



Inspection and Evaluation Division (IED)

Inspection on Results-based management (RBM) practices at the United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

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EXECUTIVE SUMMARY

From May to September 2007, the Office of Internal Oversight Services (OIOS) conducted a review of Results-based management (RBM) practices at the Office for the Coordination of Humanitarian Affairs (OCHA).

OIOS found that RBM in OCHA has in some respects been strengthened and is in the process of further development and improvement. OCHA's strengthening of its internal planning function, in particular, is commendable. The process aimed at formulating a cascading set of programme objectives and indicators coupled with a established routine for annual reporting has helped to focus and sharpen OCHA RBM practices. These initiatives have brought direct benefits in terms of its external stakeholder liaison and Extra Budgetary (XB) resource base.

However, the emerging planning system has been conceived as a mechanism that operates in parallel with and in separation from the formal and established General Assembly decision-making cycle – thus undermining the coherence and ultimate integration of RBM efforts. Whilst the system evolving in reference to XB is reflective of managerial commitment and genuine in-depth stakeholder liaison, the General Assembly process is perceived as being subject to very little influence by actions of the department. While OCHA to a large extent has meaningfully managed the mix of funding opportunities, there is little doubt that the emphasis on attracting XB resources has left planning, management and documentation pertaining to RB and core functions behind.

This has, in particular, affected the Field Offices. OIOS notes that a Field Office review has been undertaken in 2007 which might be useful to inform a wider core function review and the need for more RB funding in support to Regional basic humanitarian functions.

OIOS found that while the internal planning process brought some discipline to operational planning, there are several technical weaknesses that remain. The use of performance indicators baselines and targets, the quality and realism of indicator data collection methods and the aggregation of corporate indicator data need to be corrected to further strengthen OCHA's RBM orientation. On enhancing accountability, OIOS found that reporting to stakeholders has been improved by way of the Annual reports. However, results presented in them are still, to a large extent, not evidence-based or referenced against ex ante baselines and target. Instead, a high share of results claims rely on anecdotal case narratives.

A quality assurance mechanism at the different stages and levels of the RBM process would help to strengthen the credibility and reliability of results presented to OCHA stakeholders. On internal accountability frameworks, OIOS found that linkages between individual organizational units' and personal work plans were weak or absent, and that

middle and senior level management had paid little attention to use of the individual performance assessment mechanism (e-PAS). Overall, organizational learning needs further strengthening and a clearer role in the decision-making process.

Whilst noting progress attained in a number of areas, OIOS concluded that OCHA needs to take several measures in order to make sensible use of results-based tools to inform decision-making, as follows:

- The formal biennial planning system and the already developed internal process need to be aligned to allow for coherence and clarity. A one-plan approach with an improved planning framework and a unified monitoring and reporting mechanisms should be pursued
- A thorough review of core functions and management arrangements including those at the Field Offices are required to assist OCHA in formulating a unified plan and budget proposal that will be more attuned to its realities and established requirements including an enhanced RB support to core humanitarian functions.
- To further enhance organizational learning, OCHA needs to strengthen its planning, monitoring and evaluation capacities by a more direct participation and influence in the decision-making process and by providing the planning, monitoring and evaluation functions resources commensurate with their responsibilities.
- Evaluations should have a programmatic coverage, clear criteria for selecting evaluation topics, and strengthened monitoring of follow-up to recommendations made.

OIOS makes a total of twelve recommendations for actions to be taken by OCHA, including the further accumulation of notes on a number of issues warranting further review at the Secretariat wide level.

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ABBREVIATIONS AND ACRONYMS

ACABQ	Advisory Committee on Administrative and Budgetary Questions
CAP	Consolidated Appeals Process
CPC	Committee for Programme and Coordination
CRD	Coordination and Response Division
DESA	Department of Economic and Social Affairs
DM	Department of Management
EA	Expected Accomplishments
EDM	Executive Direction and Management
e-PAS	electronic Performance Appraisal System
ERC	Emergency Relief Coordinator
ESS	Evaluations and Studies Section
FO	Field Office
GA	General Assembly
GMR	Global Management Retreat
HC	Humanitarian Coordination
HRAP	Human Resources Action Plan
HQ	Headquarters

IASC	Inter-Agency Standing Committee
ISDR	International Strategy for Disaster Reduction
ICT	Information and communication technologies
IMDIS	Integrated monitoring and documentation information system
IMIS	Integrated management information system
IM	Information Management
IOA	Indicators of Achievement
JIU	Joint Inspections Unit
KM	Knowledge Management
M&E	Monitoring and Evaluation
NGOs	non-governmental organizations
MYR	Mid-year Review
ODSG	OCHA's Donor Support Group
OCHA	Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Co-operation and Development
OIOS	Office of Internal Oversight Services
PM	Performance Measures
PPBME	Rules and Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods for Evaluation
PPR	Programme Performance Report
PFRG	Programme and Funding Review Group
RB	Regular Budget
RBB	Results based Budgeting
RBM	Results-based Management
RC	Resident Coordinator
RO	Regional Office
SPU	Strategic Planning Unit
SMT	Senior Management Team
TC	Technical Cooperation
TOR	Terms of Reference
UNCT	United Nations Country Team
UN HQ	United Nations Headquarters
XB	Extra budgetary

I. BACKGROUND

A. Introduction

1. The Office of Internal Oversight Services (OIOS) conducted a review of results-based management (RBM) practices at the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).¹ A previous OIOS inspection in OCHA undertaken in 1999 was also considered as background information to the current exercise.²

2. OIOS invited OCHA to comment on the draft report and these comments have been incorporated, as appropriate in this final version. OIOS greatly appreciates the courtesy and cooperation extended to the OIOS team during the inspection including during the interviews in New York, Geneva, Sudan and Panama.³

B. Inspection Objective

3. The overall objective of this particular inspection is to determine whether OCHA's current managerial strategy, systems and practices were conducive to attaining the efficiency, relevance, effectiveness and ultimate impact that RBM is aimed at instilling. Thus, the overarching areas subject to review included the following⁴:

- a) Translation of mandates into operational objectives
- b) Measurability of performance indicators
- c) Practice of continuous results monitoring and evaluation
- d) Use of results information to guide decision-making
- e) Partnerships and capacity development for RBM

4. The current exercise is part of a series of RBM inspections undertaken to extract findings and recommendations at the entity-level that may help to inform future development of the Secretariat-wide RBM framework. This is the second OIOS inspection review of RBM at the Programme level.⁵ The series of RBM inspections represents OIOS' independent contribution to the reviews requested by member states, not just of RBM⁶, but of experiences gained with the changes made in the planning and budget process⁷, good practices identified in the monitoring, reporting and evaluation processes, as well as the further response of the Secretariat to

¹ OIOS visited the country office set up and humanitarian operation in Sudan and the Regional Office for Latin America and the Caribbean in Panama as well as OCHA's HQs in New York and Geneva.

² As issued in A/54/334 of 9 September 1999, which addressed some issues related to management, monitoring and reporting of OCHA's interagency coordination roles but not its internal management mechanisms.

³ OIOS would, in particular, like to acknowledge the full support and cooperation of the designated Inspection focal point, Mr. Rune Froseth, Chief, Strategic Planning Unit; and of Mr. Aden Ali, and Antoine Gerard in Sudan, as well as Gerard Gomez, Douglas Reimer, and Max Bonnel, Sonia Him and Barbara Blanco of the Regional Office for Latin American and the Caribbean located in Panama.

⁴ A more detailed set of questions that have been used to inform the review is attached as Annex 1.

⁵ A previous inspection on RBM was done on ESCAP and parallel to this inspection the UNHCR RBM review will be issued.

⁶ A/RES/61/245.

⁷ As per A/RES/58/269.

recommendations made by the Joint Inspection Unit (JIU) in its series of reports on RBM⁸ and the ensuing GA endorsement of the JIU benchmarking framework.⁹

5. The emphasis on RBM, as a topic for inspections, is in line with the first recommendation of the recent review of governance and oversight in the United Nations.¹⁰ A further objective of the series of inspections as a whole is to extract a set of independent oversight¹¹ criteria relevant to the RBM system of the organization. Whilst individual inspection reports in this series focus on actions taken at the entity level and within the realm of the Programme's decision making, we also seek findings which have potentially broader applicability. With respect to the extraction of issues relevant to the systemic properties of RBM at the Secretariat level, OIOS is accumulating 'memorandum items' that warrant further consideration.

C. Methodology

6. In conducting the current inspection, OIOS used a multi-method approach, combining qualitative and quantitative data collection methods, as follows:

- a) Review of programme planning and performance data contained in the integrated monitoring and documentation information system (IMDIS) and databases used by OCHA to track and monitor performance information;
- b) Review of OCHA's internal work plans and mid-year review submissions; minutes and decisions of the Senior Management Team (SMT) meetings; cost-plans as well self-produced planning and reporting guidelines for 2007 and 2008;
- c) Review of official documents, programme budgets, reports, websites and publications dealing with OCHA's areas of work including the information on the implementation of recommendations of previous OIOS reports and relevant resolutions and decisions of the relevant intergovernmental bodies;
- d) One web-survey sent to all OCHA staff¹², and a separate web-survey sent to a sample of OCHA's partners, donors and clients;¹³
- e) Interviews and focus group discussions with management and staff of OCHA;¹⁴ OCHA stakeholders and beneficiaries including ODSG members;¹⁵
- f) Direct observation of decision-making groups and mechanisms such as the Project Funding Review Group (PFRG) and the Global Management Retreat (GMR);

⁸ Most recently as per JIU/REP/2006/6.

⁹ A/RES/60/257.

¹⁰ A/60/883/Add.2, Comprehensive Review of Governance and Oversight, Volume V.

¹¹ With particular reference to the recommendation, following the 'Comprehensive Review of Governance and Oversight' (A/60/883/Add.2), and GA/RES/61/245, that PPR function be transferred from OIOS to the Department of Management.

¹² The survey went out to 1018 staff members of which only 712 OCHA staff members received it. OIOS accounted for 71 responses, 10% of those that received it and 7% of the entire population.

¹³ The OIOS survey was received by 346 individuals. 52 respondents completed the survey, or 15% of the total stakeholder population. Respondents represented major donors, Member States, NGOs and other OCHA stakeholders.

¹⁴ A total of 60 separate interviews and 10 focus group discussions were held with OCHA staff in New York, Geneva, Sudan, and Panama.

¹⁵ In addition to thirty-two individual non-staff stakeholder meetings, OIOS participated as observer in meetings of the PFRG, REDLAC, informal ODSG, etc.

7. The methodology applied has some limitations concerning data gathered from OCHA's field offices. OIOS was only able to visit 2 of the 27 OCHA field offices. Also, despite a number of measures intended to boost survey participation, the response rates remained at low levels.

D. Results-based management at the United Nations Secretariat

8. Results-based management (RBM) has been the vision that gave rise to the planning, budgeting¹⁶ and reporting systems and mechanisms that have been implemented at the United Nations Secretariat since 2001.¹⁷ RBM can most broadly be described as an organizational governance paradigm that brings centrality to the *effects*, i.e. the changes that occur beyond the bureaucratic processes. Through enabling planning and decision-making to be driven by future effects rather than mere routine efforts and activities, the ultimate purpose of RBM is to strengthen the relevance and effectiveness of organizational performance. As such, RBM has been embedded in the series of United Nations reforms undertaken aiming at “*shifting the focus of planning, budgeting, reporting and oversight from how things are done to what is accomplished*”.¹⁸ The expected outcome of this shift of focus is to ultimately “*improving governance, strengthening management effectiveness and accountability*”.¹⁹

9. The normative elements of the United Nations Secretariat “RBM system” are outlined in the “Rules and Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods for Evaluation” (PPBME)²⁰ which frame the different parameters, processes and procedures to the elaboration of the strategic frameworks²¹, budgets as well as the monitoring, reporting and evaluation components of the RBM construct. Together with the instructions that are periodically issued in support of planning, budgeting and performance reporting, these constitute the operative elements of RBM implementation. The formal biennial planning process begins from the articulation of results frameworks (“logframes”), built on assumed cause-effect relationships or hierarchies of objectives. For all departmental sub-programmes – they comprise a set of objectives, expected accomplishments (EAs), indicators of achievement (IOAs) and performance measures (PMs) pertaining to the two-year planning and budgeting periods. Whilst objectives represent the basic longer-term underlying principle for a subprogramme - usually derived from the formal mandates given to a United Nations programme – expected accomplishments (EAs) reflect the outcomes to which a subprogramme will contribute to within a given biennium. IOAs are the means of verification of those EAs, and PMs are intended to capture the anticipated degree of change (from baseline to target) within a given biennium.

10. The results frameworks that are developed as part of strategic planning also serve as reference points to resource allocation – and are part of the budget fascicles that are presented to

¹⁶ Building on A/RES/55/231, the parameters of RBB, e.g. in A/RES/53/205, A/53/500 and Add.1, A/53/655, A/54/456, A/55/543, A/57/478.

¹⁷ Further to A/RES/55/231.

¹⁸ E.g. as defined by the Secretary-General in “Renewing the UN: A programme for reform”, para. 240, A/51/950.

¹⁹ E.g. paragraph 6 (a) of A/60/883, Report of the Secretary-General on “Implementation of decisions contained in the 2005 World Summit Outcome for action by the Secretary-General: Comprehensive review of governance and oversight within the United Nations and its funds, programmes and specialized agencies”.

²⁰ ST/SGB/2000/8, Rule 105.4 (a) (iii).

²¹ Previously conceived as Medium-Term Plans.

and finally approved by the General Assembly. The “programme of work” approved with the budget also comprises a planned schedule of outputs²², corresponding to the concrete deliverables for which managers are held directly accountable. Lastly, the results frameworks provide the logical structure for reporting requirements through the integrated monitoring and documentation information system (IMDIS), which is ultimately utilized for preparation of the Secretary-General’s biennial Programme Performance Report (PPR).²³

E. OCHA’s mandate, structure and Governance arrangements

11. OCHA is responsible for the implementation of the work programme under Section 16 on the UN Secretariat budget.²⁴ The programme is guided by General Assembly resolution 46/182 of 19 December 1991, which also defined the functions of the Emergency Relief Coordinator (ERC).²⁵ Against the backdrop of a broader mission statement²⁶, OCHA’s stated programme objectives are to ensure the timely, coherent and coordinated response of the international community to disasters and emergencies, to promote disaster risk reduction and to facilitate the smooth transition from emergency relief to rehabilitation and development.²⁷ OCHA’s activities are structured into five separate subprogrammes²⁸ in addition to Executive Direction and Management: a) Policy and analysis, b) Coordination of humanitarian action and emergency response, c) disaster risk reduction²⁹, d) Emergency support services; and e) Humanitarian emergency information and advocacy.

12. The programme is managed by the Under-Secretary-General (USG) for Humanitarian Affairs who also serves as the Emergency Relief Coordinator (ERC). It is implemented by Headquarters office in New York, the Geneva Office, and 27 Field Offices (including 7 Regional Offices)³⁰ and by the Secretariat of the International Strategy for Disaster Reduction. The ERC provides overall direction, management and policy guidance to the offices in New York, Geneva and the field³¹, chairs the [Inter-Agency Standing Committee \(IASC\)](#)³² and the Executive Committee on Humanitarian Affairs as well as the Global Platform for Disaster Risk Reduction,

²² Based on the PPBME, ST/SGB/2000/8, Rule 105.4.

²³ For latest PPR, covering the 2004-2005 biennium, see A/61/64.

²⁴ A/60/6 (Sect. 16); The activities for which the Office for the Coordination of Humanitarian Affairs is responsible fall within programme 22, Humanitarian assistance, of the biennial programme plan for the period 2006-2007.

²⁵ These functions were further streamlined by the General Assembly in its resolutions 52/12 A of 12 November 1997 and 52/12 B of 19 December 1997 and in the report of the Secretary-General on reform (see A/51/950) which called for the strengthening of three core functions, namely: policy development and coordination on humanitarian issues; advocacy of humanitarian issues with political organs; and coordination of humanitarian emergency response.

²⁶ <http://ochaonline.un.org/AboutOCHA/BasicFacts/MissionStatement/tabid/1152/Default.aspx>.

²⁷ As summarized from the A/60/6 Section 18, para. 26.3.

²⁸ Further budget fascicle A/60/6 (Section 26).

²⁹ Subprogramme 3: Natural disaster reduction is managed by the International Strategy for Disaster Reduction which is also under the ERC, but it is not part of OCHA proper. OCHA deals with response to disasters caused by natural hazards and not with disaster reduction strategies.

³⁰ <http://ochaonline.un.org/Geographic/tabid/1084/Default.aspx>

³¹ The USG provides leadership in the coordination of the overall response of the international community, particularly that of the United Nations system, to disasters and humanitarian emergencies;

as successor mechanism of the Inter-Agency Task Force for Disaster Risk Reduction. OCHA reports directly to the General Assembly and leads the Consolidated Appeals Process (CAP). OCHA also provides ad-hoc briefings to the OCHA Donor Support Group.

13. In order to effectively address new demands related to the protection of civilians, the provision of support to internally displaced persons (IDPs), the occurrence of disasters, and the security of humanitarian personnel, the Office has recently been realigned to include a consolidation of the Coordination and Response Division (CRD) in New York³³ and the re-organization of the Geneva Office into three major functional pillars i.e. (a) emergency capacity, resources and support to the field; (b) external relations and support mobilization and; (c) inter-agency and coordination functions supporting the IASC.³⁴ Additionally, OCHA has undertaken a strengthening of its admin capacity and its strategic planning processes to enhance its ability to monitor manage and report on results.

F. OCHA's budget structure and funding

14. OCHA's funding arrangement is multifaceted and complex. Most of the OCHA's activities are financed through XB funds. For the biennium 2006-2007, RB's estimated share of funding was only 11% of its total estimated requirements. For 2006, the allotted RB of \$12.9 US million dollars represented only 8% of the total needs of \$152.2 million for the year.³⁵ Table I (under Annex II) shows the estimated share of RB and XB resources planned for each of the subprogrammes for the biennium 2006-2007. Whilst nominal value of RB funding increased from \$21 million in 2002-2003 to \$27 million for 2004-2005; the proportion of un-earmarked funding decreased from 49% in 2005 to 43% in 2006.³⁶ This limits the flexibility of the organization to respond to emerging humanitarian crisis in a rapid fashion. OIOS noted that the Field Office/Regional Office network is financed solely with XB resources and by way of projects.³⁷ FO/ROs represent approximately 60% of the total resources spent in a given year.³⁸ Similarly, only 66 staff in OCHA are financed through the RB, represents only 6% of the total 1,018 staff.³⁹

G. Humanitarian reform

15. The office has led the launching of the wide-range Humanitarian Reform Agenda by introducing new measures to enhance response capacity, accountability, predictability and partnerships. These have included the revamping and expansion of the Central Emergency Revolving Fund into the Central Emergency Response Fund (CERF), a strengthened Humanitarian Coordination (HC) system and the implementation of the "cluster approach".

³² The IASC develops humanitarian policies, agrees on a clear division of responsibility for the various aspects of humanitarian response, identifies and addresses gaps in response, and advocates for effective application of humanitarian principles.

³³ Previously these functions were split between Geneva and New York.

³⁴ An organigramme of the current organizational set up can be found in Annex VI.

³⁵ OCHA in 2006, Budget Requirements 2006, page 1.

³⁶ OCHA in 2006, Financial Information and Analysis portion, page 5.

³⁷ OCHA's HQ offices in NY and Geneva are financed with both RB and XB resources.

³⁸ OCHA in 2007, page 158, 159 where HQ offices estimates for the year are \$58 million versus \$87 million for the FOs of the total \$146 million OCHA's annual budget.

³⁹ This figure includes also local staff. See Annex V for a more detailed breakdown under post requirements.

OIOS notes that OCHA's crucial role in the humanitarian response and assistance effort has recently been recognized by the General Assembly resolution 61/134.

II. FINDINGS

1. RBM at OCHA is in the process of further development and improvement.

16. RBM at OCHA was revitalized in 2006 by way of a series of initiatives seeking to improve OCHA's planning, monitoring, management and accountability. The most notable specific initiatives positively associated with implementation of RBM in OCHA include⁴⁰:

- a) Establishment of a Strategic Planning Unit (SPU) in charge of the strategic planning and reporting framework;
- b) The establishment of periodic work planning sessions that culminate in annual planning documents by branches and field offices;
- c) The development of an internal hierarchical planning framework⁴¹, with overall goals and objectives to guide the unit specific priorities and annual work plans;
- d) The establishment of strategic ("corporate") core indicators of achievement;
- e) Sporadic risk/needs-based planning developed by few FO/ROs;
- f) Establishment of the Project Funding Review Group (PFRG), a strategic advisory body advising the SMT on work and cost plans, and lead a mid-year review process;
- g) The establishment of end-of-cycle review exercises;
- h) More structured consultative mechanisms at the planning, monitoring and reporting stages (with SMT being the decision-making body and PFRG being the advisory body); and
- i) More comprehensive guidelines on planning, monitoring and reporting, including a risk-based planning component

17. With their focus on strengthening accountability in its XB resource base, these initiatives have largely evolved on a parallel track – that is not synchronized with the formal biennial GA and RB planning and budgeting framework in its timeframes, cycles, parameters, regulations and norms. OCHA's staff have recognized that the strengthened XB planning process has helped organize the work of different organizational units.⁴² Nevertheless, from a review of the 2007 unit work plans, OIOS noted there are a number of gaps in the planning frameworks:

- Lack of baseline figures for indicators of achievement;⁴³
- Sporadic use of target data in its Annual reports;⁴⁴
- Lack of explicitly defined external factors that might influence planned interventions towards the achievement of common objectives;
- Lack of clear understanding on the use IoAs, with frequent alignment to output (rather than outcome) level.⁴⁵

⁴⁰ Progress identified under this paragraph mostly related to the strengthening of the XB focused planning.

⁴¹ Albeit not fully aligned yet or in the proper logical sequence.

⁴² From interviews conducted by OIOS.

⁴³ While results-based work planning and monitoring guidelines for 2008 do make a provision for setting up baseline figures, a review of 2007 work plans confirmed that they did not have any baselines.

⁴⁴ OIOS noted the little reference to target data on OCHA's Annual Report for 2006.

- Limited uniformity and timeliness in submission of planning forms⁴⁶ and reports⁴⁷
- Partial understanding on data collection methods to report on IoAs; and
- Sporadic vetting mechanisms to monitor the quality of the planning instruments as well as the logical framework components
- Limited standardization of FOs logframes.

2. IoAs are still weak

18. Arguably the greatest weakness of OCHA's results framework is the still fragile formulation of IoAs. This is true at the organizational unit level and at the level of the core indicators. OIOS noted a number of indicators do not pass the SMART⁴⁸ test. Indicators such as "Funding section on CAP on Intranet" or "- Number Op Eds, article requests and other PI products developed" or "Number of trainings undertaken"⁴⁹, "RO Website successfully established" or "Organigram regularly updated and posted on intranet"⁵⁰ still reflect the completion of outputs rather than the achievement of results. Similarly, at the level of core indicators: "Number of draft outlines on humanitarian policy developed in coordination with regional organizations", "Percentage of field offices visited by HQ administrative missions" or "Number of specialized trainings offered to UNDAC members" are still far from reflecting results and rather concentrate on processes and products.⁵¹ OIOS noted there is a lack of quality control or a vetting mechanism that ensures that indicators pass the SMART-test.

Memorandum item 1

The quality of the work plans as reflected in the logical frameworks are the cornerstone of RBM implementation. Expected accomplishments and indicators of achievement that are not meaningful, measurable, attainable, realistic and relevant will only render the monitoring process immaterial and of little value for informed decision-making.

3. Data collection plans and methodologies are absent or unrealistic

⁴⁵ For example from a randomly selected work plan: Advocacy and Information Management Branch/Advocacy and Public Information Section, indicator from objective 1.1. Number of Op Eds, Press Releases, success stories and other PI products produced, or from objective 1.2. Number of new strategies and guidelines developed. At the same time, every single output in OCHA's work plans has an IoAs.

⁴⁶ See the following link:

<http://ochaonline.un.org/StrategicPlanning/2007WorkPlans/2007WorkPlans/2007WorkPlansRevised/tabid/1938/Default.aspx> were plans from the ESS, Congo, SPU and the Field Coordination Support Section have all different levels of gaps at the "Task lead Partner" or the "Output cost estimate" fields.

⁴⁷ Out of 65 organizational Units for 2007, 13 did not submit their work plans. See the following web page:

<http://ochaonline.un.org/StrategicPlanning/2007WorkPlans/2007WorkPlans/2007WorkPlansRevised/tabid/1938/Default.aspx>

⁴⁸ OIOS reviewed a random sample of IoAs to test for Specificity, Measurability, Achievability, Relevance to EAs and objectives and whether they were time-bound. These are all the elements of the SMART review.

⁴⁹ Indicators extracted from the Advocacy and Information Management Branch/Advocacy and Public Information Section work plan for 2007.

⁵⁰ These indicators were taken from OCHA Regional Office, Dubai, United Arab Emirates.

⁵¹ These were extracted from the Core UN OHCA performance indicators 2007 formulated and approved in 6 July 2007 and available in OCHA intranet <http://ochaonline.un.org/StrategicPlanning/tabid/656/Default.aspx>.

19. OIOS noted with concern that data collection plans⁵² and methodologies are not consistently established. The identification of variables, data sources, collection methods, frequency of data collection, or external factors that might affect the collection of data were not undertaken for any of the IoAs of the internal planning process or for the core performance indicators related to the 2007 objectives. On the biennial budget front, while some data was available, the identification of full methodologies for data collection was still very much incomplete.⁵³ In an ideal RBM framework, data collection should be planned from the outset so that there can be a clear determination of resources and responsibilities. OIOS noted that OCHA was only able to undertake actual data collection and analysis for 11% of its formal indicators of achievement (See Annex 7). OIOS is aware that while the annual work planning process shows some data collected against specific indicators by way of the MYR; the SPU, as the responsible entity for ensuring the quality of the planning, monitoring and reporting process, has no means or protocols in place to verify the quality of the plans or the validity of the data collected against approved plans.⁵⁴ Additionally, OIOS noted that there is no systematic review or feedback provided by the SPU to the substantive units on the gaps and weaknesses identified in the approved plans.⁵⁵

Memorandum item 2

The quality of the plans is not only limited to the formulation of the logical framework as such. Determining data collection methods, budgeting for the resources necessary, allocating responsibilities and determining accountability frameworks that can support credible performance assessments are as vital as the actual elaboration of the plans

4. Parallel planning processes have slowed down a coherent implementation and ultimate integration of RBM efforts

20. OCHA's planning; budgeting, monitoring, reporting and performance assessment is managed on two separate tracks. This mitigates against coherent planning and management – involves unnecessary duplication, possible confusion of terminology and raises governance concerns. On the one hand, the formal process of RB planning for GA review, as prescribed by the PPBME, follows a biennial cycle, framework, and monitoring arrangements. On the other hand, OCHA has developed a separate and more informal planning and reporting system largely for XB funding, that is based on the introduction of a five-year vision (2007-2012), a three-year strategic planning framework (2007-2009) and an annual planning, monitoring and reporting process. The 'internal' planning process comprises seven elements: a) strategic framework revision; b) mid-year review which includes a cost plan review; c) work and cost plan proposal; d) OCHA Annual Plan (OCHA in 200X – fundraising; e) e-PAS; f) end-of cycle review and g)

⁵² Such as identification of data sources, data collection methods, frequency of data collection, identification of type of analysis to be done.

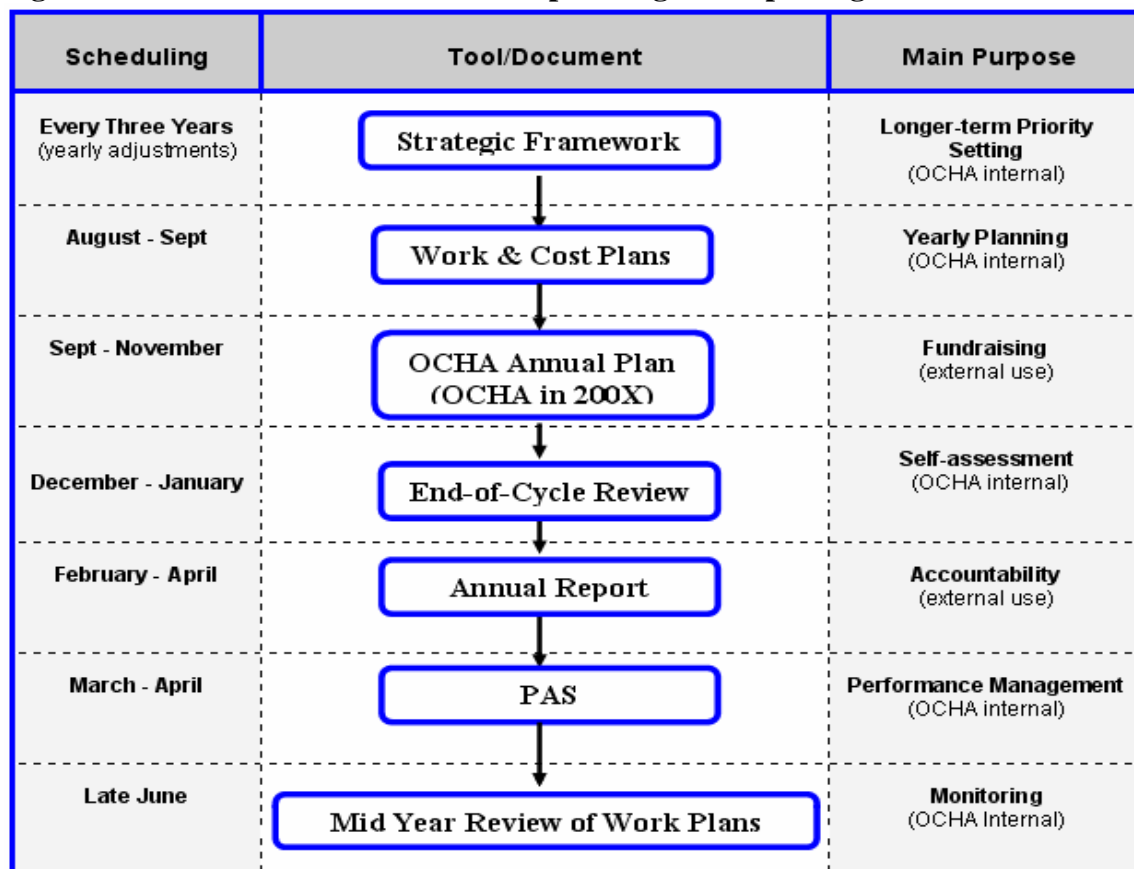
⁵³ None of the 28 indicators of achievement for the biennium 2006-2007 had a complete set of data collection methods available which included "variables, data sources, collection method and frequency of data collection.

⁵⁴ This particularly applies to the FO/ROs which have been given flexibility to formulate additional objectives and indicators apart from those strategic ones established for all the office and it applies to any data collection plans established; in particular their relevance to IoAs, their specificity, plausibility and the appropriateness of methods to ensure reliable data is collected when reporting on results.

⁵⁵ This has been repeatedly argued by respondents and interviewees when asked about areas where planning could be improved.

an Annual Report. Many staff members feel overwhelmed by the different requests and are confused about the roles of the multiple strategic documents, how they are related and how best to use them. During the interviews, OCHA staff voiced that these systems need to be brought together. Since both plans ultimately respond to similar humanitarian demands, OIOS finds no substantive reason why the two should not be aligned to bring more coherence and transparency to OCHA's planning and management.⁵⁶

Figure 1. Timeline of OCHA's internal planning and reporting framework⁵⁷



21. A review of the different planning documents shows that OCHA's approved budget fascicle contains six objectives, 20 expected accomplishments and 28 indicators of achievement (See Annex III). In parallel, the internal annual plan for 2007 consisted of three goals, further translated into 21 annual objectives,⁵⁸ and recently shortened and sharpened to only 14 objectives,⁵⁹ with an average set of 4 indicators of achievement⁶⁰ per each of the 64 organizational units. When OIOS analyzed the correspondence between the approved budget fascicle and OCHA's annual plan, less than half of the reviewed EAs could be traced from the

⁵⁶For the year 2008, OCHA has decided that its strategic planning framework should include a number of core indicators to facilitate the assessment of the objectives it had formulated, while keeping its organizational unit arrangements for operational accountability of its different HQ and field operations.

⁵⁷ OCHA in 2007, page 30.

⁵⁸ These key objectives established the priority areas for the organization.

⁵⁹ Newly issued Strategic planning framework (2007-2009) as per OCHA intranet: <http://ochaonline.un.org/StrategicPlanning/tabid/656/Default.aspx>.

⁶⁰ Some IoAs varied amongst the different organizational units and some where at least similar.

budget fascicle to the annual plan, and fewer than 20% of the IoAs from the budget fascicle could be traced back to the annual plan.⁶¹ Regarding its management arrangements, OIOS noted that whilst the strengthened internal planning mechanisms were placed under the newly created Strategic Planning Unit (SPU) and mainstreamed to all HQ and FOs, the formal planning and monitoring process was somewhat obscured by its placement under a focal point within the Executive Office.⁶² OIOS noted that this arrangement has now been changed to ensure that the SPU would have tuition over the two processes. OCHA had recognized from the outset that these two planning frameworks were clearly not aligned in content or organization. This confirms a lack of coherence and complementarities between the two and exacerbates the confusion and lack of productive use of the formal RBM process. When further probed, SPU noted that while aware of these parallel tracks and the lack of coherence, OCHA was advised by OPPBA that there should not be any changes to strategic frameworks developed on the basis of the previous Medium-Term Plans. OIOS notes that inaction in this area would mean enduring with two separate and inefficient planning, monitoring and reporting systems for the next four years.⁶³

Memorandum item 3.

There is a perception among programmes/subprogrammes that rely on XB funds that the General Assembly budgeting process is only devoted to RB.

PPBME regulation 5.5 states “The proposed programme budget shall be programmed to include all activities whether financed from regular budget or extrabudgetary resources”

Memorandum item 4.

RBM will remain stagnant if built-in planning rigidities do not allow for improvement of the programme frameworks and their further congruence.

5. Emphasis on attracting XB funding has rendered planning, management and a strengthened RB support to core humanitarian functions behind.

OIOS notes the incongruence between the General Assembly’s recent calls for strengthening coordination of humanitarian assistance⁶⁴ and OCHA’s lamentation for more predictable and stable funding through the United Nations’ regular budget.⁶⁵ OIOS notes further that the emergence of the separate XB planning and reporting track involves a direct risk for the General Assembly being rendered ignorant of major changes in direction of OCHA’s organization and activity. OIOS learned⁶⁶ that “Enhancing emergency response”, “Field Coordination Support Section”, “Relief Web”, “Field information Services” as well as all regional and field offices were financed and managed mostly as projects.⁶⁷ OIOS found that according to its latest plan, only 29% of the total OCHA’s activities in HQ (NY

⁶¹ Based on an analysis of OCHA’s Subprogramme 1, 2 and 5.

⁶² There is one focal point in HQ New York and another one in Geneva - There is only one staff coordinator of the formal planning, monitoring and reporting efforts.

⁶³ OIOS notes that the preparation of the formal strategic planning framework for the biennium 2010-2011 starts in October of 2007.

⁶⁴ A/RES/62/134, paragraphs 2 and 3.

⁶⁵ OCHA in 2007, Introduction, page 10 2nd paragraph of the right column.

⁶⁶ OCHA in 2007, Annex II.

⁶⁷ OCHA in 2007, page 158-159; Annex II.

and Geneva) were considered core⁶⁸ and that only 66 staff members out of the total 1,018 staff are funded by the regular budget. Functions for strategic planning, monitoring, reporting and evaluation were mostly funded as projects and were not receiving funding commensurate to their responsibilities.⁶⁹ OIOS recalls that that in total, projects represented approximately 82% of OCHA's total estimated budget for 2007.⁷⁰ The XB funding enterprise and the proliferation of projects has equally contributed to an unclear definition of what constitutes core functions affecting OCHA's structure, management arrangements and recruitment practices. While OCHA to a large extent has managed to achieve financial stability through a mix of RB and XB funding, particularly due to OCHA's efforts at strengthening its XB resource base, this has not facilitated an strengthened RB support to core activities and management arrangements, which have especially affected the Field Offices.⁷¹ OIOS notes that a Field Office review has been undertaken in 2007 which might be useful to inform a wider core function review and the need for more RB funding in support to Regional basic humanitarian functions.

Memorandum item 5.

The necessity of supplementary funding has created a need to develop different, unconnected planning tracks that do not bring coherence and efficiency to the management of RBM and which confuse, duplicate and are at odds with promoting effectiveness of programmes

a) *Management responsibilities are ambiguous*

22. OIOS noted that the growth of the XB funding is mirrored by ambiguity within OCHA's accountability frameworks. A review of the recent annual plans indicates that OCHA has made repeated adjustments to its organizational set up, mostly to respond to changes in their XB funding. OIOS noted with concern the almost yearly realignment and restructuring since 2002.⁷² Units have been created, merged, shifted, re-structured and realigned frequently. The official Secretary General Bulletin on the organization of OCHA dates back to 1999⁷³ but does not bear resemblance to the organizational arrangement actually applied. OIOS noted no approved Terms of Reference (TOR) for every Division or an aggregate approach to formulating Branch's work plans that depart and inform the Unit and Section level work planning.⁷⁴ OIOS noted further that XB staff in the FOs were managed through UNDP encumbering "L" category posts (technical assistance project personnel under the 200 series of staff rules), some of whom were managers of

⁶⁸ OCHA in 2007, page 157, Annex I.

⁶⁹ OIOS noted that important functions such as strategic planning, work planning, Enterprise Risk Management, programme performance monitoring, reporting on senior manager compacts, review of management reviews, business continuity, as well as a strengthened accountability mechanisms through evaluations are all part of core support activities that need to be undertaken and that should be funded from a more stable source.

⁷⁰ According to OCHA's projections, the \$82 million of FOs and the 22 of projects in HQ will be required in 2007 to implement its work programme, in addition to the regular XB funding (un-earmarked) and the RB.

⁷¹ Reference is made to the fact that most of the FOs are managed through L posts and that the core activities that OCHA delivers in the regions as well as some in HQ are mostly financed through XB resources.

⁷² OIOS reviewed the Organigrams in place since 2002 as available in OCHA in 2002, OCHA in 2003, OCHA in 2004, OCHA in 2005 and OCHA in 2006.

⁷³ ST/SGB/1999/8 available at <http://www.un.org/Docs/journal/asp/ws.asp?m=ST/SGB/1999/8>

⁷⁴ Recently SPU has been making progress in bringing some coherence to aggregate level of planning, but more congruence is needed.

ROs/FOs. This practice is against established policies and constitutes a challenge that should be confronted without delay, as it will only further exacerbate differences and management problems over time⁷⁵.

23. OIOS noted that the mechanisms to assign and monitor individual responsibilities, e-PAS, are not yet fully operational or used to their maximum benefit and in support of OCHA's RBM endeavors. The e-PAS compliance rate for all OCHA staff was only 44% for the period 2005-2006⁷⁶, and about 10% of the Professional staff members for the 2006-2007 cycle.⁷⁷ OIOS was further concerned about the availability of only 4 e-Passes for P5s and above levels for the 2005-2006 cycle.⁷⁸ In the subsequent 2006-2007 cycle, it was admitted that only one P5 and above levels had completed the preparation of their e-PAS work plans. OIOS tried to link individual work plans to their current organizational unit work plans, but given the poor availability of individual work plan data, only a limited analysis was possible.⁷⁹ Likewise, OIOS noted that the main indicators of the HRAC were not achieved for the cycle 2005-2006 and that the HRAC compliance and performance information⁸⁰ was not used consistently as a basis for decision-making.

Memorandum item 6.

OIOS notes that while OPPBA serves as a gatekeeper of the planning and budgeting process; Its role cannot serve as a hindrance to maintaining a logical coherence between mandates, results frameworks and operational work, and it should not contribute to lessening the scrutiny the GA has over an entity's programme of work.

6. Performance reporting is rendered largely from anecdotal data.

24. Aside from the recurrent practice of elaborating an Annual Report, OCHA has recently introduced two events that endeavour to mainstream a culture of continuous learning through periodic monitoring.⁸¹ The mid-year Review (MYR) and the End-of-Cycle review, just introduced in 2007, will help OCHA to strengthen accountability to donors for the resources used, to partners for their support and ultimately to vulnerable populations.⁸² However, OIOS noted that 9% (6 out of the 64) organizational units did not submit their MYR.⁸³ Also, OIOS

⁷⁵ To regularize the situation, management should clearly establish which posts are under the 100 series and which are under the 200 series within the framework of a revised TOR and functions of the different organizational entities and the revision of what constitutes core activities in OCHA, conduct a classification exercise and issue vacancy announcements in accordance with established rules and procedures, noting that instead of one year contracts, staff should be getting fixed term contracts for at least 2 years even if they are financed through XB.

⁷⁶ See HRAC and the e-pas compliance report by OHRM in the LAN folder.

⁷⁷ 2 p1, 7p2, 14p3, 11p4, 1p5 (Email: M H. 27/08/2007 12:30 PM).

⁷⁸ E-mail from M. Ross of 14 August 2007.

⁷⁹ OIOS reviewed the five e-passes OCHA provided from the HQ level, only seven out of the 24 goals (less than one third) could be traced to have been based on the budget fascicle (A/60/6); The e-pas reviewed were for section/branch chief - positions that are directly responsible to oversee that OCHA is focusing on the right issues.

⁸⁰ Vacancy management, geographic distribution, e-pas compliance, and staff development are indicators of HR accountability where OCHA has to still make considerable improvements.

⁸¹ Aside from just monitoring, this approach includes awareness and use of performance information.

⁸² Results based planning, monitoring and reporting for 2008, page 15, first paragraph.

⁸³ Namely, Office of USG, Executive Office/Administrative Office, Geographical coordination monitoring section, Promotion of the Humanitarian Agenda Section (PHAS), and the FO in the Republic of Congo and Sri Lanka.

noted that quality of reporting practices are still weak; there are no mechanisms to systematically coordinate the collection of data and no portfolio of evidence to document IoA facts and figures. As data collection plans have not been established, the reports OIOS reviewed were mainly based on informal estimates of performance rather than evidenced-based information.⁸⁴ A slight majority of the external stakeholders were generally satisfied with the performance information projected by OCHA's Annual Reports. While 53% of stakeholder responses to OIOS survey rated OCHA performance reports to be of high quality, 25% considered the results reporting to be sufficient.⁸⁵ On the other hand, some donors and stakeholders expressed concern about the reliability of OCHA's reporting. The stakeholder survey indicated that the external users primarily looked for: "Updates on coordination efforts in operations", "Updates on disaster information and other general information", and "planning and results information"⁸⁶ in that order. While OIOS had no means of verifying every single performance data point available in OCHA's Annual Report, it noted that to the degree that results data are available, they are mostly anecdotal. There is no direct reference to indicators of achievement, baselines and targets to show the degree of progress in achieving objectives. OIOS found that OCHA's monitoring and reporting instructions are still very flexible and general in linking evidence with results.⁸⁷ OIOS found that OCHA's compliance with results analysis and use of IoAs data is at the lower end amongst Secretariat departments.⁸⁸

Memorandum item 7.

While the monitoring and reporting segments are important elements of the implementation of RBM; ultimately their relevance is defined by how reliable the data collected are and how credible the results information is to the entity's stakeholders.

25. The SPU, while responsible for establishing guidelines and setting mechanisms in place to track results and ensure the quality of the reporting, has no means of verifying the validity and veracity of the results reported or outputs implemented.⁸⁹ Refinements to indicators⁹⁰ and templates to track MYR performance are worthy initiatives, but their ability to adequately capture outcomes and fully reflect OCHA's updated results is still questionable. A quality assurance mechanism would infuse OCHA's results paradigm a desirable measure of credibility and instill further stakeholders' confidence in OCHA's work.

⁸⁴ In the case of Sudan, work plan reporting was recognized to be based on what managers thought was possible to achieve rather than what was actually verified.

⁸⁵ Q4, External Stakeholder Survey; 25% rated OCHA's systems and materials for reporting results achieved to be sufficient, whereas 53% said the reporting was of high quality.

⁸⁶ Q6, External Stakeholder Survey, 30% mentioned this item.

⁸⁷ Results based planning and monitoring for 2008, page 25, part 2.2 The Annual Monitoring Plan still requires that "Headquarters entities and field/regional offices are required to report against the different indicators listed in their respective Work Plans in **generic terms (emphasis added OIOS).**"

⁸⁸ See annex 6 that shows that out of 20 expected accomplishments for the biennium 2006-2007, OCHA has only been able to report on results statements for three of them, a 15% reporting. It has also submitted no accomplishment accounts for the biennium.

⁸⁹ Interviews with members of the SPU confirmed that currently they do not have the capacity to check the veracity of results and that establishing protocols which would make the process more credible would be beneficial to strengthening the monitoring and reporting process.

⁹⁰ As noted in the recent revision of the core UN OCHA performance indicators, 6 July 2007.

Memorandum item 8.

Quality assurance at the planning, monitoring and reporting stages is a critical element to obtaining credible and reliable data that can support and inform decision-making and further the implementation of RBM

7. Planning and monitoring functions would benefit from more strengthening and consultative approach

26. OCHA's leadership has positively supported and pushed for the strengthening of planning function. OIOS noted with concern that, while FO/ROs had been increasingly participating in the strengthening of the internal planning processes, they had not been more widely consulted on the elaboration of the strategic planning framework (2007-2009). Prior to the most recent adjustment to the strategic planning instrument,⁹¹ 22% of the respondents⁹² mentioned that goals, objectives and indicators were imposed rather than consulted. This is an area where SPU itself has recognized that improvements were needed i.e. by opening the consultation mechanisms to wider participation, providing feedback on the elaboration of plans and most importantly on monitoring and reporting efforts and initiatives.

27. A factor that negatively affects staff's ability to meaningfully take part in planning consultations is their perceived lack of RBM-congruent training. Interviewees and survey respondents indicated low understanding of RBM, its definition, or what it entailed.⁹³ Available survey data indicates that fifty of the 71 respondents (70%) had no RBM-related training.⁹⁴ OIOS noted that the SPU and the ESS, which are to operate as change agents in strengthening organizational learning, accountability still have limited capacity⁹⁵ or influence over the decision-making process. At mid-level management⁹⁶, both units can give advice regarding strategic decision-making, but cannot directly participate in the decision-making process, provide strategic guidance on priorities, gaps, lessons learned, as they do not have any official status in the Senior Management Team. OIOS believes that bringing ESS and SPU together, maintaining clear division of responsibilities and allowing the ESS to report directly to the Head of the organization would help to strengthen the accountability and lessons learnt functions within the organization.⁹⁷

Memorandum item 9.

Compulsory individual accountability mechanisms such as e-PAS should not only be implemented, but they should be fully in line with the organizational internal accountability frameworks for RBM to be coherent.

⁹¹ A strategic planning session was undertaken on 6 August 2007, where some representatives of the different components in OCHA including one or two members of the FOs or ROs network participated.

⁹² Question 15, Staff Survey.

⁹³ In the staff survey Q5, one third of the respondents said they had no understanding of RBM.

⁹⁴ Q2 of the Staff Survey.

⁹⁵ Both Units have no more than 6 staff (three each).

⁹⁶ Both Units have chiefs at the P5 level and do not participate in the SMT with decision making voice.

⁹⁷ There is lack of clarity how they inform the planning process.

8. Decisions regarding resources are not taken based on past performance

28. OIOS noted that more than half of its survey respondents stated that performance measures did not greatly influence resource allocation, nor did they use performance information to adjust their work programme.⁹⁸ During interviews too, it was confirmed that the relevance of RBM as a basis for decision making was perceived as poor.⁹⁹ OIOS recalls that commencing in 2007 the revision of OCHA cost plans was combined with the MYR process and assessed by the PFRG. OIOS noted that paramount consideration was purely financial – with the basic question in approving revised allotments being whether the entity in question was going to be able to spend the funds rather than whether they will be able to achieve the targeted results. Additionally, OIOS noted that currently the role of the PFRG to comprehensively review work plans for coherence and alignment are not fully being implemented.¹⁰⁰ In light of programmatic performance (historical or prospective) appearing to be of little relevance, it can be no surprise that programmatic performance assessments are perceived above all as compliance requirements or a “paper exercise” rather than an opportunity to reflect on possible performance improvements.

9. Organizational learning process is underdeveloped

29. Lesson learning reviews (LLR) were established in 2002, along with the creation of the Evaluation and Studies Section (ESS) with the purpose of learning from past experiences and incorporating lessons learned into future activities, programming and to contribute to institutional memory. ESS is responsible for the management of a portfolio of lessons learned and conducting LLRs. Whilst lessons learned and good practices are available in the analysis and findings of some of the 33 evaluations and reviews ESS has been part of or managed since 2002,¹⁰¹ OIOS noted that there was no structured, practical and comprehensive repository of lessons learned, good practices, case studies and protocols accumulating the body of OCHA’s expertise. The same was the case for cross-cutting issues such as management of field offices, regional hub preparedness or response to disaster situations. OIOS agrees with the statement of a staff member to the effect that “*OCHA is good at identifying lessons, and sometimes continuously identifying the same lessons, but learning them and applying them is a completely different issue.*” It is evident, as recognized by ESS itself¹⁰², that the use of information sharing and knowledge management opportunities has not yet taken hold. Also, there is little support for undertaking self-evaluations on particular projects, outputs, and topics relevant to specific FOs or

⁹⁸ Focal points interviewed expressed this concern (Geneva and New York) and it was also evident from the responses received through the survey, i.e. Q3.

⁹⁹ The overwhelming response during interviews on how the performance information was used to inform decision-making was either “never” or “rarely”.

¹⁰⁰ OIOS noted the disjointed formal planning process and the annual planning framework to show that the PFRG has not done much regarding the alignment of the planning processes.

¹⁰¹ ESS participated in 17 inter-agency evaluations and managed 16 internal evaluations to date. Details are available in their webpage:

<http://ochaonline.un.org/AboutOCHA/Organigramme/PolicyDevelopmentandStudiesBranchPDSB/EvaluationandStudies/ESSReports/tabid/1397/Default.aspx>

¹⁰² OCHA in 2007, page 62 “institutional knowledge learning and sharing is not systematized and easily accessible to all staff. ESS needs to work in collaboration with other partners..... to build internal and external knowledge sharing networks.”

organizational units.¹⁰³ ESS work programme for 2007 does not include outputs related to promoting self-evaluation.¹⁰⁴ ESS recently introduced real-time evaluations (RTEs) as an approach that aims at assisting in the identification of weaknesses and lessons learned while an operation is being deployed and implemented. OIOS was not able to obtain guidelines and procedures on how RTEs are undertaken. Given the fact that they are organized by the ESS and carried out by external consultants, they cannot be considered self-evaluations. Guidance or policy instructions on how or when to undertake self-evaluations are still not available. OIOS noted that utilizing any potential tool for enhancing organizational learning and collection of lessons learned is in line with ESS improved accountability strategy.¹⁰⁵

10. Evaluations lack programmatic coverage, independence and systematic follow-up

30. Since its creation the ESS has participated in 17 interagency evaluations and has coordinated and undertaken 16 OCHA-specific evaluations.¹⁰⁶ OIOS noted that out of these, there were four project evaluations, four LLRs, six thematic evaluations and two evaluations related to country operations. Arguably, of the total 16, only the last two might qualify as programmatic evaluations.¹⁰⁷ Aside from these, the focus of evaluations has not been programmatic as required by the PPBME. Moreover, in defining the role of evaluation, OIOS noted that this programmatic emphasis was not included at all in the latest OCHA Evaluation Framework and Strategy for 2002-2005. OIOS also noted that tracking and follow-up on the implementation of recommendations remains a challenge.¹⁰⁸ The ESS 2007 work plan does not include a specific output directly related to the establishment of a tracking mechanism and follow-up arrangements on the implementation of recommendations.¹⁰⁹ Finally, OIOS noted that the ESS has no structured system for selecting evaluation topics. OIOS believes that ESS could clearly benefit from applying a risk assessment framework as a basis for selecting its evaluation topics. Guidelines for the application of a risk assessment framework have already been provided in the 2008 work planning and monitoring guidelines, which ESS should make use of. OIOS noted that ESS reporting lines are linked to operations¹¹⁰ which risks compromising its independence, credibility and objectivity in line with the United Nations Evaluation Group (UNEG) norms and standards.¹¹¹

¹⁰³ Programme managers and FOs representatives interviewed suggested that there was very little guidance from HQ regarding the conduct of self-evaluations.

¹⁰⁴ ESS work programme for 2007 is available through the following link:
<http://ochaonline.un.org/StrategicPlanning/2007WorkPlans/2007WorkPlans/2007WorkPlansRevised/tabid/1938/Default.aspx>

¹⁰⁵ OCHA Evaluation Framework and Strategy 2002-2005, point 2 as well as its 6 building blocks.

¹⁰⁶ <http://ochaonline.un.org/AboutOCHA/Organigramme/PolicyDevelopmentandStudiesBranchPDSB/EvaluationandStudies/ESSReports/tabid/1397/Default.aspx>.

¹⁰⁷ “Evaluation of the OCHA and UNOCHA’s Response to the Emergency in Afghanistan” July 2001 to July 2002, and “Evaluation of OCHA and the Timor Crisis” 1999, as they are related to programme structures.

¹⁰⁸ See “Lessons identified in 2006” in the Annual Evaluation Report for 2006, also available in the following link:
<http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docid=1009600>.

¹⁰⁹ Evaluation Studies Section (ESS) 2007 work plan, output 3.1.2.

¹¹⁰ ESS reports to OCHA’s leadership through the Policy Development and Studies Branch.

¹¹¹ OIOS recalls that according to the United Nations Evaluation Group (UNEG) norms and standards, consideration should be given to reporting and operational independence, adequate resources and competencies of staff as well as a transparent dissemination of evaluation findings as critical elements to ensuring the integrity of the evaluation function.

Memorandum item 10.

PPBME rule 107.2 states that “The evaluation system shall include periodic self-evaluation of activities directed at time limited objectives and continuing functions. Programme managers shall, in collaboration with their staff, undertake self-evaluation of all subprogrammes under their responsibility.”

III. RECOMMENDATIONS

31. **Recommendation 1:** With the cooperation of OPPBA, OCHA should harmonize its annual planning framework with the formal biennial planning processes¹¹² to bring coherence to all logical framework components regardless of their source of funding. This harmonization should be done in time for the 2010-2011 formal planning cycle, but also consider any necessary adjustments that can be made to the approved programme of work for 2008-2009¹¹³ aiming at having one programme plan for all OCHA. (Paras. 20-21). SP-07-006-001
32. **Recommendation 2:** OCHA should conduct a review of the core activities, mandates, organizational structures and functions to determine the amount and percentage of activities that should be funded through RB and XB funding. (Paras. 22-23). SP-07-006-002
33. **Recommendation 3:** Based on the review of mandates, functions and organizational structures, OCHA should issue a new ST/SGB outlining formally its revised organization and activities. (Para. 23). SP-07-006-003
34. **Recommendation 4:** Based on the above review, a regularization and reclassification exercise should be launched to ensure that a minimum required core staff as well as key management and substantive positions receive post classifications concurrent with the functions, levels and types of service they are currently performing apart from the “L” posts arrangement. OCHA should seek assistance from OHRM in carrying out this exercise. (Paras. 22-23). SP-07-006-004
35. **Recommendation 5:** The SPU should: (a) Set minimum standards for the development of plans to include the use of baseline data, the development of data collection plans for all IoAs, and strategies to achieve its EAs; (b) Establish protocols for internal vetting to ensure quality of the plans and the identification of needs for data collection as well as provision of guidance and feedback; (c) Establish procedures for verification of results, focusing on data collected against plans and ensuring that procedures for establishing a portfolio of evidence for each indicator of achievement are developed and incorporated to the guidelines for results-based planning, monitoring and reporting. (Paras. 16-19). SP-07-006-005

¹¹² All internal planning documents, HQ and FO/RO plans must be clearly linked to this comprehensive plan and be endorsed by the GA in its normal budget review and approval process.

¹¹³ The annual planning cycle would require 2 work planning sessions where as the biennial cycle would require only one. There could also be some streamlining by combining the cost plan reviews with the mid-year reviews and end-of-cycle reviews that would yield to the preparation of only three reports per biennium rather than four as it is currently the case i.e. 2 “OCHA in 200X” and 2 Annual Reports vs. 1 biennial plan, 1 First year Annual Report which includes revisions to cost plans and adjustments, and 1 End-of-biennium Report.

36. **Recommendation 6:** OCHA should initiative an RBM training programme that includes the provision of guidance and advice on the different aspects of the RBM process. Initiatives such as train-the-trainers, web interfaces and e-training should be considered to further mainstream the RBM efforts. A separate training organized for P5 levels and above should also be considered making emphasis on the management roles and responsibilities in moving the process forward¹¹⁴ in response to a recent recommendation by the CPC.¹¹⁵ (Para. 28). SP-07-006-006
37. **Recommendation 7:** SPU should consider embedding a more participatory consultation mechanism when developing OCHA's strategic plans and reports by canvassing ideas, suggestions, and proposals especially from the FOs/ROs. (Para. 27). SP-07-006-007
38. **Recommendation 8:**
- a) The e-PAS and the HRAC indicators should be clearly aligned to the programmatic results frameworks of individual organisational units.
 - b) The Management Review Committee should be re-established to ensure compliance with e-pas implementation. (Para. 24). SP-07-006-008
39. **Recommendation 9:** Decision-making transparency should be strengthened through SMT establishing clear guidelines and criteria for PFRG's revision of allocations, semi-annual and annual performance review sessions and work plans. (Paras. 26, 29). SP-07-006-009
40. **Recommendation 10:** The IM review should be used as an opportunity to review and develop a knowledge management strategy in line with the ICT strategy of the organization and that would support the development of a repository of good practices and lessons learned on different topics of interest for OCHA. (Para. 27). SP-07-006-010
41. **Recommendation 11:** OCHA should strengthen the evaluation function by: a) developing a framework and strategy paper for the period 2007-2009 to include a programmatic approach to OCHA specific evaluations, b) Developing a systematic approach for identifying evaluation topics, c) establishment of a follow-up monitoring system to facilitate verification and review of the implementation or recommendations, and d) Ensuring that the ESS by adheres to the extent possible to UNEG norms and standards as identified in paragraph 31. (Paras. 30-31). SP-07-006-011
42. **Recommendation 12:** OCHA should strengthen the SPU and ESS by merging them into one Branch/Service that reports directly to either the USG or the ASG, providing them with resources commensurate with their mandate and responsibilities and making the head of this renewed Planning, Monitoring and Evaluation Branch/Service a member of the SMT. (Paras. 22, 28, 30-31). SP-07-006-012

¹¹⁴ In developing further planning, monitoring and reporting material, as well as training, SPU should make emphasis on the critical aspects of having managers actively participate and apply RBM tools, including their roles and responsibilities, strategic opportunities for using RBM for planning, monitoring and reporting; showcasing the achievement of their sections and branches as well as the use of participatory assessment exercises in supporting best practices in management and strengthening accountability.

¹¹⁵ E/AC.51/2007/L.4/Add.2 (Recommendation (i)) – A/62/81 paragraph 43 c).

Annex

Annex 1: Generic issues for OIOS RBM Inspections

<i>RISKS</i>	<i>KEY ISSUES</i>
<i>1. Translation of Mandates into Operational Objectives</i>	1.1 Alignment between Mandates, (sub) programme Objectives, Expected Accomplishments and Indicators of Achievement 1.2 Congruence between RBM Frameworks and Organizational Structures 1.3 Sensitivity of outcomes/expected accomplishments to activities and outputs
<i>2. Measurability of performance indicators</i>	2.1 Presence of Time-bound Performance Indicator Baselines and Targets 2.2 Documentation of Performance Indicator Methodologies 2.3 System for obtaining client feedback, satisfaction ratings
<i>3. Practice of Continuous Results Monitoring and Evaluation</i>	3.1 Availability of Updates/Observations on performance indicators 3.2 Practice of Self-assessment and independent evaluation 3.5 Quality of monitoring and evaluation reports and products
<i>4. Use of results information to guide decision-making</i>	4.1 Use of results information to inform resource allocation and other decision-making processes, including changes made in work programme plans 4.2 Action taken in follow-up to findings and recommendations of evaluation and other oversight reports 4.3 Sanctions and reward in performance assessment
<i>5. Partnerships and capacity development for RBM</i>	5.1 Arrangements and practices for coordination with other actors influencing outcomes pursued 5.2 Department policy, guidelines and standard operating procedures for RBM 5.3 Capacity development for RBM

Annex 2: Percentage of distribution of resources by component

<i>Component</i>	<i>Regular budget</i>	<i>Extrabudgetary</i>
A. Executive direction and management	15.0	2.6
B. Programme of work		
1. Policy and analysis	5.9	3.5
2. Coordination of humanitarian action and emergency response	24.6	59.7
3. Natural disaster reduction	9.1	5.0
4. Emergency support services	17.7	13.9
5. Humanitarian emergency information and advocacy	9.8	10.4
Subtotal B	67.1	92.5
C. Programme support	17.9	4.9
Total	100.0	100.0

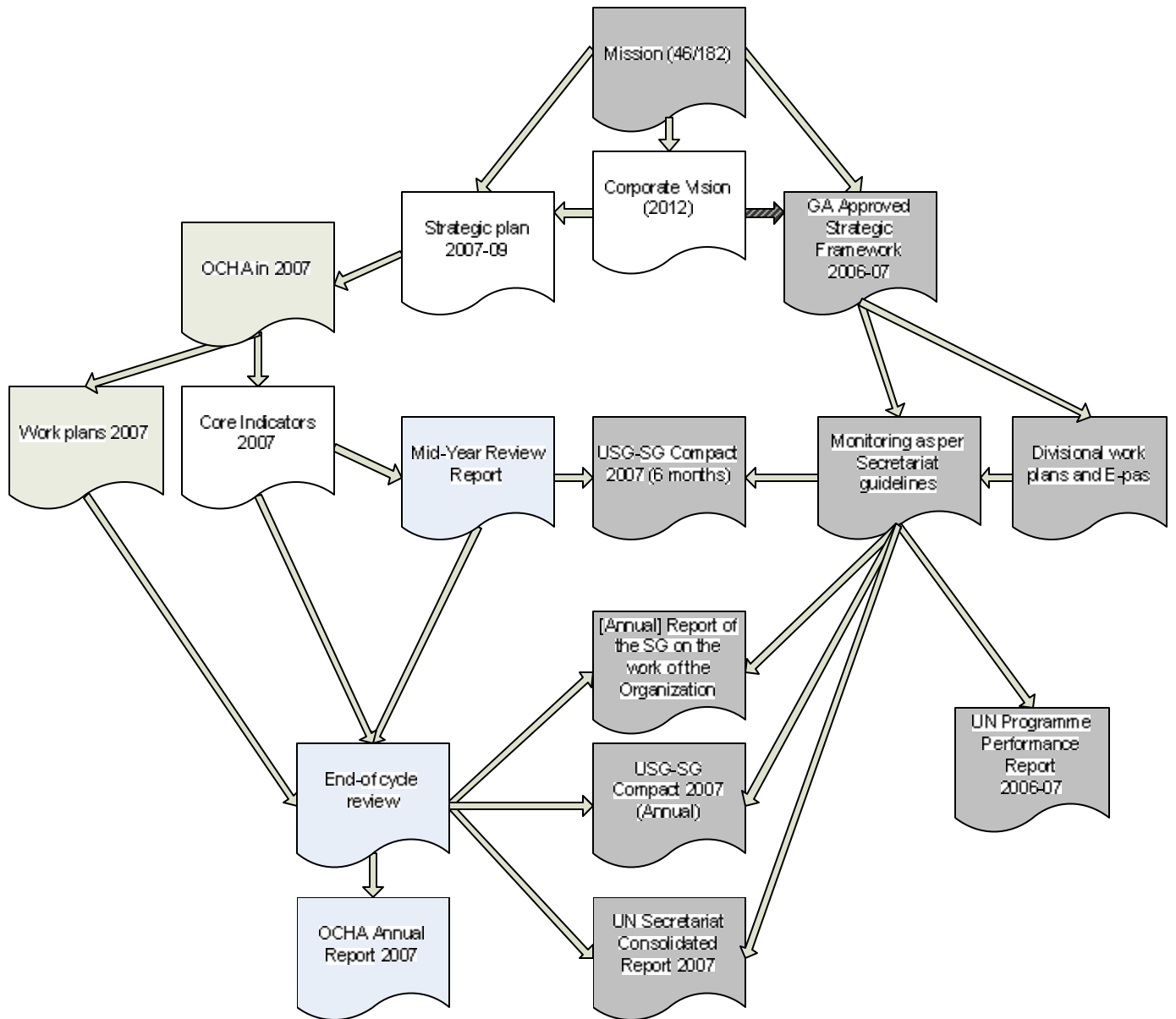
Annex 3: Logframe elements of OCHA's programme of work

<i>Component</i>	<i>Number of expected accomplishments</i>	<i>Number of indicators of achievement</i>
26. Humanitarian assistance		
A. Executive direction and management	2	4
B. Programme of work	0	0
1. Policy and analysis	3	5
2. Coordination of humanitarian action and emergency response	5	6
3. Natural disaster reduction	4	7
4. Emergency support services	3	3
5. Humanitarian emergency information and advocacy	3	3
C. Programme support	0	0
Total	20	28

Annex 4: OCHA's Planning and budgeting process

OCHA Plans and Reports – for the year 2007

(grey indicates compulsory Secretariat reporting – white is OCHA developed)



Annex 5: Programme performance reporting

Actual programme performance in relation to programme budget commitments for the biennium 2006-2007										
	<i>Planned</i>		<i>Additions by</i>		<i>Implementation</i>		<i>Departures from programmed commitments</i>		<i>Implementation rates *</i>	
<i>Subprogramme</i>	<i>Programmed</i>	<i>Carried over</i>	<i>Legislation</i>	<i>Secretariat</i>	<i>Implemented</i>	<i>Reformulated</i>	<i>Post-poned</i>	<i>Terminated</i>	<i>Mandated</i>	<i>Total</i>
Humanitarian assistance										
Executive direction and management	0	0	0	0	0	0	0	0	0	0
1 Policy and analysis	32	0	0	0	29	0	0	0	91	91
2 Coordination of humanitarian action and emergency response	839	0	0	0	377	0	0	0	45	45
3 Natural disaster reduction	146	11	0	0	42	1	0	13	27	27
4 Emergency support services	466	1	0	0	297	0	0	1	64	64
5 Humanitarian emergency information and advocacy	59	0	0	0	25	0	0	0	42	42
Total:	1542	12	0	0	770	1	0	14	50	50
Grand total:	1542	12	0	0	770	1	0	14	50	50
* Implementation rates - Mandated includes final outputs programmed, carried over and added by legislation. Total includes final outputs programmed, carried over and added by legislation and the secretariat. Outputs selected for this report: substantive servicing of meetings; parliamentary documentation; expert groups, rapporteurs, depository services; recurrent publications; non-recurrent publications; other substantive activities; advisory services; training courses, seminars and workshops; fellowships and grants; field projects; conference services, administration, oversight;										

Annex 6: Status of OCHA's performance reporting

Table I. Status of indicators of achievement.

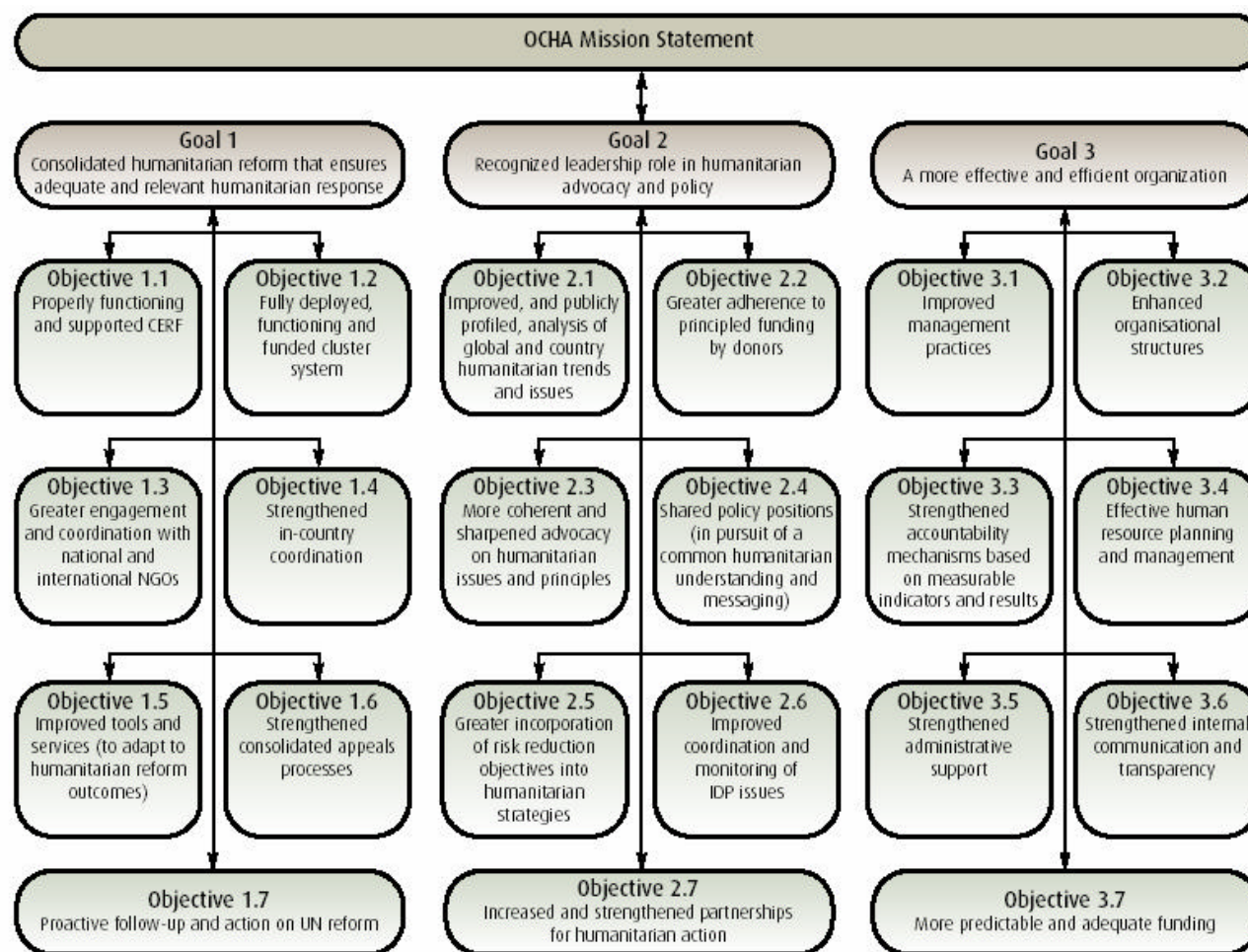
Subprogramme	# IoA*	Complete IoA methodologies ¹¹⁶		Performance measures (adopted)		Performance measures (actual)		Complete IOA results analysis	
		#	%	#	%	#	%	#	%
A. Executive direction and management	4	0	0	4	100	0	0	0	0
1. Policy and analysis	5	0	0	5	100	0	0	0	0
2. Coordination of humanitarian action and emergency response	6	0	0	6	100	0	0	0	0
3. Natural disaster reduction	7	0	0	7	100	1	14	1	14
4. Emergency support services	3	0	0	3	100	0	0	1	33
5. Humanitarian emergency information and advocacy	3	0	0	3	100	2	67	1	33
Subtotal	28	0	0	28	100	3	11	3	11

¹¹⁶ Data collection plans established

Table 2. Status of expected accomplishments

Subprogramme	# EA*	Accomplishment Accounts		Statement of Results		Internal evaluations		External evaluations	
		#	%	#	%	#	%	#	%
A. Executive direction and management	2	0	0	0	0	0	0	0	0
1. Policy and analysis	3	0	0	0	0	0	0	0	0
2. Coordination of humanitarian action and emergency response	5	0	0	1	20	0	0	0	0
3. Natural disaster reduction	4	0	0	1	25	0	0	0	0
4. Emergency support services	3	0	0	1	33	0	0	0	0
5. Humanitarian emergency information and advocacy	3	0	0	0	0	0	0	0	0
Subtotal	20	0	0	3	15	0	0	0	0

Annex 7: OCHA’s strategic framework for 2007-2009¹¹⁷



¹¹⁷ This framework was recently revised to 14 objectives.

Annex 8: OCHA’S ORGANIGRAMME AFTER REALIGNMENT

