



AUDIT REPORT

Policy and guidance management within
the United Nations Office for the
Coordination of Humanitarian Affairs

Although significant progress has been made, further attention is needed to consolidating support for policy and guidance management, including for policy setting and prioritization, as well as implementation and staff training

18 August 2010
Assignment No. AN2010/590/02

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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

TO: Mr. John Holmes, Under-Secretary-General
A: United Nations Office for the Coordination of
Humanitarian Affairs

DATE: 18 August 2010

REFERENCE: IAD: 10- **00733**

FROM: Fatoumata Ndiaye, Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AN2010/590/02 – Audit of policy and guidance management within the United Nations Office for the Coordination of Humanitarian Affairs**
OBJET: **Nations Office for the Coordination of Humanitarian Affairs**

1. I am pleased to present the report on the above-mentioned audit.
2. In order for us to close the recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarised in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (that is, recommendations 1, 4 and 7) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
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INTERNAL AUDIT DIVISION

FUNCTION

“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).

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EXECUTIVE SUMMARY

Audit of policy and guidance management within the United Nations Office for the Coordination of Humanitarian Affairs

The Office of Internal Oversight Services (OIOS) conducted an audit of policy and guidance management within the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). Implementation of a policy and guidance management system had been earlier identified by OCHA as a key initiative in strengthening the level of skill and professionalism of OCHA staff and consistency of organizational performance. The overall objective of the audit was to assess the adequacy and effectiveness of the system in place to support the development, dissemination and review of internal policies and guidance. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

OIOS notes that, overall, OCHA is to be commended for the work done in implementing a formal system for the development and management of policy and guidance. A good policy and guidance management system is an important element of an organization's overall governance and control framework. Policies and guidelines support the achievement of an organization's objectives by defining the scope of the organization's activities and the processes through which the organization operates. They also act as a formal mechanism by which accumulated organizational expertise is captured and transmitted throughout the organization and translated into more targeted, efficient and effective organizational processes, actions, behaviours and activities.

OIOS considers that more clear support to OCHA senior management and the Senior Management Team (SMT) is now needed for the process of policy deliberation, identification and the weighing and prioritization of OCHA policy and guidance needs. This would help ensure that decisions to proceed with policy development are more clearly supported by an analysis of the benefit to be gained by the development and issuance of policy or guidance on the subject, including: (i) whether the development of further policy is appropriate; (ii) the likely mechanisms via which the issuance of policy or guidance would address the issue or change organizational behaviour or actions; and (iii) the way in which ongoing implementation of the policy or guidance would be supported.

Although significant progress has been made in developing an intranet-based platform for the storing, cataloguing and distribution of OCHA policies and guidance materials, there has been less focus to-date on other strategies for the dissemination and translation of guidance materials into processes and practices. The publication of guidance on the OCHANet Guidance Framework platform is unlikely, by itself, to ensure the consistent and effective translation and application of policies and guidance into practice.

OIOS considers that there is a need to look at better ways of improving awareness of policies and guidance materials, so that staff are cognizant of relevant policies and understand their implications for the way in which they

perform their roles. Improved staff awareness and implementation of policies and guidance could be achieved through a broader suite of information products developed in conjunction with formal policies, as well as through enhanced integration of policies and guidance in a programme of OCHA organizational learning and development.

There is also a need for a more coordinated approach to planning and delivery of ongoing staff learning and training. This would ensure that training is provided to staff in accordance with minimum standards of quality, consistency and frequency and minimize the potential for duplication or gaps in the delivery of learning and training programmes. It would also ensure that staff not only possess the minimum competencies required to perform their functions, but also have access to knowledge and information that ensures OCHA actions are consistent with and reflective of OCHA policies and guidance.

There is no formal deliberation or discussion by SMT of the overall programme of policy and guidance development or prioritization of items on the workplan of the guidance management project (GMP) team. Although informal discussions did take place between particular SMT members, the Strategic Planning Unit (SPU) and the GMP team on the strategic direction and anticipated policy and guidance agenda of the GMP team, this was not formally considered or approved by SMT or other senior OCHA management.

Given the important role of policy and guidance management in supporting the achievement of OCHA's strategic objectives, closer linkages between the GMP team and the SPU would formalize the important link between policy and guidance development and strategic planning and policy setting, and allow for the GMP team to more effectively discharge its role in supporting SMT in policy planning and prioritization.

The recent and imminent movement of key staff out of the GMP team and other parts of OCHA, coupled with the time-limited mandate of the original GMP and uncertainties over reporting lines and responsibilities, pose a serious risk to the uninterrupted and continued success of the GMP team in supporting the management of policy and guidance. OIOS considers that it is critical that the function of support for policy and guidance management be integrated as a more permanent part of the organization, located to appropriately reflect its place within the overall OCHA organizational structure as a function supporting the deliberation and implementation of senior management decisions.

OIOS has made a number of recommendations aimed at enhancing support for policy deliberation and priority-setting and for improving the link between policy development and implementation, especially through staff training and development. OIOS has also recommended changes to the present internal organizational arrangements of support for the OCHA policy and guidance management system.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of policy and guidance management within the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). Implementation of a policy and guidance management system had been earlier identified by OCHA as a key initiative in strengthening the level of skill and professionalism of OCHA staff and consistency of organizational performance. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

Growth in the size and complexity of OCHA

2. OCHA was established in 1998 following the reorganization of the former Department of Humanitarian Affairs. Since its establishment, the size and geographic scope of OCHA's operations have grown significantly. The number of OCHA staff has quadrupled over the last decade, from 531 in 1999 to 1,965 in 2010 (see Figure A1 in Annex 2). The number of OCHA staff in the field in 2010 is 1,596, compared with 356 in 1999. OCHA's annual requirements have also increased substantially, from \$46.7 million in 1999, to \$252.9 million in 2010.

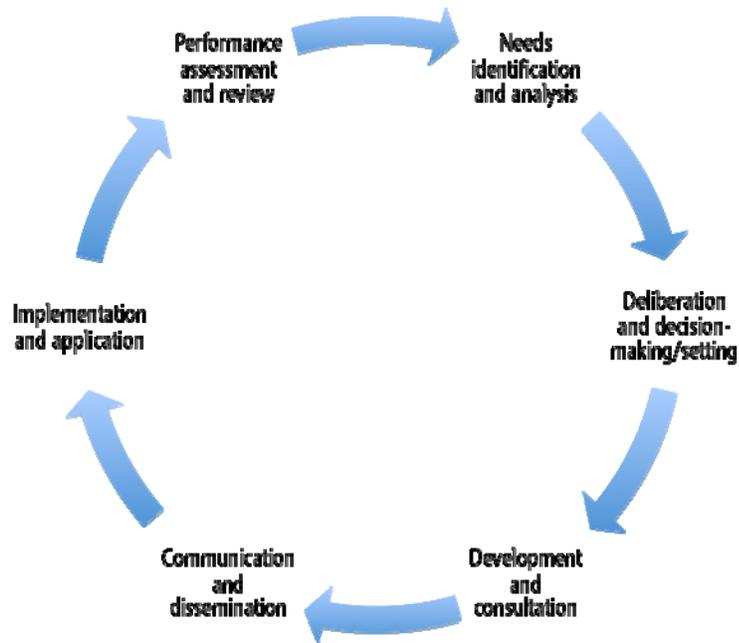
OCHA's Guidance Management Project

3. In recognition of the growing size and complexity of the organization, OCHA formally commenced the Guidance Management Project (GMP) in June 2007 to support the implementation of an OCHA policy and guidance management system. OCHA considered that the development of a strong system of internal guidance would "create a more professional and uniformly instructed cadre of UN humanitarian affairs officers within the organization". Through an easily accessible repository of OCHA policy guidance and information on best practice, the system aims to "turn knowledge and practice into institutional guidance linked to clear expectations of compliance". The ultimate goal of the new system of internal guidance was to create a more coherent, accountable and predictable humanitarian system that supports overall UN reform efforts.

Policy and guidance management

4. A good policy and guidance management system is an important element of an organization's overall governance and control framework. Policies and guidelines support the achievement of an organization's objectives by defining the scope of the organization's activities and the processes through which the organization operates. They also act as a formal mechanism by which accumulated organizational expertise is captured and transmitted throughout the organization and translated into more targeted, efficient and effective organizational processes, actions, behaviours and activities. Policy and guidance management involves a cycle of support from policy deliberation and setting, development, dissemination and implementation, and evaluation and review (as illustrated in Figure 1).

Figure 1: Stages of the policy and guidance management cycle



Source: Prepared by OIOS.

5. The key components of an effective policy and guidance management system should, therefore, include support for and be linked with: (i) policy deliberation, planning and decision-making (as part of and supporting overall strategic planning and setting of strategic goals and direction); (ii) policy and guidance development; (iii) communication, dissemination and translation of policies and guidance into practice; and (iv) review and assessment of the effectiveness of particular policy approaches as a means of informing future policy direction and supporting the achievement of organizational objectives.

6. OIOS used the model of policy and guidance management illustrated in Figure 1 as a framework for developing the audit objective and scope (see Figure A2 in Annex 3 for an illustration of the adopted audit framework). This report is structured to present the key audit findings in relation to OCHA's approach to guidance management across the various stages of the policy and guidance management cycle.

7. Comments made by OCHA are shown in *italics*.

II. AUDIT OBJECTIVES

8. The overall objective of the audit was to assess the adequacy and effectiveness of the system in place to support the development, dissemination and review of internal policies and guidance.

III. AUDIT SCOPE AND METHODOLOGY

9. In forming an opinion against the overall audit objective, the audit team sought to address the following questions within each of the areas of the OCHA policy and guidance system examined by OIOS:

- A. **Policy and guidance development.** Whether the systems that OCHA has put in place to identify and support the development of internal policies are well defined and adequately serve the needs of the organization.
- B. **Policy dissemination and implementation.** Whether appropriate mechanisms have been put in place to support the dissemination of policies and guidance to staff, and mechanisms for training and awareness-raising on the application of such policies in OCHA operations.
- C. **Maintenance, review and assessment.** Whether appropriate arrangements are in place for the ongoing maintenance, review and revision of OCHA policies and guidance, and for assessment of the effectiveness of the guidance management system in improving staff awareness of internal policies and coherence in OCHA decision-making and operations.
- D. **Organizational arrangements and resourcing for guidance management.** Whether the guidance management system is appropriately linked with other relevant parts and initiatives of the organization, including information and knowledge management activities, and also substantive policy and guidance development efforts.

10. Fieldwork for the audit was conducted at OCHA offices in New York and Geneva over four weeks during April and May 2010. The audit methodology included interviews with relevant personnel across OCHA involved in functions relevant to policy and guidance management, including with the heads of key OCHA branches and divisions. Telephone interviews were also conducted with a selection of heads of OCHA regional and country offices. The audit team also met with other staff within the United Nations Secretariat to understand other approaches to policy and guidance management being developed across the Secretariat.

11. OIOS reviewed OCHA and United Nations policies and procedures relevant to the policy and guidance management, including the United Nations Financial Regulations and Rules, Secretary-General's Bulletins and Administrative Instructions, OCHA Policy Instructions, Standard Operating Procedures, and other guidance material. Finally, OIOS also conducted a survey of all OCHA staff to gather information and views of staff on the policy and guidance system within OCHA.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Policy and guidance development

Policy and guidance identification, planning and prioritization

12. OCHA has issued a policy instruction and standard operating procedures for the development and dissemination of policies and guidance materials. The Policy Instruction on OCHA Guidance Materials (hereafter referred to as the ‘Guidance Policy’) was developed following “recognition by the OCHA Senior Management Team (SMT) in November 2005 of the need for a unified approach for developing policy and guidance for OCHA staff, in particular to better meet the operational guidance needs of staff in the field”. The Guidance Policy further notes that “a clear and coherent written guidance system will support more effective, efficient and accountable humanitarian coordination”.

13. OCHA guidance materials must be developed, approved and reviewed in accordance with the Guidance Policy and the OCHA Standard Operating Procedure (SOP) on Development of OCHA Guidance Materials. OCHA guidance materials apply to all OCHA staff.

14. Four types of guidance materials are provided for:

- **Policy Instructions**—Provide an explanation of OCHA’s institutional stance on an important issue or activity within OCHA’s mandate, and the resulting essential expectations of OCHA staff, in terms of objectives and responsibilities. It may also touch on the broad methods for handling an issue or activity. A policy instruction is the basis for consistent institutional behaviour by staff. Compliance is expected;
- **Guidelines**—Suggested courses of action, recommendations, principles or considerations on how to deal with an area of activity or an issue. They often help interpret policies when further clarification is needed. They are distinct from SOPs in that they tend to: (i) deal with areas of activity, as opposed to specific tasks and activities; and (ii) set parameters for action, as opposed to procedures for achieving a desired result. Compliance is strongly recommended;
- **Standard Operating Procedures**—A standing instruction that provides OCHA staff with guidance on how to implement a specific task, process or activity, or to achieve a desired result. They are usually procedural in nature and provide a series of steps to be followed. Compliance is expected; and
- **Handbooks**—A publication, usually on a technical subject, that may contain a collection of policy instructions, SOPs and/or guidelines on subjects that can be logically grouped to achieve clear outcomes.

Compliance with specific aspects is expected or strongly recommended, as applicable.

15. All OCHA guidance materials are clearly noted as being subordinate to, and at all times must be consistent with, the legislative and normative requirements of governing bodies, UN Regulations and Rules, and relevant UN policies.

16. OCHA has formally assigned responsibilities for the development of policy and guidance materials and issued policy on the process to be followed when creating new guidance. The Guidance Policy confirms that authority to issue guidance materials relating to effective humanitarian coordination and related activities carried out by OCHA rests with the Emergency Relief Coordinator and Under-Secretary-General for Humanitarian Affairs (ERC/USG-HA). The ERC/USG-HA is responsible for the approval of official guidance documents, although this authority may be delegated to other OCHA managers for certain types of documents. The GMP team in the Policy Development and Studies Branch (PDSB) is required to maintain a list of any such delegation of authority.

17. The Guidance Policy provides that the SMT is responsible for:

- providing clear tasking, deadlines and parameters for guidance development, including identifying lead responsibilities and the key stakeholders to be consulted;
- considering and clearing OCHA guidance materials to be signed by the ERC/USG-HA; and
- considering and clearing OCHA position papers for referral to superior authorities and/or inter-agency bodies.

18. SMT members are responsible for sponsoring submissions of guidance materials to the SMT and ultimately the ERC/USG-HA. Any OCHA Branch Chief may propose the need for guidance material, in accordance with the policy and guidance SOP. Staff who have identified a need for new guidance or a revision to existing guidance propose the initiative to the relevant Branch Chief who then brings the initiative (through a one- to two-page guidance proposal) to SMT.

19. These guidance proposals typically follow a common format, providing a brief rationale for the policy or guidance proposal, a discussion of the scope or likely content of the resulting policy or guidance document, and an indication of the process by which drafting and consultation will occur.

20. However, OIOS observed that very limited attention is given in the guidance proposals to the intended outcomes of particular policy principles and the mechanisms by which the proposed policy and/or guidance materials will achieve these outcomes (whether through changes to the scope of decision-making or activities or through changes to organizational processes and practices). There is no sufficient discussion of why the development and promulgation of policy or guidance material will be the most effective means (or even an effective means) of achieving the intended organizational outcome or

objective. This risks hindering consideration by SMT of the preliminary questions of whether the development of particular policies and guidance materials would in fact be effective or adequately addressing the underlying goal or problem to be remedied.

21. OIOS also notes that there is insufficient attention given in the guidance proposals to the mechanisms by which the proposed policy and guidance materials (and the principles and processes that they embody) will be communicated, disseminated and translated into changes in organizational processes and staff behaviours. Issues such as who will be responsible for ensuring ongoing staff awareness and implementation of the developed policy or guidance material, the mechanisms by which this will occur, and the estimated resources that will be required for awareness raising, training and changes to processes or practices are not at all considered. OIOS considers that these are important issues to be considered at an early stage since they will allow a more considered weighing of the potential benefit and costs associated with the development and maintenance of particular policies and guidance materials.

22. Finally, OIOS also notes that guidance proposals give very little attention to the relationship between the proposed policy or guidance and other existing or anticipated policies. This accentuates the risk that policy and guidance materials do not reflect the organization's priorities and have not been sufficiently weighed against the respective resources required for development and ongoing implementation. It also means that the suite of organizational policies and guidance materials may not adequately align with and reflect the principles in other existing or proposed materials and approaches.

23. OIOS considers that more clear support to SMT and senior management is now needed for the process of policy deliberation, identification and the weighing and prioritization of OCHA policy and guidance needs. This can be accomplished through: (i) formal and periodic consideration and approval of the overall OCHA policy and guidance development agenda by SMT or OCHA senior management, including of the programme of work of the guidance management team; and (ii) requiring that proposals for new policy or guidance materials pay closer and more explicit attention to consideration of how the proposed policy or guidance material would contribute to and support the organization's activities or achievement of the desired policy outcome (including how policy or guidance would act to change or support organizational activities, the strategy for dissemination, training and implementation, and the relationships of the proposed guidance to other existing or proposed policies).

24. This would facilitate policy deliberation and prioritization by senior management by ensuring that decisions to proceed with policy development are more clearly supported by an analysis of the benefit to be gained by the development and issuance of policy or guidance on the subject, including whether the development of further policy is appropriate, the likely mechanisms via which the issuance of policy or guidance would address the issue or change organizational behaviour or actions, and the way in which ongoing implementation of the policy or guidance would be supported.

Recommendation 1

(1) OCHA should ensure that policy deliberation, prioritization and decision-making is further supported to ensure that policy and guidance proposals submitted to the Senior Management Team for approval more clearly identify: (i) the underlying policy problem or issue; (ii) the mechanisms through which the issuance of policy or guidance would address this underlying issue; and (iii) the way in which the policy or guidance will be implemented and supported.

25. *The OCHA Management accepted recommendation 1, stating that the recommendation will be implemented by 31 December 2011.* Recommendation 1 remains open pending the provision of evidence (such as a revised template for policy guidance proposals) demonstrating that policy and guidance proposals submitted to SMT are required to explicitly identify: (i) the underlying policy problem or issue sought to be addressed by the issuance of the new or revised policy or guidance; (ii) the mechanisms through which the issuance of policy or guidance would address this underlying issue; and (iii) the way in which the policy or guidance will be implemented and supported, including proposed approaches for communication, training and staff development.

The guidance management project team's support for policy and guidance management

26. The Guidance Policy assigns an important role to the GMP team in guiding the policy development process by providing secretariat support for guidance development and for the overall management of issued policy and guidance material. The current Guidance Policy and SOPs do not reflect, however, the important role played by the GMP team in the policy and guidance management process. In practice, the GMP team has been central in the development of recent policy and guidance material within OCHA and has acted as the primary author or provided substantial policy input to the majority of the recently issued policy and guidance materials. This difference between the formal position articulated in the Guidance Policy and actual practice may lead to an underestimation of the GMP team's role in and contribution to the guidance management process. It has also led to frustration and uncertainties among parts of OCHA as to the ownership of particular policies, the expected contributions to the policy development process and responsibility for ongoing implementation and review.

27. The Guidance Policy specifies that the GMP team is to provide technical secretariat support for policy and guidance development, including:

- acting as secretary to SMT meetings on guidance issues;
- ensuring that all guidance material is registered and posted electronically on the OCHANet Intranet site, the OCHA Document Management System, and in a central location in paper copy;
- producing a quarterly Policy Gazette of any new additions or revisions to existing guidance, as well as expected guidance; and

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- announcing the approval of material in a timely manner and ensure review dates are observed.

28. During interviews with staff, it was observed that the GMP team had, in addition to providing technical secretariat support for policy and guidance development, also played a central role as drafter and author of some policy and guidance materials. In fact, a number of OCHA staff noted that it had always been intended that the GMP team would play a very strong role in the drafting or policy and guidance material. For example, where the GMP team considers that particular policy or guidance is needed but the relevant substantive OCHA unit has not suggested its development, the GMP team consults with the unit to convince them that the guidance is needed and works with the unit to produce the guidance proposal for SMT.

29. The GMP team advised that it always participates in the drafting team established to manage the drafting and consultation process. The GMP team also plays a central role in coordinating and considering comments received during the policy development and consultation process, consulting with policy and guidance drafters and ascertaining the extent of consistency of policy positions and proposals with existing OCHA policy (as embodied in the Strategic Framework, the Strategic Framework planning assumptions and decisions of SMT).

30. OIOS considers, however, that it is not presently clear when the GMP team is expected to act as the lead author or sponsor of policy and guidance, and when it is expected to provide advice and support to other authors during the policy development process. There is also a need for clarification of the precise roles and responsibilities of the GMP team with respect to support for policy debate, deliberation and priority-setting, as well as policy development and consultation.

Recommendation 2

(2) OCHA should clarify the roles and responsibilities of respective participants in the guidance management system for various stages of the policy and guidance management process. This could be achieved through appropriate revision to the existing OCHA Policy Instruction and Standard Operating Procedures on Guidance Management, as well as through appropriate adjustments to the terms of reference, working relationships and workplans of those OCHA units that play a role in the policy and guidance management process.

31. *The OCHA Management accepted recommendation 2, stating that the recommendation will be implemented by 31 December 2011.* Recommendation 2 remains open pending the provision of evidence (such as a revision to the OCHA Policy Instruction and Standard Operating Procedures on Guidance Management or appropriately crafted terms of reference for the respective OCHA business units) showing that: (i) those OCHA business units with responsibilities for the identification, development, management, communication, and implementation

of OCHA policies and guidance materials have been identified; and (ii) their respective contribution to the policy and guidance management process has been clearly defined. For example, one area that should be more clearly defined is the circumstances under which the GMP team is expected to act as the lead author or sponsor of policy and guidance, and when the team is merely expected to provide advice and support to other authors during the policy development process.

Development of and consultation on policy and guidance materials

32. OCHA has developed a comprehensive system for consultation on policies and guidance materials under development. As stressed by OCHA, one important benefit of a formalized approach to policy and guidance management is the opportunity that is provided to staff to participate in policy development and to contribute to debate and discussion on important policy questions. The consultation process fosters this dialogue among staff, which helps to build consensus on important policy principles and thereby facilitates the sense of staff ownership and commitment necessary to successful translation of policy into practice. In OIOS' view, however, consultation approaches have not always sufficiently balanced the need for dialogue against ensuring the consultation process is effectively and timely concluded.

33. OIOS considers it is important that the key foundation policy and guidance documents are identified and prioritized, since the development of many OCHA policies and guidance materials depend upon and are related to other OCHA policies and approaches. It is also important that those involved in the development of OCHA policies, as well as those staff that will be affected by and expected to apply such policies and guidance material, are aware of the status of and timetable for their development, so that they can adequately participate in the development process and anticipate the changes and resources necessary to ensure their application to their activities.

34. OIOS however found that this was not always the case. As was originally envisaged in the guidance policy instruction, information on the policies and guidance material under development should be made more readily available to relevant staff (whether through regular policy gazettes or through other means, such as appropriate postings on OCHA.net).

35. OIOS also found that the relationships between the GMP team and other parts of OCHA (including SMT, SPU, substantive divisions and policy authors, and those areas responsible for learning and development and OCHA information and knowledge management) remain informal and undefined and lead to the potential for uncertainty and disputes over the way in which the policy and guidance system operates in practice and the responsibilities of various actors.

Recommendation 3

(3) OCHA should develop consultation strategies to: (i) provide further guidance to the sponsoring manager and responsible drafting team of the proposed policies and guidance materials for approval by SMT; (ii) determine which staff should be consulted during the development of

policy and guidance materials; and (iii) ensure that the extent of proposed consultation is appropriately balanced against time and other resource constraints.

36. *The OCHA Management accepted recommendation 3, stating that the recommendation will be implemented by 31 December 2011. Recommendation 3 remains open pending the provision of evidence that: (i) updated information is regularly made available to staff (for example, through information appropriately distributed on OCHA.net) on the policies and guidance material proposed for development and presently under development, including the expected timeframes for drafting, consultation and completion of such policies and guidance materials; and (ii) each new policy or guidance proposal is required to include a proposed strategy for consultation of relevant staff during its development.*

B. Policy dissemination and implementation

Methods for communication and dissemination of guidance materials

37. The Guidance Policy provides that the GMP team is responsible for ensuring that, once approved, policy and guidance material is announced and disseminated to relevant headquarters and field staff in paper format, and electronically on both the OCHA intranet and the OCHA Document Management System. A designated contact officer is responsible for maintaining approved guidance material and for reviewing it before the agreed review date.

38. The Guidance SOPs assign responsibility to the GMP team, working with the lead substantive OCHA office, for determining the most appropriate method for announcement and dissemination of the guidance material.

39. The initial project charter for GMP envisaged that GMP would “have a strongly proactive role in...the development and support of training modules and workshops necessary to integrate [policy and guidance] into the daily practice of managers and staff, especially in the field”.

40. OCHA has developed the Guidance Framework (see Figure 2) as a mechanism for storing, cataloguing and making available policies and guidance materials to OCHA staff. The Guidance Framework is available on the OCHA.net intranet site and is based on the tool developed by the Department of Peacekeeping Operations and under development by the Department of Political Affairs and the Office of the High Commissioner for Human Rights.

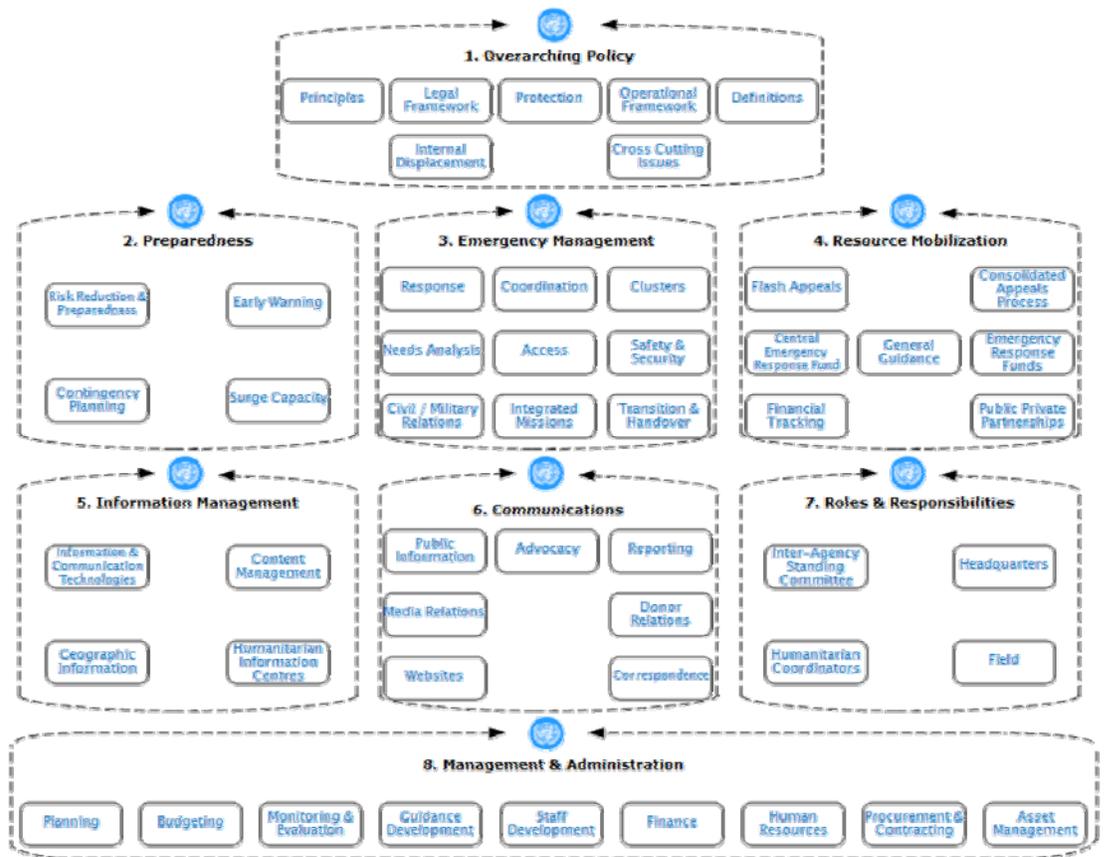
41. The Guidance Framework is consistently among the most visited areas on the OCHA.net intranet site. In the first part of 2010, the Policy and Guidance main entry page received the sixth highest number of unique page views, behind the OCHA.net main entry page, the Haiti task force page, the pages on OCHA Temporary and Galaxy vacancies, and the human resources main page.

42. Ninety-four per cent of the 181 respondents to a survey administered by OIOS to all OCHA staff were aware that OCHA policy and guidance materials are available on the Guidance Framework page of OCHA.net intranet site, with

56 per cent of respondents indicating that they used the site as their primary source of information on internal policies and guidance. The majority of respondents rate the site as average on factors such as comprehensiveness of information, structure and organization, visual appeal, ease of finding relevant information and speed of access to information.

43. At present, the site catalogues OCHA and UN Secretariat policies and guidance materials, organized according to a framework of eight key themes selected by the GMP team (and illustrated in Figure 2).

Figure 2: The OCHA Guidance Framework



Source: Extracted from the OCHA intranet website <<http://ochanet.unocha.org>>.

44. Within each of the eight themes, policy and guidance material is further grouped into subject-areas and by the type of information presented. For example, within the theme of Preparedness, the Contingency Planning subject area contains: (i) OCHA draft and pre-existing policy guidance; (ii) guidance issued by the Inter-Agency Standing Committee (IASC); (iii) documents issued by other departments and offices within the United Nations Secretariat; and (iv) 'lessons learned and other useful documents'. The site also provides further 'quick links' to related documents and subject areas.

45. However, during interviews, some staff noted that it was not easy to find relevant content and that for many themes and subject areas, the information presented was incomplete or limited to non-OCHA materials. Only 39 per cent of respondents to the IAD survey agreed with the statement that they could readily identify OCHA policies and guidance materials that are relevant to their work, with 35 per cent disagreeing, and 22 per cent neither agreeing nor disagreeing. Comments from those staff responding to the OIOS survey also indicated that many staff were not aware of the search capabilities provided by the OCHAnet platform to assist in retrieval of relevant guidance materials.

46. OIOS also observed that for many materials (especially the non-OCHA specific UN-wide and lessons learned documents) it was not easy to determine whether the materials were up-to-date or whether the information posted on a particular topic was comprehensive. OIOS considers that if materials stored within each of the subject areas of the system are not properly kept up-to-date, staff may not see the site as a reliable and comprehensive tool, thus minimizing the utility and authority of the system.

47. Although the disciplines and functions overlap, guidance management encompasses a subset of wider information and knowledge management functions within OCHA, functions that service different organizational needs and purposes. In addition to the contribution made to larger, non-policy specific organizational knowledge management and learning efforts, the GMP team also plays separate role in safeguarding the policy and guidance development and review process, as well as communicating and promoting adapted guidance instruments. OIOS considers that it is important that OCHA clearly determine how it is intended that its guidance management system will fit with wider OCHA information and knowledge management efforts, in order to minimize duplication or waste of effort and to ensure that the tool's primary goal of policy and guidance management is not undermined. An important first step will be for OCHA to clarify the relationships, responsibilities and functions of those respective areas of OCHA involved in information and knowledge management, including not only the GMP team and PDSB, but also the OCHA Executive Office, and the Communications and Information Services Branch.

48. Finally, OIOS notes that, given its importance as a tool for communicating and disseminating information to staff on policy and guidance materials, OCHA needs to ensure that the Guidance Framework intranet site on OCHAnet complies with minimum good practice standards on web design and accessibility (such as the Web Accessibility Initiative of the World Wide Web Consortium). This will ensure that staff with limited access to the Internet (whether because of technological hardware limitations or communications constraints and disruptions), or those staff with disabilities, can perceive, understand, navigate, and interact with the Guidance Framework site and have access to OCHA policies and guidance when needed.

Recommendation 4

(4) OCHA should develop a communication and implementation strategy for each new proposed policy and

guidance instrument, clearly identifying and assigning responsibilities for communication and implementation.

49. *The OCHA Management accepted recommendation 4, stating that the recommendation will be implemented by 31 December 2011.* Recommendation 4 remains open pending the provision of evidence (such as through a revision to the OCHA Policy Instruction and Standard Operating Procedures on Guidance Management) that a communication and implementation strategy that clearly identifies and assigns responsibilities for communication and implementation is required to be developed for each policy or guidance proposal.

Implementation and staff development and learning

50. The GMP team has worked extensively with the OCHA Staff Development and Learning Section (SDLS) to incorporate recent policy and guidance materials into the newly revised OCHA Induction Programme and also the OCHA-developed Humanitarian Field Coordination Programme. However, apart from these two efforts, the relationship between the GMP team and SDLS has been otherwise limited.

51. Some substantive areas with responsibilities for particular OCHA policies had begun to deliver training courses to OCHA staff on the application of specific policies and guidance. However, this practice was not widespread for all newly developed or issued guidance. Sixty-eight per cent of respondents to the OIOS survey of OCHA staff expressed dissatisfaction with the amount of training they had received on OCHA internal policies and guidance, and this view was generally shared by those interviewed.

52. Little attention has so far been given to encouraging ownership over and support for ongoing dissemination and translation of policies and guidance materials into practice. SDLS advised OIOS that it had instituted an informal network of those individuals across OCHA that have responsibility for developing and delivering training to staff on particular substantive areas of OCHA's operations, including on relevant OCHA policies and guidance materials. This had provided an, albeit informal, avenue to share information on training plans, methodologies and advice across the organization. However, OIOS considers that there remains few formal efforts aimed at planning and coordinating for the ongoing staff learning and training required for ensuring that OCHA policies and guidance materials are translated into changes in OCHA operations and practice. Similarly, only informal and ad hoc attempts had been made for ensuring that training is provided to staff in accordance with minimum standards of quality, consistency and frequency. The current OCHA review of staff learning provides an opportunity to examine and address these questions in further detail.

53. Although significant progress has been made in developing an intranet-based platform for the storing, cataloguing and distribution of OCHA policies and guidance materials, there has been less focus to-date on other strategies for the dissemination and translation of guidance materials into processes and practices.

54. OIOS considers that there is also a need to look at better ways of improving awareness of policies and guidance materials, so that staff are cognizant of relevant policies and understand their implications for the way in which they perform their roles. The publication of guidance on the OCHAnet Guidance Framework platform is unlikely, by itself, to ensure the consistent and effective interpretation and application of policies and guidance into practice. A number of those OCHA staff interviewed observed that they had difficulty identifying how particular policies and guidance materials would be immediately relevant to their work and any changes to present ways of working that they might require. OIOS considers that improved staff awareness and implementation of policies and guidance could be achieved through a broader suite of information products, including (for example) practitioner summaries, quick tips or guidance summaries or notes, released in conjunction with new policies and guidance materials, as well as through enhanced integration of policies and guidance in a programme of OCHA organizational learning and development.

55. OIOS also considers that OCHA should explore other alternatives and mechanisms for communicating policies in order to assist in integrating policies and guidance into practice. The enhanced use of communication and information technology tools could allow staff, through participation in distance learning or interaction with dedicated policy focal points, communities of practice or expert discussion groups, to more actively engage in dialogue and deal with questions on the application and interpretation of policies.

56. Finally, OIOS notes that there is also a need for more coordinated approach to planning and delivery of ongoing staff learning and training. This would ensure that training is provided to staff in accordance with minimum standards of quality, consistency and frequency and minimize the potential for duplication or gaps in the delivery of learning and training programmes. It would also ensure that staff not only possess the minimum competencies required to perform their functions, but also have access to knowledge and information that ensures OCHA actions are consistent with and reflective of OCHA policies and guidance.

Recommendation 5

(5) OCHA should ensure that any decisions on the form of and support for the staff learning system adequately reflect and take account of the important role of staff learning and training in ensuring the effective implementation of OCHA internal policies and guidance.

57. *The OCHA Management accepted recommendation 5, noting that very little training and learning support is currently provided to OCHA staff solely targeting OCHA as the audience. The OCHA Management further advised that much of the training delivered by OCHA training providers (other than SDLS) primarily targets external partner audiences, with only some places reserved for OCHA staff members, and that although SDLS and the OCHA Administrative Office have been working with training providers to develop training targeting OCHA staff, there are simply no other learning programmes provided to OCHA staff as a target audience. Finally, the OCHA Management noted that in order*

for more learning support targeted to an OCHA staff audience to be developed by OCHA, the SMT would need to stipulate that training providers work with SDLS to target an OCHA audience and that SDLS currently has no authority to require any training provider to work with OCHA or to follow patterns of consistency and quality. Recommendation 5 remains open pending the provision of evidence of current or planned action aimed at improving staff awareness and implementation of OCHA policies and guidance materials, for example, through a formal and regular programme of training, learning and development on OCHA policies and guidance, and/or through a broader suite of information products released in conjunction with new policies and guidance materials, including practitioner summaries, quick tips or guidance summaries or notes.

C. Assessment and review

Review of implementation and effectiveness of policy and guidance

58. The Guidance Policy requires that all OCHA guidance material be subject to review, typically every two years. The GMP team is responsible for tracking review dates and advising responsible OCHA offices at least 60 days before the review or policy expiry date that review action is required.

59. The responsible office decides whether to:

- Undertake no review and ‘roll-over’ the guidance for a period of up to two years;
- Conduct a minor review of the guidance;
- Conduct a major review of the guidance or replace it with new guidance; or
- Terminate the guidance with no replacement guidance.

60. In reaching this decision, the responsible office is to consult with relevant field offices to ascertain the status of implementation of the guidance and determine whether modifications are required.

61. Although OCHA has employed After-Action Reviews (AARs) as a tool for assessing organizational responses and performance, these have been ad hoc and the quality and methodology employed to conduct the reviews mixed. There are presently no clear standards or requirements for when these reviews should be conducted, how and by whom, or how the results will be used to inform further action or future policy and guidance development and revision. The recently introduced OCHA Evaluation Policy now requires, however, that “corporate” emergencies (such as the one declared following the 2010 earthquake in Haiti) will be automatically subject to an evaluation of OCHA performance. In addition, the Evaluation Policy requires a number of OCHA operations (selected by SMT) to be evaluated each year.

62. OIOS considers that there is a need for standardization and instruction on the conduct of AARs and other internal management reviews to ensure that such reviews are a useful tool for management planning and decision-making. OIOS notes that the GMP team had developed draft guidelines on AARs. OIOS commends this work and considers that the OCHA Evaluation and Studies

Section (ESS), working in consultation with the GMP team, should further develop and finalize a policy and guidance on the conduct and use of after-action reviews as a tool for assessing policy and organizational effectiveness.

63. OIOS also considers that there remains uncertainty over the linkage between the guidance management system and wider OCHA information and knowledge management approaches and strategies. For example, the Guidance Framework section of the OCHANet intranet site not only includes official OCHA policy instructions and guidance documents, but also UN Secretariat policies and other documents, as well as ‘lessons and other useful documents’ from both within and outside the UN system. However, it is not clear whether this information is intended to be a comprehensive, up to date resource for OCHA staff or whether it acts as only a partial repository of relevant information. For example, questions such as whether the GMP team would continually peruse these other information sources to capture and publish links to new and relevant materials or whether the GMP team would ensure superseded or outdated materials are removed have not been adequately resolved.

64. OIOS considers that the linkages between the OCHA policy and guidance management system and larger OCHA-wide information and knowledge management need to be better defined, so that the Guidance Framework on the OCHANet intranet site is a useful and trusted resource for OCHA staff and so that efforts aimed at the collection, storage and maintenance of information on the site are not wasted. The original project charter noted that GMP will ensure that ‘evaluations, lessons learned and ad hoc lessons communicated from the field result in instant and standardized institutional learning that is made available to the organization as a whole through an easily usable intranet site, including an intranet-based repository of best practices, and is incorporated into OCHA training modules’. However, OIOS considers that there remains considerable uncertainty over the role played by the GMP team and the policy and guidance management system in supporting wider OCHA information and knowledge management and learning.

65. Although one aim of GMP was to ensure that best practices and lessons learned are incorporated into OCHA policy guidance and to ensure that policy guidance is integrated into all OCHA training programmes, OIOS considers that the policy review, adjustment and learning process remains only informally linked with policy setting and decision-making, policy guidance and development or staff learning and development. This means that OCHA policies and guidance and staff and organizational practices and approaches are not fully informed by and responsive to the entire range of OCHA organizational knowledge and experience.

66. There has also been little attention given to date to examination of the extent of compliance across OCHA with policies and guidance or with reviews of the effectiveness of policy and guidance materials in facilitating OCHA actions and the achievement of OCHA goals and objectives.

67. OIOS considers that one means of addressing this gap is to ensure that internal management review of actions (such as through formal After-Action Reviews) should routinely assess performance against established OCHA

policies and guidance and assess the extent of compliance with such guidance and whether OCHA policies and guidelines facilitated or hindered performance in the circumstances under review.

68. The original project charter for GMP had also envisaged an evaluation at the conclusion of the three-year project to determine the effectiveness of the system established for policy and guidance management. OCHA advised OIOS that this project was delayed pending the outcome of this OIOS audit, and that it was now unlikely that such an evaluation would occur.

69. OIOS considers that it is important that OCHA regularly review and assess the effectiveness of its system for managing policy and guidance and whether this system efficiently and effectively supports the achievement of the organization's activities and objectives.

70. The recent internal review of OCHA's administrative support functions and OCHA's response to that review provides an opportunity for consideration of the policy and guidance management system, its key purpose and role, the relevant components and structures required to support the system and the respective resources devoted to and arrangements for the performance of those functions.

71. The policy and guidance management system should not be viewed as merely the GMP, nor as only limited to the development of organizational policies, but instead as a cycle of support for decision-making on organizational policies and for implementation of resultant organizational practices. It is, therefore, a larger process driven from senior management and about facilitating the achievement of organizational objectives through a framework for action and tools for developing and transmitting knowledge, skills and expertise to staff.

Recommendation 6

(6) OCHA should further develop and finalize a policy and guidance on the conduct and use of After-Action Reviews as a tool for assessing organizational actions and the compliance with and effectiveness of OCHA policies and guidance in supporting OCHA activities.

72. *The OCHA Management accepted recommendation 6, stating that the recommendation will be implemented by 31 December 2011.* Recommendation 6 remains open pending the provision of evidence of a policy and methodology requiring that, when relevant, internal management reviews (such as After-Action Reviews) assess actual performance against established OCHA policies and guidance and assess the extent of compliance with such guidance and whether OCHA policies and guidelines facilitated or hindered performance in the circumstances under review.

D. Organizational arrangements and resources

Resources and arrangements for supporting guidance management

73. The GMP team, established in 2007, has played a central role in supporting the development of a number of OCHA policies and guidance materials. The GMP team has established both formal and informal linkages with other areas of OCHA involved in the policy and guidance system. The success of the GMP team has been heavily dependent on the knowledge, skill and experience of the current members of the GMP team.

74. The GMP team, established to support the development of the guidance system, presently resides within PDSB and comprises three professional officer staff (two at P-4 level and one at P-3 level) and half the time of a general service officer. In 2010, the GMP team has a budget of \$745,108, of which \$705,676 is assigned for staff resources and \$39,432 for non-staff resources.

75. The GMP team was intended to work closely with SPU to monitor any risks that may hinder OCHA in achieving its strategic plan and to determine how the development of guidance may help to reduce these risks. It was also to work with ESS and field managers to ensure that best practices and lessons learned are incorporated into OCHA's policy guidance, and with SDLS to ensure that policy guidance is mainstreamed in all of OCHA's training programmes.

76. The initially envisaged main activities for the GMP team were to:
- ensure that policy and guidance management issues were kept on the agenda of the senior management team for appropriate consideration and decision making;
 - coordinate training on guidance for all staff and ensure that policy guidance is integrated into all of OCHA's training;
 - monitor compliance with approved processes for the production and use of guidance, and advise management of any gaps;
 - commence development of the corporate identity (capstone) document;
 - support the development of a robust, user-friendly and client-oriented Intranet site for guidance;
 - lead the development of a content management system(including reference system by number and subject) and integrate the system into a database; and
 - establish an archive of all existing guidance.

77. The head of the GMP team for the past three years has recently left OCHA, while the other P-4 level GMP officer (presently acting as GMP team head) will also be imminently departing, leaving only the P-3 Information Management Officer until the two P-4 positions are filled. Coupled with planned movements of other key OCHA senior managers who have been significantly engaged with and supportive of the work of the GMP team, and the mostly informal (albeit effective) linkages and interaction that the team has with important OCHA units (such as SPU and CRD), there is a risk that the significant

loss of experience and expertise will interrupt the work of the GMP team and result in a loss of direction, momentum and relevance.

78. OCHA advised OIOS that, although GMP was intended to run for three years, the GMP team would continue the work of GMP beyond 2010. However, there has been no formal extension of GMP or any change in the status of the GMP team to reflect the integration of the team's work into the overall organizational structure of OCHA.

79. Although informal links have been established between the GMP team and other components of the policy and guidance system, some important linkages have remained unclear or underutilized. For example, the GMP team is assigned a formal role by the guidance policy for acting as secretary to SMT meetings on guidance issues. The approved GMP Charter also envisages a role for the GMP team in supporting policy priority setting and consideration of key policy issues by SMT. However, formal support by the GMP team for this policy deliberation and prioritization has been limited to date, with the greater focus of the GMP team's work on the development of particular policies and guidance.

80. OIOS found a perception among some interviewed that it was not clear whether the GMP team adequately engaged with SMT at an early enough stage of the policy development process. Perhaps contributing to this perception was the fact that there had been limited formal involvement of SMT in approving or providing input into the overall policy and guidance programme of work of GMP.

81. OIOS considers that more formal attention should be given to the role of the GMP team (in partnership with SPU) in supporting, through the secretariat to SMT, policy deliberation and policy and guidance planning and prioritization within SMT.

82. Although the unit that is perhaps most visibly associated with the guidance management system is the GMP team, there are a number of OCHA organizational units and staff across the organization that have formal and informal roles to play in policy and guidance management across OCHA. Policy and guidance management involves a cycle of support from policy deliberation and setting, development, dissemination and implementation, and evaluation and review.

83. Organizational areas with important roles to play in OCHA's guidance management system include: OCHA senior management, as well as formal advisory and decision-making forums (such as SMT and ad hoc advisory senior management advisory groups like those established for the purposes of the Strategic Framework); SPU; substantive OCHA business units with a role to play in advising on substantive policy questions; the Administrative and Executive Offices (with respect to their role in maintaining internal operations and processes; SDLS; the ESS, as well as the Communications and Information Services Branch (with its responsibilities for information and communications technology and knowledge management).

84. OIOS considers it important that the respective functions involved in guidance management within OCHA are clearly identified and assigned, and that appropriate linkages between areas responsible for these functions be established and maintained.

85. The GMP team has developed regular working relationships and linkages with SPU. Members of the GMP team were also extensively involved in the development of the 2010 OCHA Strategic Framework, participating in many of the working groups established to develop the Framework.

86. As noted earlier in this report, however, there is no formal deliberation or discussion by SMT of the overall programme of policy and guidance development for OCHA or prioritization of items on the workplan of the GMP team. Although informal discussions did take place between particular SMT members, the SPU and the GMP team on the strategic direction and anticipated policy and guidance agenda of the GMP team, this was not formally considered or approved by SMT or other senior OCHA management.

87. OIOS considers that closer linkages between the GMP team and the SPU would formalize the important link between policy and guidance development and strategic planning and policy setting, and allow for the GMP team to more effectively discharge its role in supporting SMT in policy planning and prioritization.

88. The recent and imminent movement of key staff out of the GMP team and other parts of OCHA, coupled with the time-limited mandate of the original GMP and uncertainties over reporting lines and responsibilities, pose a serious risk to the uninterrupted and continued success of the GMP team in supporting the management of policy and guidance.

89. Given the important role of policy and guidance management in supporting the achievement of OCHA's strategic objectives, OIOS considers that there is a need for a closer connection between the GMP team and those other areas responsible for supporting SMT and policy deliberation (such as SPU and the Office of the USG and Assistant Secretary-General). OIOS also considers that by reconstituting the present GMP team as a more permanent part of the organization (and removing the word 'Project' and formulating an alternative designation for the team that better reflects its support function), will further demonstrate OCHA's commitment to support improved policy and guidance management.

90. OIOS also considers that this is also an opportune moment to locate this function in the OCHA organizational structure to more appropriately reflect its place within the overall OCHA governance and control framework and to clearly delineate its internal support role from the important normative policy development role performed by PDSB. OIOS notes that the ASG is responsible for, among other things, exercising managerial overview of OCHA coordinating SMT. Therefore, the new section could be placed as a separate component of, or perhaps alongside, the present SPU. The new section could report to the ASG, through SPU or the Office of the USG and ASG, more clearly and

unambiguously supporting senior management, the SMT and OCHA substantive divisions, in the development and implementation of policy and guidance.

Recommendation 7

(7) OCHA should better reflect the importance of the function performed by the present Guidance Management Project team as a critical component of OCHA's overall governance framework by establishing the function as a permanent support structure.

91. *The OCHA Management accepted recommendation 7, noting that a decision on the placement of the GMP team is part of a larger discussion on OCHA reorganization, one that is addressing how best to ensure effective corporate-wide services to strengthen the overall governance and accountability framework within OCHA.* Recommendation 7 remains open pending provision of evidence that the present Guidance Management Project team has been renamed to more appropriately reflect the ongoing nature of its role and support for overall OCHA governance and internal management.

V. ACKNOWLEDGEMENT

92. We wish to express our appreciation to the Management and staff of OCHA for the assistance and cooperation extended to the audit team during this assignment.

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1	OCHA should ensure that policy deliberation, prioritization and decision-making is further supported to ensure that policy and guidance proposals submitted to the Senior Management Team for approval more clearly identify: (i) the underlying policy problem or issue; (ii) the mechanisms through which the issuance of policy or guidance would address this underlying issue; and (iii) the way in which the policy or guidance will be implemented and supported.	Governance	High	O	Submission to OIOS of evidence (such as a revised template for policy guidance proposals) demonstrating that policy and guidance proposals submitted to SMT are required to explicitly identify: (i) the underlying policy problem or issue sought to be addressed by the issuance of the new or revised policy or guidance; (ii) the mechanisms through which the issuance of policy or guidance would address this underlying issue; and (iii) the way in which the policy or guidance will be implemented and supported, including proposed approaches for communication, training and staff development.	31 December 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O¹	Actions needed to close recommendation	Implementation date²
2	OCHA should clarify the roles and responsibilities of respective participants in the guidance management system for various stages of the policy and guidance management process. This could be achieved through appropriate revision to the existing OCHA Policy Instruction and Standard Operating Procedures on Guidance Management, as well as through appropriate adjustments to the terms of reference, working relationships and workplans of those OCHA units that play a role in the policy and guidance management process.	Governance	Medium	O	Submission to OIOS of evidence (such as a revision to the OCHA Policy Instruction and Standard Operating Procedures on Guidance Management or appropriately crafted terms of reference for the respective OCHA business units) showing that: (i) those OCHA business units with responsibilities for the identification, development, management, communication, and implementation of OCHA policies and guidance materials have been identified; and (ii) their respective contribution to the policy and guidance management process has been clearly defined. For example, one area that should be more clearly defined is the circumstances under which the GMP team is expected to act as the lead author or sponsor of policy and guidance, and when the team is merely expected to provide advice and support to other authors during the policy development process.	31 December 2011
3	OCHA should develop consultation strategies to: (i) provide further guidance to the sponsoring manager and responsible drafting team of the proposed policies and guidance materials for approval by the Senior Management Team; (ii) determine which staff should be consulted during the development of policy and guidance materials; and (iii) ensure that the extent of proposed consultation is appropriately balanced against time and other resource constraints.	Governance	Medium	O	Submission to OIOS of evidence that: (i) updated information is regularly made available to staff (for example, through information appropriately distributed on OCHA.net) on the policies and guidance material proposed for development and presently under development, including the expected timeframes for drafting, consultation and completion of such policies and guidance materials; and (ii) each new policy or guidance proposal is required to include a proposed strategy for consultation of relevant staff during its development.	31 December 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O¹	Actions needed to close recommendation	Implementation date²
4	OCHA should develop a communication and implementation strategy for each new proposed policy and guidance instrument, clearly identifying and assigning responsibilities for communication and implementation.	Operational	High	O	Submission to OIOS of evidence (such as through a revision to the OCHA Policy Instruction and Standard Operating Procedures on Guidance Management) that a communication and implementation strategy that clearly identifies and assigns responsibilities for communication and implementation is required to be developed for each policy or guidance proposal.	31 December 2011
5	OCHA should ensure that any decisions on the form of and support for the staff learning system adequately reflect and take account of the important role of staff learning and training in ensuring the effective implementation of OCHA internal policies and guidance.	Operational	Medium	O	Submission to OIOS of evidence of current or planned action aimed at improving staff awareness and implementation of OCHA policies and guidance materials, for example, through a formal and regular programme of training, learning and development on OCHA policies and guidance, and/or through a broader suite of information products released in conjunction with new policies and guidance materials, including practitioner summaries, quick tips or guidance summaries or notes.	31 December 2011
6	OCHA should further develop and finalize a policy and guidance on the conduct and use of After-Action Reviews as a tool for assessing organizational actions and the compliance with and effectiveness of OCHA policies and guidance in supporting OCHA activities.	Operational	Medium	O	Submission to OIOS of evidence of a policy and methodology requiring that, when relevant, internal management reviews (such as After-Action Reviews) assess actual performance against established OCHA policies and guidance and assess the extent of compliance with such guidance and whether OCHA policies and guidelines facilitated or hindered performance in the circumstances under review.	31 December 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O¹	Actions needed to close recommendation	Implementation date²
7	OCHA should better reflect the importance of the function performed by the present Guidance Management Project team as a critical component of OCHA's overall governance framework by establishing the function as a permanent support structure.	Governance	High	O	Submission to OIOS of evidence that the present Guidance Management Project team has been renamed to more appropriately reflect the ongoing nature of its role and support for overall OCHA governance and internal management.	31 December 2011

1. C = closed, O = open

2. Date provided by OCHA in response to recommendations.

Figure A1: OCHA staffing, funding and locations from 1999 to 2010

	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Staffing												
Number of staff	532	614	838	964	819	733	860	1 140	1 064	1 585	1 795	1 965
HQ staff	175	184	218	246	252	254	274	244	339	399	437	441
International field staff	95	112	163	172	128	138	202	265	220	283	311	329
National field staff	221	269	406	486	381	300	333	511	450	844	966	1 123
IRIN field staff	41	49	51	60	58	41	51	54	55	59	81	72
Location of operations												
Headquarters locations	2	2	2	2	2	2	2	2	2	2	2	2
Number of field offices	(b)	(b)	26	30	32	28	28	31	28	28	32	31
Funding												
Requirements ^(a) (\$'000s)	46 718	52 900	79 491	69 981	79 299	84 794	110 552	152 241	159 080	213 099	239 617	252 937

Source: Prepared by OIOS based on data provided by OCHA. Does not include figures for the inter-agency secretariat to the International Strategy for Disaster Reduction (UNISDR).

- (a) The information presented represents the projected requirements for the respective year and include activities funded through regular and extra-budgetary sources, including core activities and projects, and field activities.
- (b) OCHA was not able to provide details on the number of field offices for 1999 and 2000.

Figure A2: OIOS audit framework



Source: Prepared by OIOS.