize the effectiveness of its support, a CO shall be guided by the following operating principles as it works to meet its priorities:

⮑ COs must consistently keep their focus on the overarching goal -- saving lives. A CO that provides solid secretariat services to an HC and helps him or her achieve a well coordinated effort hasn't really fulfilled the larger purpose of OCHA or the HC if the secretariat services and coordinated effort do not help to save lives, reduce suffering and restore livelihoods.

⮑ COs must not mistake means for ends. A CO is not deployed to manage information, develop policy or set up and implement coordination mechanisms for their own sake. These functions are only means to a larger end -- saving lives, reducing suffering and restoring livelihoods by reducing acute vulnerability.

- COs must stay ahead of the curve and be proactive. This means they should be the first to see changes in situations, emerging trends, gaps, risks, opportunities and options so they can alert the HC. It also means they should take the initiative and present the HC with their information, analysis, and strategies for coordinating humanitarian action in a manner more likely to reduce acute vulnerability. It is imperative that they work through the HC.

- COs should focus on underlying conditions as well as symptoms. They should work with partners to identify the conditions that are affecting acute levels of vulnerability, and should then help the HC and the HCT ensure that the overall humanitarian strategy is designed to alter those conditions in a way that will reduce acute vulnerability, for example, by improving access.

- COs must be service-oriented. They should add value to the work of the operational agencies.

4.8.   As it strives to meet its priorities, a CO must also always be guided by humanitarian principles, namely humanity, neutrality and impartiality. Human suffering will be addressed wherever it is found. Humanitarian actors will not take sides in hostilities. Humanitarian assistance will be provided based on need alone.

4.9.   A CO should also recognize that General Assembly Resolution 46/182 indicates that humanitarian assistance should be provided with the consent of the affected country. Each State has the primary responsibility to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence the affected State has the primary role to play in the initiation, organization, coordination and implementation of humanitarian assistance within its territory. There are, however, situations where the government of a particular state does not have the capacity or ability to carry out its role, or where parts of its territory are controlled by others. A CO need to be able to respond effectively and flexibly in these circumstances.

4.10.   States recognize, under General Assembly Resolution 58/114, that independence -- meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold -- is also an important guiding principle for the provision of humanitarian assistance.

4.11.   COs therefore, are expected to help the HC and HCT engage government in the provision and coordination of humanitarian assistance, help the government accept its responsibilities wherever feasible and build acceptance for the humanitarian program and those organizations and staff that deliver it. Where feasible, OCHA may also build the capacity of government to request assistance and coordinate with international humanitarian organizations, primarily through knowledge sharing and training on how these organizations operate and conduct business. OCHA does not develop or manage programs that build state administrative capacity.

4.12.   In sum therefore, the goal of a CO is to save lives, reduce suffering and restore livelihoods by reducing acute vulnerability through well coordinated humanitarian action. To fulfill this role, the CO helps the HC ensure that the in-country humanitarian coordination system is operating according to a sound and strategic plan, and helps him or her coordinate the common humanitarian program cycle. To do so effectively, the CO must organize its work around Five Operational Priorities and utilize OCHA's Five Core Functions as needed. Finally, it must adopt a service-oriented approach and be guided by humanitarian principles.

Figure 1.
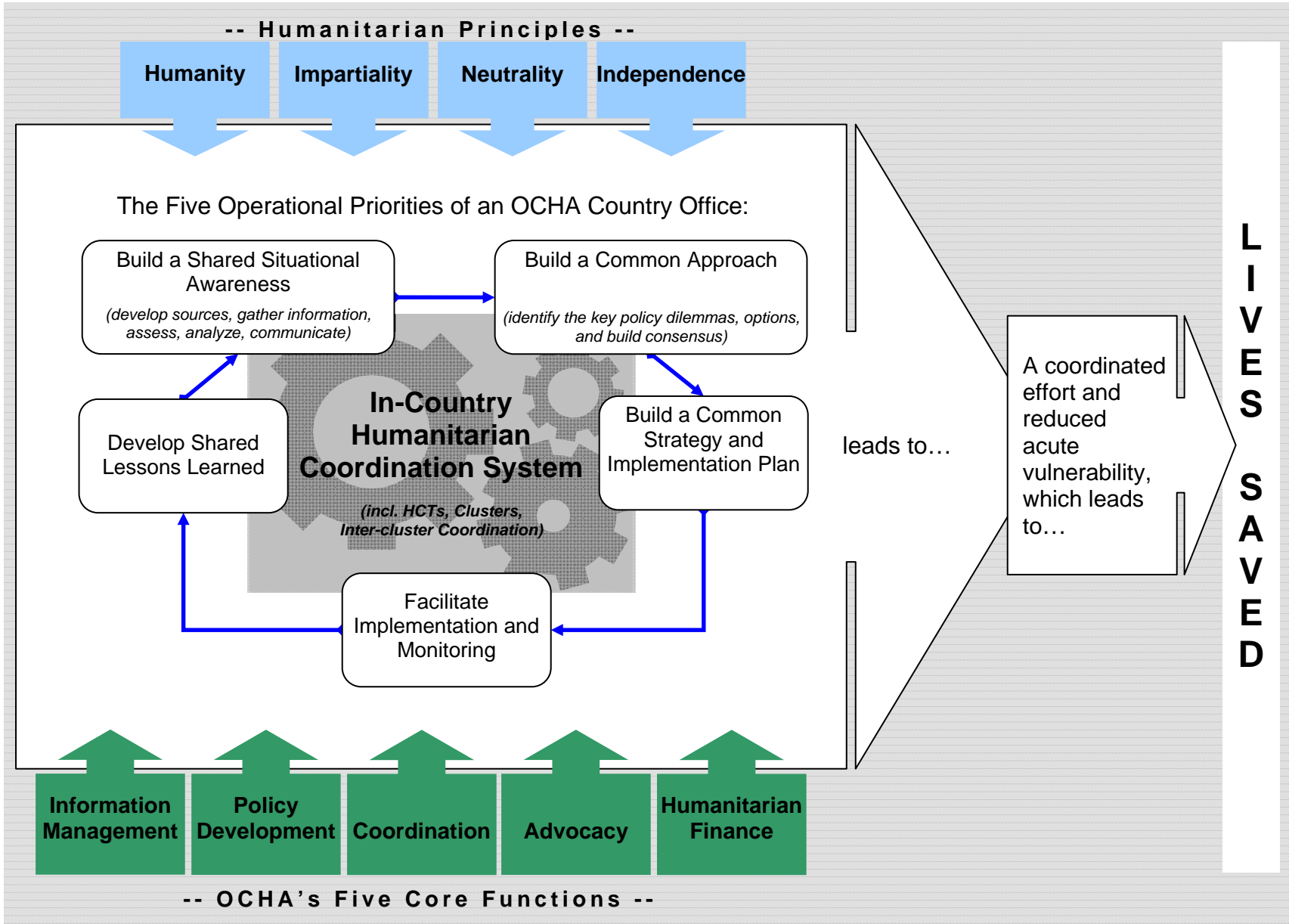
5. **Description of Work**

5.1. The following section elaborates on each of the Five Operational Priorities outlined in Section 4, describing in each case what a CO needs to do to meet the priority. Annex A, Part I provides further detail on this work, highlighting the key questions COs need to ask, the prerequisites for success and the essential actions and outputs needed to meet each priority. This section and Annex A, Part I should be read in conjunction with Annex A, Part II which outlines the minimum services and products that a CO needs to provide to meet its Five Operational Priorities. Subsequent parts of Annex A provide additional detail on planning, support to the cluster approach, humanitarian financing and reporting.

5.2. It is by doing the work described here and in the Annexes that OCHA maximizes the effectiveness of its support to the in-country humanitarian coordination system. In particular, it is this work that give substance to the inter-cluster coordination fora that OCHA establishes. It is also the process by which coordination arrangements can be systematically reviewed and adjusted.

To Build a Shared Situational Awareness, a CO needs to:

- ☑ identify and cultivate sources of information, such as the clusters, so it can understand the context -- what drives it; what drives the actors involved;
- ☑ regularly gather, disaggregate by sex and age and analyze information to keep its picture of the situation up-to-date, and spot trends;
- ☑ facilitate and coordinate needs assessments
- ☑ communicate information (disaggregate by sex and age when relevant), trends and an overall awareness of the situation, which means knowing who the key audiences and partners may be at country, regional and headquarters (HQ) levels, and what they need to know and understand. The HC, HCT, clusters and inter-cluster coordination fora should always be considered key audiences.

To Build a Common Approach, a CO needs to:

- ☑ identify the key, over-arching policy or operational dilemmas -- for example, is now the time to facilitate return by shifting aid from camps to areas of origin;
- ☑ identify options to address the policy and operational dilemmas;
- ☑ identify risks that need to be considered and managed effectively;
- ☑ facilitate processes that build consensus particularly within and between the clusters, and within the HCT around the best possible option.
- ☑ ensure that the common approach is based on, as appropriate, existing humanitarian norms and standards, as outlined in various UN, IASC and OCHA guidance products.

To Build a Common Strategy and Implementation Plan, a CO needs to:

- ☑ translate overall policy into specific, time-bound goals and objectives shared by the clusters and the HCT-- i.e. translate the overall policy into a plan (typically this will be a CHAP within a CAP);
- ☑ ensure that the plan covers the establishment of, or adjustments to coordination mechanisms such as inter-cluster coordination fora or other agreed divisions of labor;

- ☑ ensure that the plan outlines whatever public information campaigns and private diplomatic initiatives that the HC, HCT, clusters, inter-cluster coordination fora or individual organizations might need to undertake to achieve the overall goals;
- ☑ ensure that the plan details whatever logistics and common services may be needed to support humanitarian action, including public information campaigns;
- ☑ ensure that the plan outlines how resources will be mobilized;
- ☑ ensure the plan details the launch or refinement of pooled funding mechanisms;
- ☑ ensure that the plan includes effective indicators for monitoring progress.
- ☑ ensure the plan identifies risks that could derail the plan and ways to mitigate them.

To Orchestrate Implementation and Monitoring, a CO needs to:

- ☑ ensure clusters or organizations and partners are implementing their respective parts of the plan;
- ☑ adjust the plan as the situation continues to evolve;
- ☑ resolve problems that arise during implementation;
- ☑ systematically collect information (disaggregate by sex and age when relevant), particularly from clusters and the inter-cluster coordination fora on implementation rates and ideally on outcomes or impact;
- ☑ help the HC set up and refine coordination mechanisms, particularly clusters and inter-cluster coordination fora;
- ☑ issue information products and conduct public information campaigns featuring disaggregated data (by sex and age) when relevant;
- ☑ disseminate information on global policy development (including relevant UN, IASC and OCHA guidance products) to HCT members and promote adherence to these policies and guidance, as necessary.
- ☑ support, or launch and conduct private diplomacy initiatives, such as access negotiations (with the consent of the HC);
- ☑ support or coordinate logistics and other common services for the clusters and HCT (as appropriate);
- ☑ help the HC launch and conduct resource mobilization initiatives, track funding and adjust resource mobilization efforts to close gaps;
- ☑ help the HC launch, develop, refine and manage pooled funding mechanisms.

To Develop Shared Lessons Learned, a CO needs to:

- ☑ identify the key, over-arching questions for review -- what does the HC, HCT, clusters, inter-cluster coordination fora and other development and humanitarian organizations need to know and learn from the humanitarian response;
- ☑ identify review options -- impact evaluation, lessons learned, after-action review;
- ☑ build consensus within and between the clusters and within the HCT around the best possible option.

6. **Establishment of a CO**

6.1. A CO is OCHA's most robust and comprehensive type of country-level field presence. Typically, it will be preceded by, and will replace temporary surge capacity, or an Humanitarian Support Unit (HSU), or both. Usually this will occur 6 to 8 weeks after the onset of an emergency. Annex B, Part I details more completely the phasing in of a CO and the decision-making process that should lead to its establishment.

6.2. In general, however, a CO should be established when the ERC determines that most, but not necessarily all of the following conditions are met and deems the establishment of a CO to be necessary. If only a few of these conditions are met, OCHA may consider some of its other field presence options such as an HSU.

- ✓ There is a critical mass of potential beneficiaries suffering acute levels of vulnerability brought on by the emergency who will require assistance for an extended period of time.
- ✓ No government agency, national authority or single international humanitarian organization is able to adequately address the levels of acute vulnerability brought on by the emergency.
- ✓ No government agency or national authority is able to adequately address the coordination challenges brought on by the emergency.
- ✓ The most vulnerable have urgent needs in a number of sectors or clusters. A multi-cluster or system-wide response is required.
- ✓ The government has requested, welcomes offers of, or has given its consent to international assistance.
- ✓ There is a critical mass of operating agencies and capacity.
- ✓ The Resident Coordinator, UNCT, HCT and / or the IASC have requested OCHA's support.
- ✓ Coordinating efforts to save lives and restore livelihoods requires multiple, if not all of, OCHA's Five Core Functions.
- ✓ The ERC has designated, or intends to designate an HC for the emergency.
- ✓ The ERC, IASC, RC, or UNCT has decided to, is likely to, or has been advised to follow a Flash Appeal with a Consolidated Appeals Process.

7. **Size, Organization and Focus**

7.1. OCHA operates three types of Country Office - small, medium, and large. The distinguishing features of these three types are further described in Annex B, Part II.

7.2. The size, focus and organization of a CO should be determined by the situation in which it operates. In other words, form should follow function, and function should be shaped by conditions on the ground. In general, however, more complex operating environments require larger COs with specialized units and sub-offices. The following are the factors that typically have the biggest influence on the shape of a CO: i.) the scale and nature of the emergency, ii.) the phase of the emergency, iii.) the geography of the country, iv.) the operations of potential partners and v.) whether or not the operating environment enables humanitarian action, which itself is determined by the strength of the host government and its willingness to support humanitarian operations, the size, complexity, role and activities of any domestic or international military forces, how well various interest groups in the country accept humanitarian action, and the extent of insecurity in the country.

7.3. A flow chart is provided in Annex B, Part II to help staff begin determining whether each of the factors noted in paragraph 7.3 points to the need for a relatively larger or smaller OCHA presence, which will be determined in the end by the development of country strategies, work plans and cost plans approved by the ERC and ASG. Additionally, Annex B, Part III outlines the minimal complement of staff (and their

levels) needed for a small CO to fulfill the minimum requirements of this policy instruction and meet the expectations of OCHA's partners. Annex B, Part III also lists some of the specialized staff (and their levels) typically required by medium and large COs. Finally, Annex B, Part III provides guidance on how offices of various sizes should be organized.

8.   **Sub-Offices and Antennae**

8.1.   A CO should establish sub-offices and antennae as close as possible to the point of humanitarian action. Typically this means that sub-offices should be established in provincial centers where there is a significant number of beneficiaries or humanitarian actors and a need for humanitarian coordination support. Antennae should be established where OCHA needs to serve as a rally-point. For more information on sub-offices and antennae, see Annex B, Part IV.

9.   **Supervision and Reporting Lines**

9.1.   Each CO shall be led by a Head of Office (HoO). Per OCHA's *Policy Instruction on the Relationship Between Humanitarian Coordinators and Heads of OCHA Field Offices*, the HoO "reports to and supports the HC" who provides regular strategic guidance to the CO through the HoO.

9.2.   The HoO is a senior advisor to the HC on humanitarian and coordination issues, and is accountable to the HC for the smooth functioning of humanitarian coordination. The HoO will be afforded, and is expected to exercise, a considerable degree of autonomy within an overall strategic direction set by the HC.

9.3.   The HoO is responsible for the effective management of the CO and is accountable for this to the ERC through the Director of OCHA's Coordination and Response Division (CRD), supported by the relevant Section Chief and Desk Officer. Management includes administration, budgeting and finance, human resources and all day-to-day operations needed to support humanitarian coordination. Management also includes resource mobilization. Per OCHA's *Policy Instruction on Resource Mobilization*, the HoO is expected to play an active role in efforts to mobilize resources for OCHA in general and their approved annual cost plans in particular.

9.4.   Prioritization of country-specific issues and OCHA-wide concerns is also an essential part of management. This policy instruction cannot prescribe a set of prioritized issues and work valid for all countries given the variety of the situations in which OCHA works. HoOs, therefore are expected to use the work process set out in Section 4 of in this policy instruction to prioritize issues and work in a manner consistent with this policy instruction. Annex B, Part IV includes a more detailed list of key management responsibilities that Head of COs are expected to fulfill.

10.   **Coordination Between a CO and the rest of OCHA**

10.1.   COs are corporate assets. Though they report to CRD, all parts of OCHA should work with COs to achieve OCHA's strategic goals and objectives so long as any joint efforts remain consistent with the overall role and purpose of a CO as set forth in this policy instruction.

10.2.   In the course of their work, the many units, sections and branches at HQ will need to be in contact with OCHA's COs. Conversely, the COs will need advice and support

from various entities at HQ, and will also need to update various parts of HQ on their activities and developments in the country. To ensure a consistent, whole-of-organization approach, wherein these interactions benefit all parts of OCHA, and the whole of OCHA, they must be effectively coordinated in a systematic but flexible manner. As stewards of the COs, CRD is responsible for employing suitable, internal coordination measures, based on best-practices, to facilitate effective interaction between the COs and the various entities in HQ.

10.3.   COs also have an obligation to keep relevant units, sections and branches in HQ appraised of efforts related to their area of work, and to consult with entities in HQ on these efforts. CO's should also always keep their nearest Regional Office (RO) updated and informed. COs should expect to benefit from the support of their RO. For specifics on the nature of the support provided please see OCHA's Policy Instruction on the Roles and Responsibilities of Regional Offices.

E.   TERMS AND DEFINITIONS

11.   <u>Acute Vulnerability</u>: Severely heightened, or a sudden sharp rise in the susceptibility of individuals, households, and communities to casualty, destruction, damage, disruption or other forms of loss as a result of physical, social and economic conditions.

12.   <u>Corporate Emergency:</u> These are emergencies that typically result in: i.) widespread destruction and devastating human, economic, environmental and material loss in a country and possibly in neighboring countries, ii.) widespread population displacement and iii.) widespread disruption of a society's ability to function. As a result they usually require massive international assistance and robust coordination of the international response. An HC will be designated. The cluster approach will be activated. There will be a Flash Appeal, and this will typically be followed by a CAP. Corporate emergencies, because of their scale, typically outstrip the support any CO or RO can supply. To provide a robust degree of coordination therefore, the ERC will early on declare a corporate emergency and OCHA will draw resources as needed from across the organization.

13.   <u>In-Country Humanitarian Coordination System:</u> A standard method of coordinating international humanitarian action at the country-level that was agreed to by the Inter-Agency Standing Committee as part of the Humanitarian Reform process launched by the ERC in 2005. In this system, the cluster approach and pooled funds are used by humanitarian coordination leaders such as HC, cluster leads and members of more inclusive HCTs, which are expected to operate according to agreed Principles of Partnership.

14.   <u>Major Emergency:</u> These are emergencies that typically result in: i.) human, economic, environmental and material loss, both locally and sometimes throughout many parts of a country, ii.) population displacement and iii.) significant disruption of a society's ability to function. As a result, they usually require international assistance and coordination of the international response. An HC will typically be designated. The cluster approach will be activated. There will be a Flash Appeal and OCHA will activate its services and tools as needed at country, regional or global levels. Typically therefore, a major emergency is handed by any CO that is present, with support from the nearest RO and units in HQ. When no CO is present it is handled by the nearest RO with support from unit in HQ.

15. <u>Minor Emergency:</u> These are emergencies that typically result in: i.) minimal human, material and environmental loss ii.) minimal population displacement and iii.) limited or isolated disruptions of a society's ability to function. While they may trigger an initial interest in the international community (such as a brief burst of media coverage) they will not normally require international assistance or coordination of an international response. There will be no HC designation, no activation of the cluster approach and no Flash Appeal. This is because the affected country can mostly cope with the impact of the emergency and no (or only a few) international responders have been requested. OCHA's role in minor emergencies is limited to information exchange with international stakeholders and situation updates in the first hours or days after the event, through Virtual OSOCC or Situation Reports as appropriate. Typically, therefore a minor emergency is handled by any HSU or CO that is present, or a RO is there is no HSU or CO in the country.

F.   REFERENCES

- United Nations General Assembly Resolution 46/182
- The Reference Guide for United Nations Intergovernmental Decisions on Humanitarian Assistance
- Revised Terms of Reference for the Humanitarian Coordinator

G.   MONITORING AND COMPLIANCE

16. Compliance will be monitored through OCHA's mid-year and end-of cycle reviews. Elements of this policy instruction may also be monitored through the UN Performance Appraisal System.

H.   DATES

17. This policy is effective 15 June, 2010. It will be reviewed and updated regularly to reflect major evolutions in United Nations and humanitarian practices. The next scheduled review shall be conducted no later than 15 June, 2012. Per OCHA's Policy Instruction on OCHA Guidance Materials, however," the ERC / USG-HA may at any time recall or initiate a review of any OCHA official guidance."

I.   CONTACT

18. The contact for this policy is the Director of CRD.

J.   HISTORY

19. This is a new policy instruction, approved on 15 June, 2010.

SIGNED: John G. Holmes
DATE: 15 June 2010.

ANNEX A. Operationalizing the Role of a CO

<u>**Part I: Implementing the Five Operational Priorities**</u>

1. In general, as noted in Section 4, it is the responsibility of OCHA to help ensure that organizations providing or supporting humanitarian action have developed, bought into, and are operating according the same game plan or, at the very least, complementary game plans. To do so, a CO should carry out the following series of activities on a routine and continuing basis. These are also summarized in Figure 2.

☑ *Build a Shared Situational Awareness*

<u>Key Questions:</u>
↳ What information is needed? Who has it? How can OCHA get it? How should it be managed?
↳ Who needs it? For what purpose? How should it be repacked? How should it be disseminated? What information do decision-makers need?
↳ Who is affected ? How? Why ? Who is the most vulnerable? What are the humanitarian needs in different sectors?
↳ Who are your partners ? What are their capacities ? Interests ?
↳ What coordination arrangement are in place?
↳ What are the existing power structures? Who are the parties to the conflict ? What are their capacities? Interests?
↳ Are there other key actors? Who? What are their interests? For example, what are development actor thinking.

Note: the answers to many of these questions should be disaggregated by demographic groups and should include consideration of protection issues such as the safety and security of the different groups.

<u>Prerequisites for Success:</u>
✓ an extensive network of field HAOs outside the capital, and /or an extensive liaison network with donors, government, NGOs, non-state actors and peacekeeping or political missions (to collect info, but also to provide credibility);
✓ a system for routinely tracking, analyzing and reporting on risks facing the vulnerable population (disaggregate by sex and age when relevant);
✓ a system for routinely tracking, analyzing and reporting on humanitarian access (disaggregate by sex and age when relevant);
✓ a system for routinely tracking analyzing and reporting on protection trends, not specific cases (disaggregate by sex and age when relevant);
✓ a system for routinely tracking who is taking what actions to reduce acute vulnerability;
✓ a system for routinely tracking what aid is delivered where and to whom (disaggregate by sex and age when relevant);
✓ a system for routinely repackaging this information (disaggregate by sex and age when relevant) into core information products including i.) sit reps, humanitarian bulletins or humanitarian updates, ii.) press releases, iii.) CO Internal Weekly Reports, iv.) Field Key Messages and v.) who is doing what and where matrices.

<u>Essential Actions and / or Outputs:</u>
➡ identify and cultivate sources;
➡ gather information from them (disaggregate by sex and age when relevant) ;

- ➡ organize or facilitate needs assessments(disaggregate by sex and age when relevant) ;
- ➡ carry out, or sponsor analysis (disaggregate by sex and age when relevant);
- ➡ produce sit reps as required (with information disaggregate by sex and age when relevant) ;
- ➡ publish regular information bulletins or monthly humanitarian updates (with information disaggregate by sex and age when relevant).

☑ *Build a Common Approach*

Key Questions:
- ✎ What is constraining efforts to reduce acute vulnerability?
- ✎ What opportunities exist to reduce acute vulnerability?
- ✎ What are the corresponding options -- the potential courses of action?
- ✎ What existing guidance and tools are available?
- ✎ What are the potential costs, benefits and risks of each? For the most acutely vulnerable? For humanitarian organizations? In the short-term? In the longer-term? Who befits or doesn't from each option?
- ✎ What is the likelihood of success for each option?
- ✎ Given present and expected circumstances, which has the mostly reasonable chance of success?
- ✎ How are different parties likely to react to each of the different options -- government, non-state actors, community groups, donor governments, humanitarian organizations?
- ✎ What arguments are most likely to sell the best option and who needs to make the sell?

Prerequisites for Success:
- ✓ a solid, shared situational awareness;
- ✓ an extensive liaison network with government, non-state actors, community groups, donor governments, development and humanitarian agencies to solicit opinions and persuade.

Essential Actions and / or Outputs:
- ➡ establish a senior-level, inter-cluster coordination fora or an inter-sectoral coordination mechanism to discuss and endorse options;
- ➡ options papers.

☑ *Build a Common Strategy and Implementation Plan*

Key Questions:
- ✎ What is the planning time-frame?
- ✎ What is the right planning tool or tools?
- ✎ Who should be involved in the planning?
- ✎ What is the right timeframe for the plan?
- ✎ Who should the planners consult with?

Prerequisites for Success:
- ✓ a solid, shared situational awareness;
- ✓ an agreed common approach;

Essential Actions and / or Outputs:
- ➡ an agreed planning process and tool (usually a Flash Appeal, CHAP, CAP or a Contingency Plan);
- ➡ agreed coordination mechanisms for planning;

➡ agreed coordination mechanisms with national authorities and donors to coordinate planning and implementation.

☑ *Facilitate Implementation and Monitoring*

Key Questions:
↪ Who is implementing what, where, and is this in alignment with the plan?
↪ Are partners aware of what each other is doing?
↪ What parts of the plan are being funded, and by whom?
↪ What parts of the plan are being underfunded, and why?
↪ Are there any new trends emerging that may affect implementation?

Prerequisites for Success:
✓ a solid, shared situational awareness;
✓ an agreed common approach;
✓ an agreed common strategy and plan;

Essential Actions and / or Outputs:
➡ continued liaison with key stakeholders
➡ an agreed coordination mechanism, or set of mechanisms to facilitate implementation within sectors or clusters and between sectors or clusters.
➡ a system for routinely tracking who is providing assistance;
➡ a system for routinely tracking what aid is delivered where and to whom;
➡ a system for routinely tracking donations;
➡ a system for routinely tracking agreed indicators.

☑ *Develop Shared Lessons Learned*

Key Questions:
↪ What does OCHA and its partners need to learn about the aid effort?
↪ What are the potential learning methods -- lessons learned study, after action review, evaluation? What are the advantages, disadvantages of each?
↪ Who should be involved in the study, review or evaluation?
↪ What is the right timeframe for the study, review or evaluation?
↪ Who should the people conduction the study, review or evaluation consult with?

Prerequisites for Success:
✓ a solid, shared situational awareness;
✓ an agreed common approach;
✓ an agreed common strategy and plan;
✓ an well utilized system for routinely tracking agreed monitoring indicators.

Essential Actions and / or Outputs:
➡ an agreed process, plan and method for drawing collective lessons learned;
➡ an agreed set of learning objectives and questions;
➡ an agreed coordination and governance mechanism to steer and support learning;
➡ an extensive liaison network with government, non-state actors, community groups, donor governments, development and humanitarian agencies to steer follow-up.

Figure 2.

Humanity   **Impartiality**   **Neutrality**   **Independence**

The Five Operational Priorities of an OCHA Country Office:

Build a Shared Situational Awareness

- Who is affected? How? Why ?
- Who are your partners? Who are the parties to the conflict ? What are their capacities ? Interests ?
- What info is needed? Who has it? How can OCHA get it? How should it be managed?
- Who needs it? For what purpose? What info do decision-makers need? How should it be repackaged and disseminated?

Build a Common Approach

- What is constraining efforts to reduce acute vulnerability?
- What are the corresponding options -- the potential courses of action? What are the potential costs, benefits and risks of each?
- How are different parties likely to react to each of the different options?
- What arguments are most likely to sell the best option and who needs to make the sell?

Develop Shared Lessons Learned

- What does OCHA and its partners need to learn?
- What are the potential learning methods? What are the pros and cons of each?
- Who should be involved in the learning process?

In-Country Humanitarian Coordination System

(incl. HCTs, Clusters, Inter-cluster Coordination)

Build a Common Strategy & Plan

- What is the right planning tool or tools?
- Who should be invol-- ved in the planning?
- What is the right timeframe for the plan?
- Who should the planners consult with?

Facilitate Implementation and Monitoring

- Who is implementing what, where, and is this in alignment with the plan?
- Are partners aware of what each other is doing?
- What parts of the plan are being funded, and by whom?
- What parts of the plan are being underfunded, and why?

Information Management   **Policy Development**   **Coordination**   **Advocacy**   **Humanitarian Finance**

-- O C H A's   F i v e   C o r e   F u n c t i o n s --

Part II: Minimum Services

1. This part of Annex A identifies the minimum services and products that a CO needs to provide to meet its Five Operational Priorities as outlined in Section 4, described in Section 5 and detailed in Annex A, Part I. This section should be read in conjunction with the remaining parts of Annex A which provide additional detail on reporting, planning, support to the cluster approach and humanitarian financing.

1.1. Like OCHA's Five Core Functions, some of the services listed in this section support more than one of the Five Operational Priorities of a CO. The priorities supported by each service or product are therefore listed.

Critical to..

1.2. <u>Regular formal and informal contacts are maintained</u> with groups and individuals relevant to the humanitarian effort, including beneficiaries, donors, the host government, militaries, NGOs, non-state actors, the Red Cross Movement and UN Agencies. Relationship-building provides vital information and is critical to ensuring well coordinated humanitarian action.
- ✓ a shared awareness
- ✓ a common approach
- ✓ a shared strategy
- ✓ implementation

1.3. <u>Needs assessments are coordinated</u> and conducted in a participatory fashion and are then used to inform planning, prioritization and resource distribution.
- ✓ a shared awareness
- ✓ a common approach
- ✓ a common plan

1.4. <u>Systematic analysis is conducted or coordinated</u> on risks and developments which impact humanitarian action.
- ✓ a shared awareness
- ✓ a common approach

1.5. <u>A comprehensive picture of the operating environment</u> is maintained and made available to partners. In addition to information on needs, this includes data and analysis on the history, economy, and politics of the country and a comprehensive view of cluster and geographic coverage to identify potential gaps and duplications.
- ✓ a shared awareness
- ✓ a common approach

1.6. <u>Facilitate a shared, humanitarian assessment of security risks</u> and build a common approach to mitigating the risks based (in part) on the *Saving Lives Together* framework for improving security arrangements (adopted by the IASC in Nov. 2006).
- ✓ a shared awareness
- ✓ a common approach
- ✓ implementation

1.7. Information that governments, humanitarian organizations and the public need to stay informed, to make decisions, and to operate effectively is managed and communicated. To this end, <u>a 3W Contact Management Directory and a standard set of information products is produced using approved templates</u>. Please see Annex A, Part VI on Reporting.
- ✓ a shared awareness
- ✓ a common approach
- ✓ a shared strategy
- ✓ implementation

1.8. Humanitarian actors communicate clearly about the humanitarian response strategy, including efforts to uphold relevant norms, standards and policies, in order to encourage policy coherence with governments, other UN entities and other actors and to facilitate an enabling environment for humanitarian action.
- ✓ a common approach
- ✓ implementation

1.9. <u>A Common Humanitarian Action Plan</u> (CHAP), or its equivalent, is in place. The CHAP is current, complete, and based on consensus among relevant humanitarian actors. A related Consolidated Appeal Process (CAP) is carried out as required. The programs presented in the Appeal are consistent with the agreed CHAP. Please Annex A, Part III on Planning for additional information.

✓ a shared strategy

1.10. <u>Contingency plans are in place</u> to deal with additional emergencies or a resurgence of the original emergency that brought OCHA into the country. These plans are regularly updated, include early warning and monitoring arrangements, and are inclusive in their preparation and execution.

✓ a common approach
✓ a shared strategy
✓ implementation

1.11. Effective <u>secretariat support is provided to a Humanitarian Country Team</u> established by the HC in consultation with the ERC.

✓ a common approach
✓ a shared strategy
✓ implementation

1.12. <u>Cluster and inter-cluster coordination mechanisms are in place</u> at the national and (if needed) sub-national levels. These mechanisms address cross-cutting issues as needed and are functioning effectively with clearly identified purposes and leads. Meetings are appropriately structured, facilitated, and attended. Accurate notes summarizing discussions are disseminated in a timely manner to participants and other relevant parties. Please see Annex A, Part IV (Support to the Cluster Approach) for more information.

✓ a common approach
✓ a shared strategy
✓ implementation & monitoring
✓ a shared evaluation

1.13. Efforts to <u>facilitate humanitarian access</u>, including ongoing liaison and negotiation with all relevant State and non-State parties, are carried out (if needed) based on a well-coordinated strategy informed by systematic analysis of factors affecting access.

✓ implementation

1.14. <u>Pooled funds are established</u> (if required) and well managed. Please see Annex A, Part V on Humanitarian Financing.

✓ implementation

1.15. <u>Resource mobilization and distribution</u> is carried out on behalf of the humanitarian community and is <u>consistent</u> with the priorities identified in the CHAP.

✓ implementation & monitoring

1.16. <u>Monitoring and reporting</u> on the CHAP is carried out as required, and the CHAP and CAP are updated when needed.

✓ a shared evaluation
✓ a shared awareness

1.17. <u>An exit strategy for the CO is developed</u> and efforts are made to ensure the transition from relief assistance is adequately addressed.

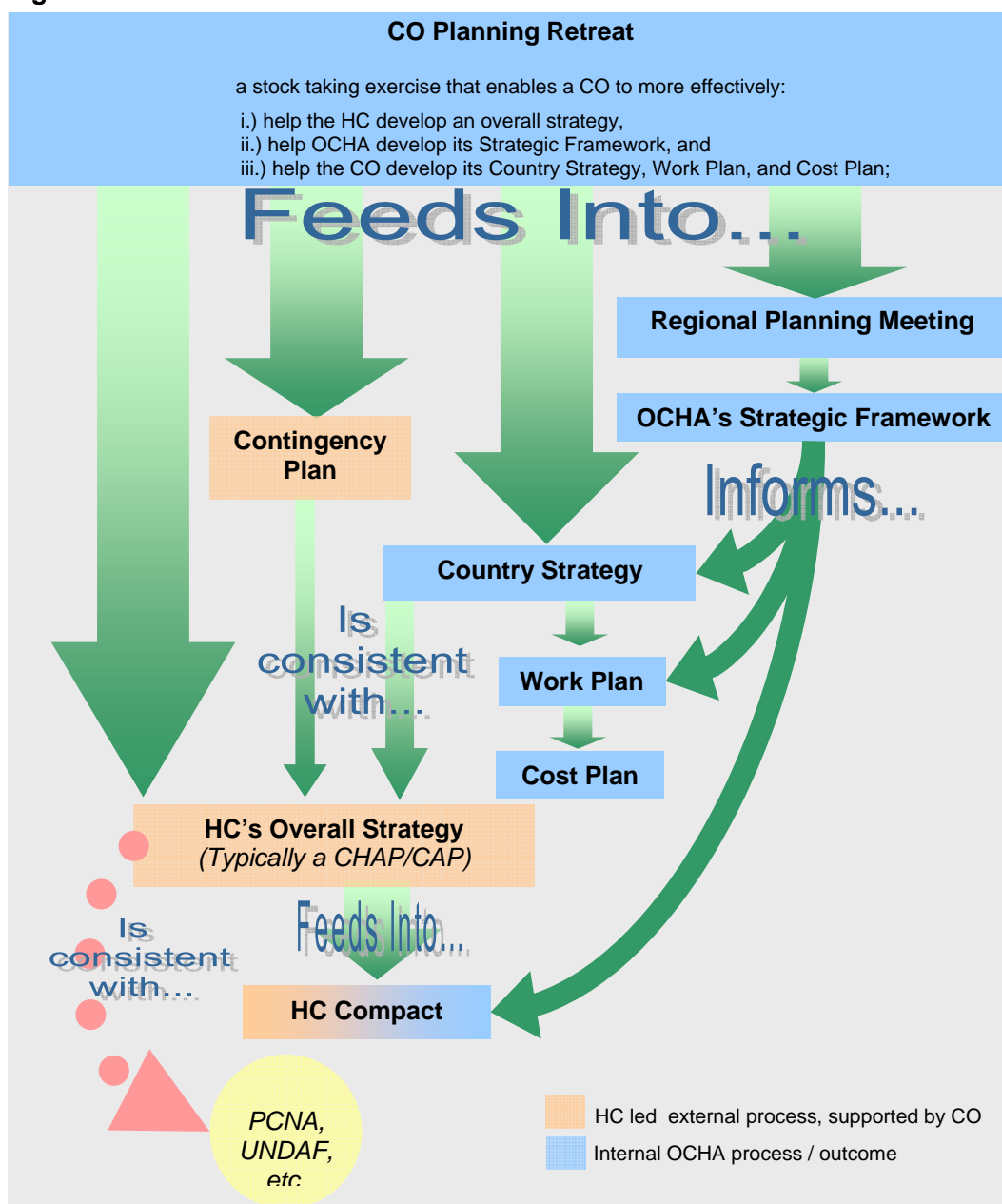✓ a common approach
✓ a shared strategy

Part III: Planning

1. The HC is responsible for initiating and coordinating, in a consultative fashion, the development of an overall strategy for the humanitarian response. He or she will almost always develop this strategy through a CAP which leads to a CHAP. In some circumstances, an equivalent inter-agency, humanitarian planning process may be used, but the CAP is preferred. The overall humanitarian strategy is then reflected in the HC's Compact with the ERC, which guides, as part of the overall strategy, the day-to-day humanitarian work of the HC. According to the HC Terms of Reference, an HC is also responsible for ensuring that response preparedness efforts are coordinated. This may be in the form of an inter-agency contingency plan.

1.1. As indicated in Sections 4 and 5 of this instruction, it is the responsibility of the CO, to help the HC coordinate the development of the overall strategy for the humanitarian response and an interagency contingency plan. In addition, the CO should help the HC ensure that there are effective linkages between the overall strategy and other planning processes such as UN Development Assistance Frameworks (UNDAFs), Post Conflict Need Assessments (PCNAs), Post Disaster Needs Assessments (PDNAs) and integrated mission planning.

1.2. To help the HC coordinate the preparation of the overall strategy, and any inter-agency contingency plan, each CO should hold at least one internal planning retreat per year to i.) take stock of lessons learned, ii.) take stock of the current operating context, iii.) consider expected changes in context, iv.) estimate expected changes in partner capacities and v.) take stock of present and expected coordination needs. OCHA is developing a standard set of planning indicators to aid the CO in carrying out this requirement. These indicators will help the CO build a common approach -- one of the Five Operational Priorities of a CO -- by identifying trends affecting levels of acute vulnerability and potential policy dilemmas affecting the overall humanitarian effort, and OCHA's work in the country.

1.3. The planning retreat will also support CO participation in OCHA's internal, corporate planning processes such as regional planning meetings, the development of OCHA's Strategic Framework, and the completion of three mandatory internal planning documents -- a Country Strategy, a work-plan and a corresponding cost-plan.

1.4. The Country Strategy covers a three year period. In the first and second year it is reviewed and revised as needed. After the third year it is replaced. These strategies should provide a context analysis of the situation in the country, and articulate, in broad terms, the size, focus, organization and work program of the CO based on a "most-likely" projected scenario for the emergency and a summary of how the international humanitarian response will endeavor to change the conditions affecting levels of acute vulnerability.

1.5. The HoO is accountable for the completion of the Country Strategy. He or she must ensure that the HC and HCT is fully consulted. The Country Strategy should be consistent with, and supportive of, any existing overall humanitarian strategy and HC Compact with the ERC. The HoO will also ensure that the strategy is consistent with OCHA's Strategic Framework, and is prepared in consultation with a CRD Section Chief, who should use the internal coordination mechanism required by paragraph 11.2 of this instruction to secure OCHA-wide input and buy-in. All Country Strategies must be approved by the HC and the Director of CRD. In cases where the HC and CRD cannot agree on the substance of a Strategy, the issue will be presented to the ERC for final resolution.

1.6. The Head of Office is also accountable for the development of annual work and cost plans for the CO. Work plans are the basis for cost plans. Work plans for 2011 will only indicate how the

CO will contribute to implementation of OCHA's Strategic Framework. Work plans for 2012 will indicate how the CO will contribute to implementation of both the Strategic Framework and its own Country Strategy. These 2012 work plans will include therefore, at least two types of outputs – those that only contribute to realization of the country strategy and those that contribute to implementation of the Strategic Framework.

1.7. As noted in OCHA's *Policy Instruction on the Relationship Between Humanitarian Coordinators and Heads of OCHA Field Offices*, the HC should be consulted early in the development of the work and cost plans and should not simply be presented with final documents. While the HC does not formally approve the work and cost plans, the HC should concur with their broad direction and ensure that the work and cost plan for the CO is in alignment with the overall strategy for the humanitarian response and his or her Compact with the ERC. Work and cost plans for COs must be approved by the Director of CRD before final approval by the ERC. Revisions should be initiated through CRD and must also be approved by the Director.

Figure 3.

CO Planning Retreat

a stock taking exercise that enables a CO to more effectively:

i.) help the HC develop an overall strategy,
ii.) help OCHA develop its Strategic Framework, and
iii.) help the CO develop its Country Strategy, Work Plan, and Cost Plan;

Feeds Into…

Regional Planning Meeting

OCHA's Strategic Framework

Informs…

Contingency Plan

Country Strategy

Is consistent with…

Work Plan

Cost Plan

HC's Overall Strategy
(Typically a CHAP/CAP)

Is consistent with…

Feeds Into…

HC Compact

PCNA, UNDAF, etc

HC led external process, supported by CO

Internal OCHA process / outcome

Part IV: Support to the Cluster Approach

1. By organizing its work around the Five Operational Priorities outlined in Section 4 of this policy instruction, a CO will be better positioned to support the in-country humanitarian coordination system that was agreed to by the IASC as part of the Humanitarian Reform process launched by the ERC in 2005. In this standard way of working, the cluster approach and pooled funds are used by HCs and more inclusive HCTs which should operate according to the Principles of Partnership. The Five Operational Priorities enable COs to provide a higher quality of support to this agreed way of working. Additionally, as described in Annex A, Part II, COs have particular services they are expected to provide. For example, a CO will provide HCTs with secretariat support. It will establish, facilitate the management of, and administer pooled funding mechanisms. It will promote the Principles of Partnership. It will also, establish and facilitate inter-cluster coordination mechanisms.
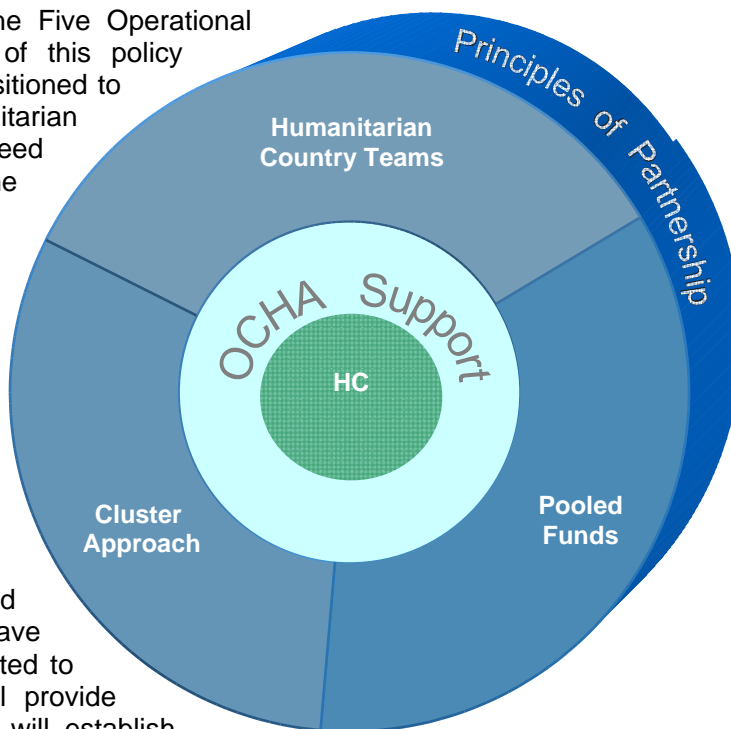
1.1. The Cluster Approach is typically activated very early in a new, sudden-onset crisis, before a CO is established, and in accordance with any agreements outlined in an inter-agency contingency plan. OCHA's role in the activation of the cluster approach is outlined in *OCHA's Policy Instruction on Emergency Response*. Summarized here are a CO's main tasks in supporting and nurturing and effective cluster approach once it has been established:, i.) establishing and managing a forum for inter-cluster coordination, ii.) ensuring the efficiency of coordination mechanisms for the humanitarian response and iii.) facilitating inter-cluster coordination with critical information management.

Inter-cluster Coordination Fora:

1.2. OCHA's principal role, which may require the application of a number of its functions, is to ensure that the work of the various clusters is coordinated with each other and remains consistent with the overall humanitarian strategy for the country coordinated by the HC. To this end, a CO must, as a minimum, establish and nurture a technical or working-level forum for country cluster leads to discuss and propose strategies for ensuring a holistic approach to the response, and integration of cross-cutting issues. To ensure clear, consistent linkages between the operational and strategic levels of humanitarian coordination in the country, this forum should have a formal means to feed into a higher level, strategy/policy-making entity, such as a HCT.

An Effective Set of Coordination Mechanisms:

1.3.   A CO must also work with the HC and the country cluster leads to ensure that the various coordination mechanisms, fora or structures being used for the humanitarian response are rationalized and efficient at both the capital and provincial or district levels. Experience shows, coordination structures can quickly become unsustainable in a crisis. When large numbers of participants in multi-hour meetings covering all sectors become the norm, the group's ability to make critical decisions is undermined. To avoid this ineffective outcome, separate meetings should be utilized to separate technical discussions from general information sharing and strategic decision-making. Specifically, when large numbers of humanitarian actors are present, the following coordination arrangements should be employed.

- ✓ An IASC group with, limited self-selected NGO representation to focus on strategic issues (typically this will be the HCT);
- ✓ An inter-cluster coordination forum to ensure coordination between the secotrs at the technical level and ensure that cross-cutting issues are being adequately addressed;
- ✓ Regular general coordination meetings for information sharing with the broader humanitarian community;
- ✓ Cluster meetings for all relevant sectors.

1.4.   Other structures may be required on a case-by-case basis, including groups dealing with civil-military coordination, thematic issues, donor relations and coordination with local authorities.

1.5.   Coordination however, does not equal meetings. Moreover meetings   should not be conducted as a checklist or held so the OCHA office can tick a box and say something has been accomplished. Meetings must be held for a purpose, be action-oriented, and as short and infrequent as possible.

1.6.   COs must also avoid serving as a secretariat for each cluster as this detracts from OCHA's principle role in the cluster approach, which is to provide effective inter-cluster support.

Facilitating Inter-cluster Coordination with IM:

1.7.   A CO is also responsible for a appropriate level of information management to enable effective inter-cluster coordination as outlined in the Operational Guidance on responsibilities of Sector/Cluster Leads and OCHA in Information Management.

1.8.   The minimum Information management services to be provided or made available are:

- ✓ A virtual or physical space where the humanitarian community can access information resources;
- ✓ Maintenance of common datasets that are used by the majority of clusters;
- ✓ Geospatial data and analysis relevant to inter-cluster decision making;
- ✓ Management of the collection and dissemination of all inter-cluster information;
- ✓ Advocacy for data and information sharing within the humanitarian community as well as the adoption of global data standards;
- ✓ Provision of technical IM advice to clusters on survey design for needs assessments or other significant external data collection exercises; and
- ✓ Access to schedules, agendas and minutes of cluster coordination meetings.
- ✓ Standardized cross-cluster needs and gap analysis that integrates cross cutting issues (as appropriate) based on information provided by the clusters.

1.9. The minimum set of predictable standardized information products to be produced in collaboration with clusters and made available to all are:

- ✓ Contact directories of humanitarian partners and IM focal points;
- ✓ Meeting schedules, agendas and minutes of coordination meetings chaired by the
- ✓ Humanitarian Coordinator or OCHA;
- ✓ Who does What Where (3W) database and derivative products, such as maps;
- ✓ Inventory of relevant documents on the humanitarian situation, i.e. mission reports, assessments, evaluations, etc;
- ✓ Inventory of relevant common Cluster/Sector data sets, including population data disaggregated by age and sex;
- ✓ Data on the humanitarian requirements and contributions through OCHA's Financial Tracking System (FTS)
- ✓ A country-specific or disaster specific humanitarian web-portal;
- ✓ Mapping products.

1.10. To ensure these efforts are carried out in a coherent fashion, a CO may establish an Information Management Working Group at the country level in order to coordinate IM activities and support clusters in their IM activities, including the promotion of best practices.

1.11. As the scale of services and products outlined is lengthy and potentially resource intensive, it is incumbent on the CO to prioritize on the basis of information needs, and the IM capacities of its partners and the CO itself.

Part V: Humanitarian Financing

1. As noted above in Annex A, Part II (on minimum services), a CO is responsible for i.) facilitating use of global funding mechanisms for humanitarian assistance, such as the CERF, and ii.) establishing and managing local pooled funding mechanisms, as needed, such as ERFs and Common Humanitarian Funds (CHFs).

   CERF:

1.1. The CERF is composed of two facilities -- a US$50 million loan facility and a US$450 million grant mechanism, which is further divided into two windows: one for rapid response and the other for underfunded emergencies. Eligible grant recipients include UN operational funds, programs and specialized agencies, and the International Organization of Migration. NGOs are able to receive funding indirectly as implementing partners.

1.2. The rapid response window is designed to address sudden onset crises including new emergencies and protracted or frozen emergencies that begin to deteriorate quickly. The RC, or HC if designated, is responsible for applying to the rapid response window if needed. For new emergencies, he or she will typically be assisted by OCHA's surge capacity staff or and HSU, as new emergencies usually precedes the establishment of a CO. For protracted emergencies, however, a CO will normally be present. If so, the CO will assist the HC by preparing the CERF application for his or her approval, and otherwise facilitating the application process.

1.3. Underfunded emergency grants are provided to core humanitarian activities in longstanding crises to ensure coverage of chronically un- or underfunded activities that are essential for the overall response. These types of grants are provided twice a year to humanitarian emergencies selected by the ERC. Once the country selection has been announced by the

ERC, the HC is responsible for applying to the underfunded emergencies window. Longstanding crises will typically be served by a CO which will assist the HC in the preparation of the grant application.

ERFs:

1.4. An ERF is a locally established pooled funding mechanism, designed to provide rapid and flexible funding to fund projects that meet humanitarian needs. Typically ERFs disburse small allocations -- between US$100,000 and US$250,000. Projects may range from critical assessment work to direct support. ERFs are often designed to make funds rapidly available to national and international NGOs which cannot apply directly to the CERF.

1.5. A CO is responsible for i.) determining if an ERF is needed and advising the HC accordingly, ii.) building support among donors and humanitarian partners locally for the establishment of the fund if it would add value, iii.) requesting approval from OCHA HQ to establish a fund, iv.) developing a concept note using standard procedures set by the Funding Coordination Section (FCS), and finally, if approved, v.) establishing and managing the ERF on behalf of the HC.

1.6. A concept note requesting permission to establish an ERF should include:

- ✓ The objective of the fund
- ✓ The purpose and scope of activities to be funded (with sample projects if possible)
- ✓ The relationship to the CAP/CHAP
- ✓ A clear explanation of the added value of such a fund
- ✓ How it would work to complement/strengthen existing coordination and funding mechanisms in country
- ✓ Endorsement from the HC

1.7. The CO sends the concept note to CRD and FCS for review and approval by the Directors of CRD and OCHA New York.

1.8. In general, once an ERF is established, the following process applies, facilitated by the CO. A project proposal is developed by an NGO or UN agency and is submitted to the CO for review. After its review, the CO submits it to a review board (generally composed of several UN Agencies and NGOs). The review board evaluates the project documentation and then makes its recommendation. At the final stage, projects and recommendations are presented to the HC for approval, the agreements are signed and the grant transfer process is completed. The HC and the Review Board should devise appropriate accountability mechanism, including systems for monitoring and evaluation. Such systems could leverage existing structures such as clusters. Approved projects should then be monitored and evaluated on a regular basis by a small multi-disciplinary team coordinated by the CO.

1.9. Managing an ERF is a significant undertaking for a CO, and should be planned and budgeted for accordingly. At a minimum, one dedicated staff member is typically required and, and at times a unit consisting of one national or international manager, one program officer and one admin/finance assistant.

CHFs:

1.10. Unlike an ERF, which is designed to fund specific projects targeting unforeseen humanitarian needs, a CHF is a locally established pooled funding mechanism that provides timely and predictable funding to core elements of the humanitarian plan in the country. A CHF operates under the overall oversight of an HC.

1.11. Again, a CO is responsible for determining if a CHF is needed and advising the HC accordingly, and then building support among donors and humanitarian partners locally for the establishment of the fund if it would add value. In many cases, a Memorandum of Understanding will have to be negotiated with donors to ensure that they channel funding through the CHF.

1.12. To support the HC in his or her oversight and management function of a CHF, once established, a Programmatic Fund Management Unit and a Financial Fund Management Unit should be established guided in broad terms by an Advisory Group. Whereas the financial unit will typically be established in UNDP, the programmatic unit will be created in the CO and will require significant resources.

1.13. The HC, in collaboration with the programmatic fund unit is responsible for:

- ✓ ensuring the conduct of needs assessments;
- ✓ ensuring the development of an strategic planning framework (CAP or CHAP);
- ✓ providing allocation policy guidelines and strategic direction;
- ✓ defining the level of the Emergency/Rapid Response Reserve and allocating CHF resources according to agreed procedures;
- ✓ ensuring allocations are well-prioritized and needs based;
- ✓ mobilizing resources;
- ✓ approving allocations and disbursements;
- ✓ reporting to donors in accordance with CHF requirements;
- ✓ managing the process of monitoring and evaluating the impact and effectiveness of delivery; and
- ✓ chairing the CHF Advisory Group.

1.14. In addition, the programmatic fund unit is responsible itself for undertaking the following core tasks, which are further described in _____:

- ✓ support the HC and an advisory group in fund design and implementation;
- ✓ facilitate the allocation process;
- ✓ facilitate necessary analysis and research;
- ✓ facilitate necessary review of allocation proposals;
- ✓ manage preparations of CHF reports and ensure that a rolling overview of progress is maintained, on behalf of the HC;
- ✓ serve as a programmatic fund management focal point for cluster/sector leads;
- ✓ link with the Financial Fund Management Unit on disbursement issues;
- ✓ link with humanitarian planning and coordination activities;
- ✓ liaise with stakeholders;
- ✓ provide support to the CHF advisory group;
- ✓ daily management of fund activities (including follow up and support on revision, reprogramming, quality control of meeting minutes, etc.);
- ✓ information management and dissemination;
- ✓ compile and consolidate programmatic reports from participating organizations;
- ✓ support monitoring and evaluation activities including external fund evaluations.

Part VI: Reporting

1. As noted in Annex A, Part II on minimum services, a CO is responsible for managing and communicating information that its partners and the public need to stay aware and informed, to make decisions and to operate effectively. In addition, the CO is responsible for crafting and disseminating messaging that will help the HC build an implement a shared strategy that will save lives and restore livelihoods. To fulfill these responsibilities, a CO is expected to produce the following minimum set of standard information products based on solid, sourced and verifiable data, information and analysis.

	Frequency	Owner	Audience	Purpose
Humanitarian Bulletins / Humanitarian Updates	Weekly, twice per month or monthly as needed.	HoO on behalf of the ERC	External	Information Sharing
Situation Reports	Daily, every other day, or every third day as need, but only during the onset phase of a new emergency or deterioration of an existing emergency.	HoO or the Director of CRD on behalf of the ERC	External	Operational Coordination
Press Releases	As needed.	Typically the HC	External	Critical information or policy position
CO Internal Weekly Report	Weekly	HoO	Internal	Information sharing, operational coordination, requesting HQ action.
Field Key Messages	As needed.	HC	External and Internal	Critical information or policy position

Products for External Audiences:

Humanitarian Bulletins/Humanitarian Updates

1.1. Every CO will produce and disseminate a regular overview of humanitarian needs and action using approved templates. Weekly or twice-per-month overviews should be labeled "Humanitarian Bulletins." Monthly overviews should be labeled "Humanitarian Updates." The frequency of publication is at the discretion of the Head of the CO depending on the information and reporting capacities of the office, the information and analysis needs of OCHA's external partners, and the extent to which humanitarian needs and action are changing. In general, more frequent change requires more frequent publication. A monthly publication however, is considered the absolute minimum. The aim of the overviews is to share information and analysis. It does not need to include enough detail to coordinate operations.

1.2. Please note, regular overviews should never be called Situation Reports. In OCHA's reporting system, the term Situation Report is reserved for concise operational documents issued during the acute phase of the emergency.

Situation Reports

1.3. In the event of a new, sudden-onset emergency or a resurgence of the existing crisis, the provisions of OCHA's Policy Instruction on Emergency Response will apply. According to

these, a CO will prepare a Sit Rep for the emergency. A Sit Rep is a concise operational document intended to support the coordination of humanitarian response in a crisis. The first Sit Rep should be issued within 24 hours of the emergency. For non-corporate emergencies, the Sit Rep is cleared by the HoO and issued in the field to a local audience and copied to the Desk Officer. For corporate emergencies, the Director CRD will notify the HoO that the Sit Rep will be cleared through HQ. If an UN Disaster Assessment Coordination (UNDAC) team is deployed, the UNDAC Sit Rep (an internal report for the disaster response community), should be used as a source for the OCHA Sit Rep.

<u>Press Releases</u>

1.4. Press Releases should be issued strategically and only when they address a newsworthy development such as i.) highlighting the humanitarian community's response at the onset or escalation of an emergency, ii.) announcing the launch of an appeal or report, iii.) stating a position or iv.) reporting on a high-level mission. Typically these will be prepared to go out in the name of the HC. On occasion however, there may be cause to issue these in the name of the CO, particularly if the office is large and headed by a senior staff member. Per OCHA's Policy Instruction on the Relationship Between Humanitarian Coordinators and Heads of OCHA Field Offices, the HoO is responsible for clearing all press releases, except those issued in the name of the HC, which will be cleared by the HC through the HoO. It is incumbent on the HoO however, to alert the HC and seek his or her concurrence on publication if a press release issued by the CO addresses potentially controversial issues. Please note, Press Releases can be based on the ERC Key Messages and Field Key Messages described below.

Products for Internal Audiences:

<u>CO Internal Weekly Report</u>

1.5. Each CO will prepare a CO Internal Weekly Report using an approved template. This report provides managers and staff in HQ with a concise summary of key developments, OCHA's response activities, key missions and actions required by HQ. COs must submit their internal weekly report to their CRD Desk Officer and Section Chief by Tuesday each week.

Dual Use Products:

<u>Field Key Messages</u>

1.6. Field Key Messages articulate the official position of the HC regarding an acute crisis or chronic emergency. The main audiences for Field Key Messages are the HCT, OCHA staff working on or in the country or region concerned, United Nations Information Centers and other partners. They are prepared by the CO for the HC and enable OCHA to help him or her shape communications so that the HCT speaks with a unified voice. Field Key Messages may be used by the CO as a basis for Press Releases, and by HQ as a basis for ERC Key Messages.

ANNEX B. Establishing and Organizing a CO

Part I: Establishing a CO

Phasing

Before the Emergency

1.   In nearly all cases, a CO will be preceded before the onset of the emergency by some type of OCHA preparedness activity as indicated in Figure 4 such as remote assistance to the RC, missions to support contingency planning or the deployment of an HSU.

During the Onset of the Emergency

1.1.   In nearly all cases, a CO will also be preceded during the onset of the emergency by some type of OCHA field deployment, as also indicated in Figure 4. In slow-onset emergencies, this will typically be an HSU that was initially established to carry out preparedness work but later became responsible for response coordination as the situation deteriorated. In sudden-onset emergencies, surge capacity will typically precede the CO. When the emergency occurs, OCHA will categorize it within 72 hours as a minor, major or corporate emergency as outlined in OCHA's Policy Instruction on Emergency Response. For major and corporate-level emergencies, staff will be deployed through one or more of OCHA's surge capacity mechanisms, including RO rosters, the UNDAC system, and the Emergency Response Roster. As indicated in the emergency policy instruction, these mechanisms may provide up to eight weeks of OCHA's initial response.

Figure 4.
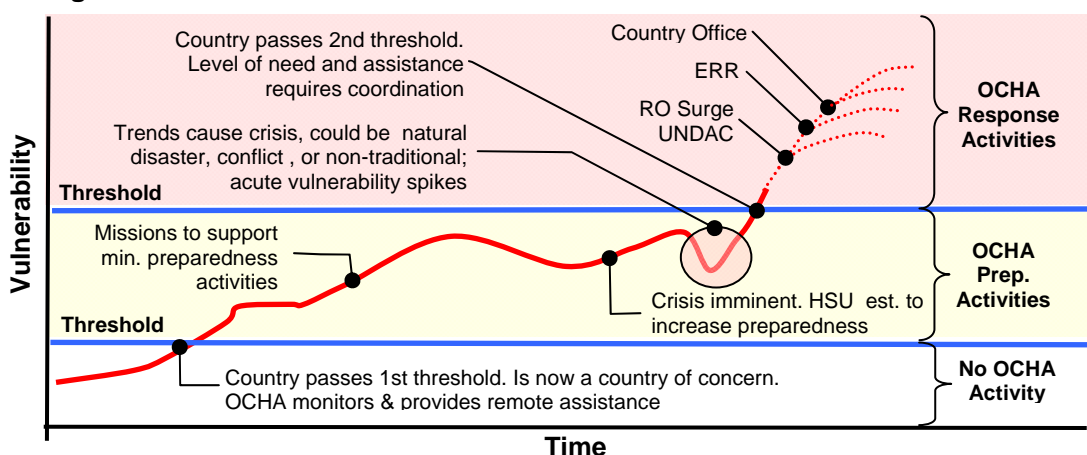
After the Onset of the Emergency

1.2.   For corporate emergencies, the surge capacity staff will almost always be replaced by a CO, as the emergency will certainly fulfill the criteria outlined in Section 6 for the establishment of a CO. According to the Policy Instruction on Emergency Response, a corporate emergency is a situation resulting in widespread destruction, devastating loss of life, and widespread displacement and disruption of a society's ability to function. This will require massive international assistance and coordination of the international response. An HC will be designated. The cluster approach will be activated. There will be a Flash Appeal followed by a

CAP. Moreover, the extensive destruction and disruption to society will mean that a quick shift to recovery is unlikely. Instead, a protracted emergency will ensue, requiring longer-term emergency management and the services of a CO.

1.3. For major emergencies, however, OCHA's surge capacity staff may be replaced by either a CO or an HSU. According to the Policy Instruction on Emergency Response, a major emergency is a situation resulting in human and material loss both locally and in some instances throughout many parts of a country. Populations are displaced and there is a significant disruption of the society's ability to function. While this will certainly require international assistance, the designation of an HC, the activation of the cluster approach, the issuance of a Flash Appeal and coordination of the international response, there may also be sufficient remaining government or national capacity for a quick recovery to ensue. If this is the case, an HSU may be the best option to replace OCHA's surge capacities. A lack of national or government capacity, on the other hand, may delay the move to recovery and require a longer period of humanitarian assistance, in which case a CO may be needed. Conflict situations will also typically require a longer-term presence and a CO.

1.4. As for minor emergencies, these do not typically require surge capacity or a CO. As defined in the emergency policy, they typically result in minimal human loss and population displacement, and limited disruption of a society's ability to function. They do not require international assistance or coordination of the international response.

1.5. The following diagram (Figure 5.) summarizes the typical progression of OCHA field units for minor, major and corporate emergencies. Figure 6. on the following page illustrates some of the potential, generalized pathways a situation can unfold, and when a CO might be established.

Figure 5.

Figure 6.

PHASE:	PRE-CRISIS		ONSET	PROTRACTED CRISIS	TRANSITION	POST-CRISIS
TYPE OF RESPONSE:	Development	Early Warning & Prevention	Emergency Response	Emergency Management	Transition Planning	Development

CO Established Resurgent or Additional Emergency Phase Down to HSU

Normalcy — Increased Risk — Slow Onset / Sudden Onset — Stasis — Increased Risk — Slow Onset / Sudden Onset — Opportunities for Improvement — Recovery — Normalcy

Risk Subsides

Potential Range of OCHA Operations

Notes:

- As indicated by the arrows in this diagram, crises are not linear. A crisis may become protracted or resolve quickly. A transition can collapse and be followed by another emergency period. A protracted crisis may involve several emergency periods before transition and a post crisis period finally takes hold. It is important for a CO to recognize these trends as they are occurring and to help the HC and HCT plan accordingly.

- A new emergency response lasts from the moment events triggers a crisis, up to 6 months thereafter, at which point the situation will start to resolve and enter a transition or it will become protracted. An emergency response prompted by a resurgent or additional emergency, also lasts from the moment events trigger a crisis, up to 6 months thereafter, at which point, opportunities for improvement may appear, or the situation will return to its previously protracted state.

- Stasis means the crisis has stabilized. It is not getting worse and it's not getting better. It has become frozen and protracted.

Decision Making:

2.   As noted above, the first eight weeks of OCHA's initial response to a major or corporate emergency will be provided by staff deployed through OCHA's surge capacity mechanisms. During this eight week period, OCHA is required, per the terms of the Policy Instruction on Emergency Response, to develop its own response strategy for the emergency. This strategy should give an indication of 1.) the coordination needs and what OCHA intends to achieve, ii.) how long it expects to be present, iii.) the size and nature of its footprint in the country, iv.) which, if any, funding and programming mechanisms it intends to apply, v.) the indicators it will use to adjust its strategy and vi.) its plans for exiting the country. Determining if a CO should be established is part of this strategy development process.

2.1.   For major and corporate emergencies, the Deputy Director of CRD is responsible for strategy development. He or she will work through an Emergency Task Force (ETF), chaired by the Director of CRD to ensure a whole-of-organization approach. The Director must approve the resulting strategy, including whether or not OCHA should establish a CO. For minor emergencies, a CRD Section Chief is responsible for ensuring that an adequate response strategy is developed. He or she will coordinate the development of the strategy with the rest of OCHA through routine, internal coordination mechanisms. The Director of CRD must approve the resulting strategy. As noted above however, minor emergencies do not typically warrant a CO.

2.2.   For slow-onset emergencies, a CRD section chief is also the party responsible for ensuring that an adequate response strategy is developed. This should include a recommendation on whether or not any HSU present in the affected country should be expanded to a CO. To aid and structure decision-making, the Section Chief will prepare a short proposal clearly indicating i.) the rationale for expanding to a CO, ii.) the goals and priorities of the proposed office, iii.) its size and structure and iv.) the potential costs and benefits to OCHA. He or she will coordinate the development of the strategy with the rest of OCHA through routine, internal coordination mechanisms. The Director of CRD must approve the resulting strategy.

Part II: Determining Size

1.   The following are the factors that will typically have the biggest influence on the shape of a CO: i.) the scale and nature of the emergency, ii.) the phase of the emergency, iii.) the geography of the country, iv.) the operations of potential partners and v.) whether or not the operating environment enables humanitarian action, which itself it determined by the strength of the host government and its willingness to support humanitarian operations, the size, complexity, role and activities of any domestic or international military forces, how well various interest groups in the country accept humanitarian action, and the extent of insecurity in the country.

1.1.   While these factors will interact with one another to produce a unique operating environment, experience suggests that most of the contexts OCHA encounters can be effectively addressed by one of three differently focused and configured types of Country Office In many instances, a small office with a cadre of generalists, no sub-offices or antennae, no specialized units and a budget of no more than $3.0M should be sufficient to effectively carry out the roles and responsibilities outlined in this policy instruction. In others, sub-offices or specialized staff and dedicated units may be needed to fulfill the roles and responsibilities of a CO. The need for specialized staff and sub-offices may produce a budget in the range of $7.0M. Finally, in a small number of situations, extra security measures and efforts to reduce security risks, such as enhanced negotiation and advocacy may be needed to address highly insecure

environments in large countries. In such situations an operating budget of more than $7.0M may be needed.

	Specialized Units	Sub-offices / Antennae	Approximate Budget
Small	None	None	Up to $3.0M
Medium	Some	Present	Up to $7.0M
Large	All	Present	More than $7.0M

1.2. The flow chart on the following page organizes a series of key questions that OCHA should ask to begin roughly determining the appropriate size of a CO. These questions will help draw out whether some of the factors noted above suggest the need for a relatively larger or smaller OCHA presence. This flow chart is meant to aid context analysis and planning. It is not meant to be prescriptive or replace in-depth thinking and strategic decision-making. In this sense, it is a starting point, not an end. The response strategies called for by the *Policy Instruction on Emergency Response*, and referred to in Annex B, Part I of this document, are the best means for thinking through the appropriate size and configuration of a CO in a new emergency. Similarly, the country strategies highlighted in Annex A, Part III of this instruction are the best means for adjusting the size of existing offices.

1.3. Users interested in determining the size of a new CO should start with Step 1. Users interested in adjusting the size of an existing CO or HSU should start with Step 2. In Step 2, when it asks 'was step 1 a large, medium, or small CO, or an HSU,' users should answer based on the current size of the CO.

1.4. The key questions and assumptions used in the flow chart are listed here. Please note, these assumptions are based on what typically happens. They are not meant as iron-clad rules. Exceptions abound.

   ✪ Step 1 -- What is the scale of the emergency (corporate / major / minor)?
      ▪ *In general, if OCHA designates an crisis as a corporate or major emergency there are large-scale needs and many humanitarian organizations operating at a high tempo. Consequently, there will typically be a need for a larger OCHA office.*

   ✪ Step 2 -- Does the government have capacity to deliver or coordinate assistance?
      ▪ *In general, if the government does have capacity, this will decrease the need for a larger OCHA office, except in conflicts, in which case the government's capacity may not be available because it may be a party to the conflict. Be sure to consider the size, complexity, role and activities of any domestic military forces when answering this question.*

   ✪ Step 3 -- Is the country large or rugged, or is the emergency far from the capital?
      ▪ *In general, if the country is large or rugged and the emergency is far from the capital -- as in DRC, then OCHA will need multiple sub-offices to carry out its roles and responsibilities. Consequently, the office will be larger.*

   ✪ Step 4 -- Is the government supportive or accepting of humanitarian action?
      ▪ *In general, if the government is not supportive of outside humanitarian assistance, as in Zimbabwe or North Korea, OCHA's range of operations will be more restricted. Consequently, the CO may be relatively small regardless of the scale of human suffering. Be sure to consider the size, complexity, role and activities of any domestic military forces when answering this question.*

   ✪ Step 5 -- Is this an insecure environment?
      ▪ *In general, the more insecure the environment, the more steps OCHA will need to take to reduce the level of risk faced by its staff and ensure MOSS and MORSS compliance. These additional steps typically increase the size and cost of the office.Be sure to consider the size, complexity, role and activities of any domestic or international military forces when answering this question.*

Determining the Size of a Country Office -- Steps 1 through 3

Step 1: Scale

Step 2: Government Capacity

Step 3: Size, Terrain, Proximity

START

Assume a medium or large CO

YES

Was it a corporate emergency?

NO

Was it a major emergency?

YES

Assume a medium or small CO or an HSU

NO

This must have been a minor emergency.

STOP No CO or HSU!

Does gov. have the capacity to deliver or coordinate assistance?

NO

YES

Is this an armed conflict or non-traditional crisis?

YES

NO

This is a natural disaster.

Was step 1 a medium or large CO?

YES

Suggests a need for a bigger office

More for humanitarians and OCHA to do.

Assume gov. capacity is not available because gov. is a party to the conflict or situation.

Assume whatever capacity gov. has is available.

Less for humanitarians and OCHA to do.

Suggests a need for a smaller office.

Was step 1 a medium or large CO?

NO

YES

Now assume a large CO.

NO

Now assume a medium CO

This means step 1 was a medium or small CO or an HSU

This means step 1 was a medium or small CO or an HSU

Now assume a small CO

Now a assume a medium CO

Suggests a need for a bigger office

Assume more sub offices are needed

YES

Is the country large or rugged, or is the emergency far from the capital?

NO

Assume there is little need for sub offices

Suggests a need for a smaller office.

Was step 2 a large CO?

YES

NO

Was step 2 was a medium CO.

YES

NO

This means step 2 was a small CO.

Now assume a large CO.

Now assume a medium CO

This means step 2 was a small CO.

Now assume an HSU

Was step 2 was a medium CO.

YES

NO

Now assume a small CO

Was step 2 a large CO?

YES

Now assume a medium CO

GO TO STEP 4

Page 1

Determining the Size of a Country Office – Steps 4 and 5

Step 4: Support and Acceptance

Step 5: Security Environment

Part III: Staffing and Structure

1. To fulfill the roles and responsibilities set forth in this policy in a predictable and effective manner that will meet the expectations of OCHA's partners, staff are needed in each of the following fields focused on the duties noted:

- ☑ Information Management
  - ↳ to collect, organize, and manage data;
  - ↳ to supporting IM with IT;

- ☑ Analysis
  - ↳ to identify trends, issues, options; to do big-picture thinking;

- ☑ Coordination
  - ↳ to facilitate the common humanitarian program cycle;
  - ↳ to support the cluster approach and the other elements of the in-country humanitarian coordination system;
  - ↳ to provide substantive direction to sub-offices, if applicable;

- ☑ Communications
  - ↳ to convey information and messages via public information and reporting;

- ☑ Admin & Finance
  - ↳ to administer contracts, manage office finances, etc.;
  - ↳ to administer ERFs, etc.;
  - ↳ to provide operational support to sub-offices, if applicable.

1.1. For a small CO, this translates into the following <u>minimum</u> complement of professional staff. If fewer staff are needed, OCHA should consider if the situation is better addressed with an HSU:

Functional Title	Level
Head of Office	P-5
Deputy Head of Office / Senior Humanitarian Affairs Officer	P-4
Information Management Officer	P-3
Coordination Officer	P-3
Communications Officer	P-3
Administrative	NO/P3

1.2. For medium and large COs, the some or all of the following specialized staff may also be needed. Please note, this list is not exhaustive.

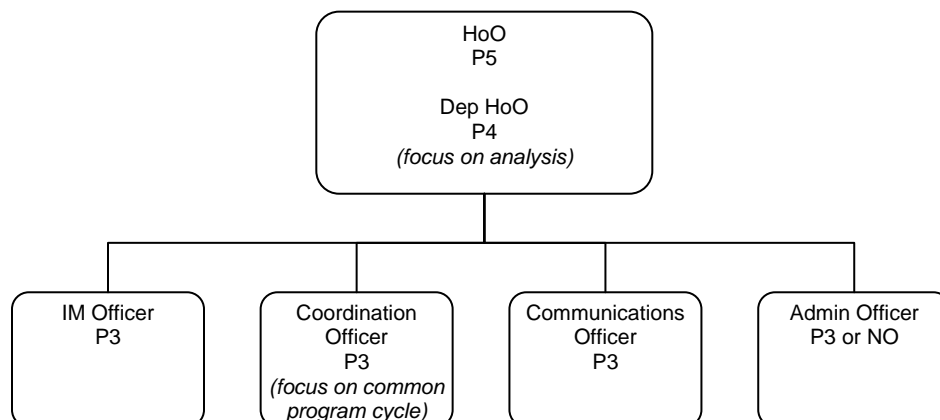| Functional Title	Level
Head of Sub-Office	P-4
HAO Humanitarian Financing	P-3/P-4
HAO, Needs Assessment Coordination	P4
HAO Policy, Planning and Evaluations	P-3/P-4
HAO Protection	P-3/P-4
HAO Logistics	P-3/P-4
GenCAP Advisor	P-3/P-4
ProCAP Advisor	P-3/P-4
UN Civil-Military Coordination Officer	P-3/P-4

1.3. For large and some medium-size offices, the level for some positions should be adjusted upwards commensurate with the greater complexity of the office. For example:

Functional Title	Small	Medium	Large
Head of Office	P5	P5	D1
Deputy Head of Office / Sr. HOA Officer	P4	P4	P5
Administrative/Finance Officer	NO/P3	P3	P4
Public Information/Reports Officer	P3	P3/P4	P4
Head of Sub-Office	n/a	P4	P4/P5
UN Civil-Military Coordination Officer	n/a	P3/P4	P4
HAO Humanitarian Financing	n/a	P3/P4	P4
HAO Policy, Planning and Evaluations	n/a	P3/P4	P4
HAO Protection	n/a	P4	P5

1.4. Notwithstanding the uniqueness of each crisis, the following are the scenarios most often faced by OCHA, and the corresponding size and focus of the Country Office. These are indicative and illustrative only.

☑ Major sudden onset emergency with a strong and supportive government…

↳ Small Country Office focused on assessments, communications, establishing and providing ongoing support to coordination mechanisms to facilitate response and transition.

☑ Major sudden onset disaster with a strong and unsupportive government or a weak government…

↳ Medium Country Office with protection specialists, specialized units, and sub-offices if access permits, with relatively more focus on advocacy, access negotiations, extensive field coordination, solution-oriented planning.

☑ Non-traditional crisis or small conflict with a weak but supportive government …

↳ Small Country Office focused on assessments, communications, establishing and providing ongoing support to coordination mechanisms to facilitate response and flash appeals.

☑ Conflict in a small to medium sized country without an enabling environment…

↳ Medium Country Office with protection specialists, specialized units, and sub-offices relatively more focus on advocacy, access negotiations, extensive field coordination, some civil-military coordination, solution-oriented planning.

☑ Conflict in a large, geographically diverse country without an enabling environment and high insecurity… (for example: Sudan)

↳ Large Country Office with protection specialists, specialized units, and sub-offices relatively more focus on advocacy, access negotiations, extensive field coordination, solution-oriented planning, and civil-military coordination.
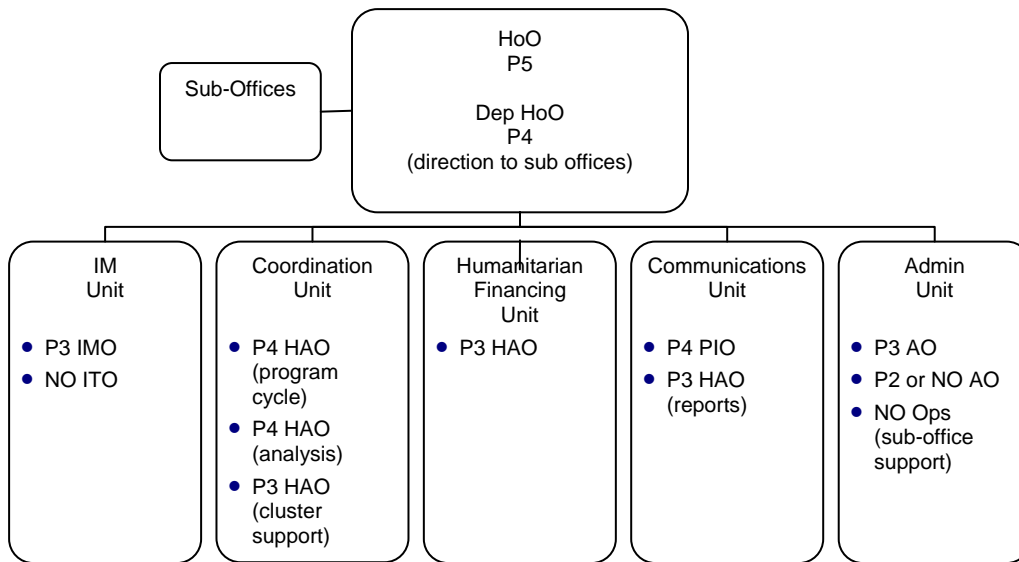
1.5. In a small office, there is typically no need for specialized units. Staff should be organized as follows:

```
                        ┌──────────────────┐
                        │       HoO        │
                        │        P5        │
                        │                  │
                        │     Dep HoO      │
                        │        P4        │
                        │ (focus on analysis) │
                        └──────────────────┘
                                 │
        ┌────────────────┬───────┴────────┬────────────────┐
┌───────────────┐ ┌───────────────┐ ┌───────────────┐ ┌───────────────┐
│  IM Officer   │ │ Coordination  │ │Communications │ │ Admin Officer │
│      P3       │ │    Officer    │ │   Officer     │ │   P3 or NO    │
│               │ │      P3       │ │      P3       │ │               │
│               │ │(focus on common│ │               │ │               │
│               │ │ program cycle)│ │               │ │               │
└───────────────┘ └───────────────┘ └───────────────┘ └───────────────┘
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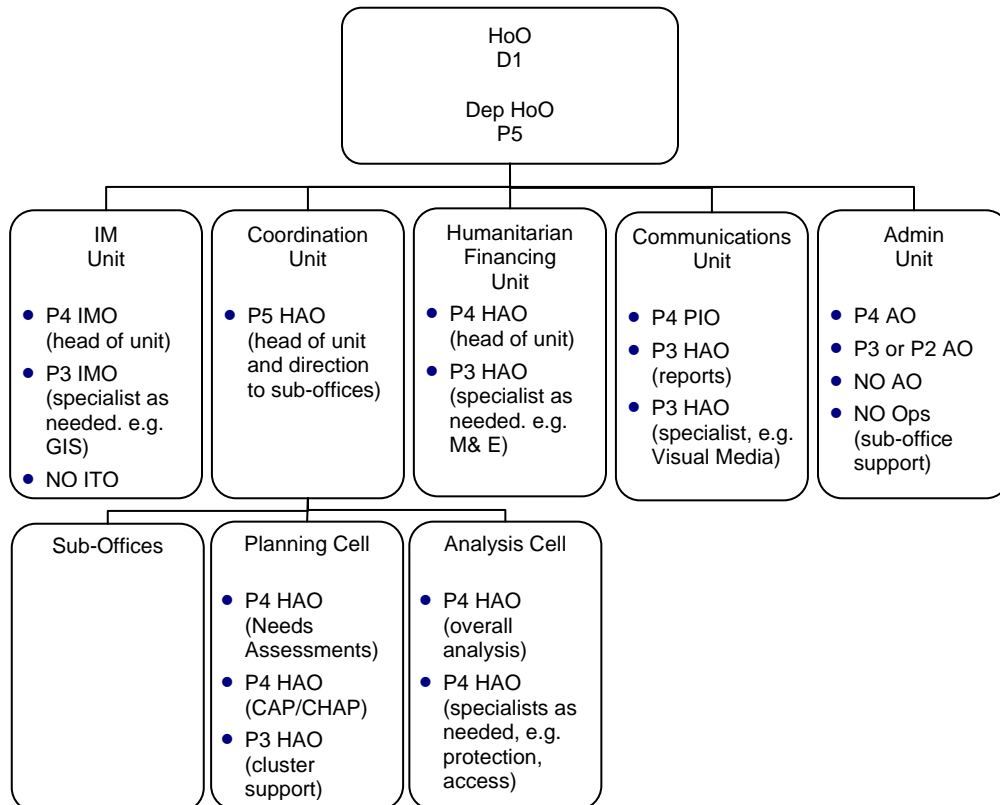
1.6. In medium and large offices, specialized units will typically be needed. For organizational consistency, the following standard units and unit names should be employed as needed:

- Information Management Unit
- Coordination Unit
- Humanitarian Finance Unit

- Communications Unit
- Administrative Unit

1.7. Please note, while all units must work together to provide adequate support to the in-country humanitarian coordination system, the Coordination Unit is responsible for organizing and managing support to the cluster approach, the inter-cluster coordination fora and any other coordination mechanism that may be needed. It is also responsible for helping the HC an HC ensure that the in-country humanitarian coordination system has bought into a sound strategy and a coordinated common humanitarian program cycle that links preparedness, needs assessment and analysis, joint planning, resource allocation, monitoring and evaluation. In carrying out these activities, the Coordination Unit will provide substantive support to any sub-offices or antennae. Operational support for sub-offices and antennae should however, be provided by dedicated capacity in the Admin Unit.

1.8. Using these standards, a typical medium-size office will be constituted and organized as follows. The HoO and Deputy HoO will need to ensure there is a clear division of labor between them. In particular, they should clarify who is responsible for oversight of the various units in the office. It is recommended that sub-offices report to the Deputy HoO on substantive issues and receive operational or logistical support from the Administrative Unit which should include a dedicated Operations Officer for this task.

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┌──────────────┐        ┌─────────────────────────┐
│  Sub-Offices │────────│  HoO                     │
│              │        │  P5                      │
└──────────────┘        │                          │
                        │  Dep HoO                 │
                        │  P4                      │
                        │  (direction to sub offices)│
                        └─────────────────────────┘
```

IM Unit	Coordination Unit	Humanitarian Financing Unit	Communications Unit	Admin Unit
• P3 IMO • NO ITO	• P4 HAO (program cycle) • P4 HAO (analysis) • P3 HAO (cluster support)	• P3 HAO	• P4 PIO • P3 HAO (reports)	• P3 AO • P2 or NO AO • NO Ops (sub-office support)

1.9.   Finally, using the standard units noted above, a typical large-size office will be constituted and organized as follows. Again, the HoO and Deputy HoO will need to ensure there is a clear division of labor between them. In particular, they should clarify who is responsible for oversight of the various units in the office. In this case, it is recommended that sub-offices receive their substantive support from the head of the Coordination Unit. Operational support should continue to be provided by the Administrative Unit, which should again include a dedicated Operations Officer for this task. Also, please note that in the case of large offices, the Coordination Unit should be organized into two cells -- on focused on facilitating planning and the common humanitarian program cycle, the other focused on analysis.

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                        ┌─────────────────────────┐
                        │  HoO                     │
                        │  D1                      │
                        │                          │
                        │  Dep HoO                 │
                        │  P5                      │
                        └─────────────────────────┘
```

IM Unit	Coordination Unit	Humanitarian Financing Unit	Communications Unit	Admin Unit
• P4 IMO (head of unit) • P3 IMO (specialist as needed. e.g. GIS) • NO ITO	• P5 HAO (head of unit and direction to sub-offices)	• P4 HAO (head of unit) • P3 HAO (specialist as needed. e.g. M& E)	• P4 PIO • P3 HAO (reports) • P3 HAO (specialist, e.g. Visual Media)	• P4 AO • P3 or P2 AO • NO AO • NO Ops (sub-office support)

Sub-Offices	Planning Cell	Analysis Cell
	• P4 HAO (Needs Assessments) • P4 HAO (CAP/CHAP) • P3 HAO (cluster support)	• P4 HAO (overall analysis) • P4 HAO (specialists as needed, e.g. protection, access)

Part IV: The Work of Sub-Office and Antennae

1.   A CO should establish sub-offices and antennae as close as possible to the point of humanitarian action. Typically this means that sub-offices should be established in provincial or regional centers where the following criteria are met. First, there is a significant number of beneficiaries or humanitarian actors, meaning two or three operational UN agencies and more than five operational NGOs. Second, there should be a need for humanitarian coordination support. These criteria are not intended to be prescriptive. Instead they are to foster adequate decision-making by ensuring that certain factors are considered when decided whether to open a sub-office.

1.1.   Antennae should be established where OCHA needs to serve as a rally-point -- pulling in humanitarian actors to address unmet humanitarian needs -- or where a limited field-based liaison or monitoring and reporting capacity is required.

Sub-Office:

1.2.   Sub-offices are responsible for applying OCHA's Five Core Functions to carry out the following priority activities: i.) collect sourced data and information on the nature and scale of the emergency; ii.) facilitate evidence-based needs assessments iii.) establish and lead coordination mechanisms; iv.) interface with local authorities and other stakeholders, v.) facilitate access, and vi.) lead rapid response mechanisms.

1.3.   When the number of organizations present is low, sub-offices should lead general coordination mechanisms that include all relevant clusters. Doing so should foster inter-cluster coordination. These general coordination mechanisms should operate according to the Principles of Partnership. When a large number of humanitarian actors are present, a more sophisticated structure is typically required given that strategic discussions and decision-making usually become more difficult when general coordination mechanisms grow large. While the exact coordination structure should be tailored to the context, the sub office should typically establish a local HCT to focus on strategic issues. This local HCT should include no more than three or four, self-selected NGO representatives. Typically, the sub-office should also establish, in consultation with country cluster leads, a regular series of local cluster meetings for relevant clusters to separate technical discussions from general info-sharing and overall strategic decision-making. Finally, an inter-cluster coordination fora may be needed to carry out technical discussions between clusters.

1.4.   At the local level, the HC functions may be carried out in one of three ways:

- ➲ The HC may designate an agency staff member to be his or her representative;
- ➲ The ERC may, in some limited cases, designate a Deputy HC and assign him or her responsibility to for the area in which the sub-office is located;
- ➲ The Head of the Sub-Office may serve as a *de facto* representative of the HC, recognized by the local humanitarian community and the authorities as the main focal point for general humanitarian issues.

1.5.   In the event the ERC appoints a Deputy HC, or the HC designates an agency staff member to be his rep, the relationship between this person and the head of the sub-office will follow the general principle that guides the relationship between an HC and the Head of the CO as outlined in OCHA's Policy Instruction on the Relationship Between Humanitarian Coordinators and Heads of OCHA Field Offices. This means, the Deputy HC or rep will provide strategic guidance to the head of the sub-office but the head is responsible to OCHA for day-to-day

management. In keeping with paragraph 9.4 of the same OCHA policy, Deputy HCs and HC reps will also have no role in the performance appraisal of the head of the sub-office.

1.6. Sub-offices should be headed by a national or international professional and have a distinct identity, although this does not rule out the sharing of premises with other organizations -- particularly in contexts with high security risks to facilitate MOSS and MORSS compliance. Sub-offices may supervise additional sub-offices or antennae.

Antennae:

1.7. OCHA antennae are responsible for applying OCHA's Five Core Functions to carry out the following priority activities: i.) collect sourced data and information on the nature and scale of the emergency; ii.) facilitate evidenced-based needs assessments iii.) interface with local authorities and other stakeholders, and iv.) lead rapid response mechanisms. By carrying out these activities, the antennae will help the CO as a whole with advocacy and humanitarian finance activities that will help pull in humanitarian actors to address unmet humanitarian needs.

Focal Points:

1.8. In some situations, there may be a number of operational partners operating in a remote area who are unable to participate in OCHA's capital or even provincial-level coordination mechanisms, but not enough to warrant the establishment of a sub-office. In these cases, OCHA should either send regular missions to the area to carry out general coordination meetings, or should designate a focal point (UN or NGO) to do the same. If the latter method is used, OCHA must assist that focal point with information, organization and logistics support, and ensure that they are integrated into broader regional or national coordination structures.

Part V: Management Responsibilities of the HoO

1. To carry out the work described in Section 5 and provide the minimum services in Annex A, Part II, a CO needs effective management including human resources, finances, property management, and administrative and narrative reporting with the support of the Administrative Office (AO). To ensure effective management, Heads of COs are delegated authority to carry out the following responsibilities:

   ⮚ The HoO is responsible for ensuring that reporting lines and accountabilities within the CO and its sub-units are clear, and clearly articulated in an organizational chart for the CO approved by the ERC through the Director of CRD. This will aid supervision and compliance with e-PAS requirements. Standard organizational charts for small, medium and large offices are provided in Annex B, Part III.

   ⮚ The HoO is responsible for ensuring that international staffing requirements are reviewed at least quarterly and where possible, 3 months notice is given to HQ of foreseeable staffing changes. OCHA HoOs should also ensure they are aware of OCHA's world-wide requirements for quality international staff as provided by the EO, AO or CRD and make recommendations on potential candidates.

   ⮚ The HoO is responsible for ensuring that an e-PAS is completed for all professional staff members in the CO -- international and national -- based on an approved work plan for the CO.

➲ The HoO is responsible for ensuring that regular staff meetings are held. Briefings should be provided to all staff on the office's priorities. Issues of concern to staff should be discussed to identify possible solutions.

➲ The HoO is responsible for ensuring that a CO undertakes quarterly reviews of expenditures using the expenditure report format and methodology provided by the AO.

➲ The HoO is responsible for ensuring that a CO is fully MOSS and MORSS compliant.

➲ The HoO is expected to play an active role in efforts to mobilize resources for OCHA in general and their approved annual cost plans in particular until such time as they have reached maximum funding levels, which is defined as 150% of their cost plan. HoO must conduct their resource mobilization efforts in close coordination with the Donor Relations Section (DRS) in Geneva and ensure that all grant negotiations are handled by DRS. HoO are also encouraged to develop a good rapport with donors on the ground and to keep DRS informed of any indications of donor interest which DRS may follow up at the Geneva and capital level. Please refer to OCHA,s *Policy Instruction on Resource Mobilization* for further details.

➲ The HoO is expected to use the work process set out in Section 4 of in this policy instruction to prioritize issues and work in a manner consistent with this policy instruction. Prioritization of country-specific issues and OCHA-wide concerns is an essential part of management. This policy instruction cannot prescribe a set of prioritized issues and work valid for all countries given the variety of the situations in which OCHA works.

ANNEX C. Acronyms Used

3W ....Who does What, Where
AO ....Administrative Office
CAP ....Consolidated Appeal Process
CERF................Central Emergency Response Fund
CHAP ....Common Humanitarian Country Plan
CHF ....Common Humanitarian Fund
CO ....Country Office
CRD..................Coordination and Response Division
DRS..................Donor Relations Section
ERC..................Emergency Relief Coordinator
ERF ....Emergency Response Fund
ETF...................Emergency Task Force
FCS ....Funding Coordination Section
FTS...................Financial Tracking Service
HC ....Humanitarian Coordinator
HCT ....Humanitarian Country Team
HoO ....Head of Office
HQ ....Headquarters
HSU..................Humanitarian Support Unit
IASC ....Inter-Agency Standing Committee
NGO ....Non-Governmental Organization
OCHA ....Office for the Coordination of Humanitarian Affairs
PCNA ....Post Conflict Needs Assessment
PDNA ....Post Disaster Needs Assessment
PI ....Policy Instruction
RO ....Regional Office
SMT..................Senior Management Team
UN ....United Nations
UNDAC.............United Nations Disaster Assessment and Coordination
UNDAF.............United Nations Development Assistance Framework
USG-HA ....Under Secretary-General for Humanitarian Affairs
Virtual OSOCC.Virtual On-site Operations Coordination Center