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21 August 2017

Dear Ms. Jeffrey and Ms. Wright,

I am writing to you in your capacities as co-leads of the 2015-2016 MOPAN Institutional Assessment Report of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). A management response to those Key Performance Indicator (KPI) findings deemed “unsatisfactory” is annexed to this letter.

OCHA’s leadership is grateful to Canada and the United Kingdom for co-leading the first-ever MOPAN Institutional Assessment Report of the organization. Our engagement with MOPAN was undertaken as a corporate priority to generate baseline data on which to gauge future organizational performance and effectiveness, and inform our own on-going Change Management Process launched in December 2015.

Not surprisingly, the strengths and areas for improvement identified in the MOPAN Report are consistent with those identified in OCHA’s Functional Review released in September 2016 and made available to the IOD PARC Assessment Team. Both documents recognize the relevance of OCHA’s overall mandate and *raison d’être* in a context of expanding global humanitarian need, and its contribution to humanitarian advocacy, mobilizing financing for the humanitarian community and providing high-quality emergency services. Consistent too among the documents’ findings are the organizational weaknesses that constrain OCHA’s important work, as addressed in the attached management response.

In response to OCHA’s Functional Review, Under-Secretary-General Stephen O’Brien established a Change Management Unit in January 2017 to operationalize the recommendations of the Functional Review to create a more effective, streamlined OCHA that is aligned around its core functions and focused on its value-add across the humanitarian system. The Change Process was envisaged to take up to 18 months, from January 2017 through June 2018, with the first six months focused on establishing a clear vision for change and developing a new organizational blueprint for OCHA – “Creating a better OCHA”. The subsequent 6-12 months will be focused on implementation including the finalization of a new four-year Strategic Plan (2018-2021), People Strategy, and 2018 Budget to finance a restructured and refocused organization.

Ms. Heather Jeffrey
Director General
International Humanitarian Assistance
Global Affairs Canada
Ottawa

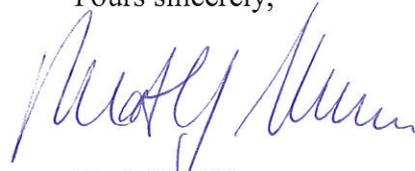
Ms. Yolande Wright
Head of CHASE, *ad interim*
Department for International Development
London

Critical to this next phase of implementation will be significant consultation with, and engagement of, OCHA staff in co-designing the details of our new organization and operating model. This phase will also require the continued external engagement and information sharing with our partners and Member States.

It is our hope that the enclosed matrix will serve useful in identifying OCHA's ongoing reforms as they respond to those KPI findings in the MOPAN Institutional Assessment Report deemed to be "unsatisfactory." The full details of the proposed change management process are outlined in the 34-page document titled, "Creating a Better OCHA", a copy of which was shared bilaterally with all MOPAN member states.

We remain, as always, available to provide further information or clarity related to our efforts to reform OCHA for the future.

Yours sincerely,



Rudolf Müller
Director

Office for the Coordination of
Humanitarian Affairs – Geneva

cc: Ms. Katie Vanhala
Technical Advisor
Multilateral Organisation Performance Assessment Network
Paris

DRAFT MANAGEMENT RESPONSE MATRIX
Addressing “Unsatisfactory” Key Performance Indicators



“Unsatisfactory” Key Performance Indicator (KPI)	Synthesized Findings	Implementing measures as detailed in “Creating a better OCHA – Outcomes of the Design Phase of OCHA’s Change Process”
<p>Strategic Management KPI 1: Organisational architecture and financial framework enable mandate implementation and achieve expected results [MOPAN pgs. 7-9]</p>	<p>a) A strategic plan is clearly articulated but not institutionally “owned”</p> <p>b) An organisational architecture that is not yet fit for purpose</p> <p>c) A financial framework unconnected to results</p>	<p>a) OCHA has initiated the preparation of its 2018-2021 planning framework. As a key component, OCHA’s new Results Framework is an accountability framework that will be the basis for strategic planning, annual work planning and budgeting for 2018 and beyond. OCHA’s Strategic Plan (2018-2021) will outline the organization’s vision, mission, and present strategic priorities grouped around five functional areas of work: coordination, information management, humanitarian financing, advocacy and policy, as well as a priority on management and enabling functions. OCHA staff (globally) continue to be consulted throughout the (ongoing) change process, thus enhancing institutional ownership and assuring core issues are better understood and comprehensively addressed. [OCHA pgs. 10-11]</p> <p>b) OCHA’s new high-level organigram reflects the five core functions and major enabling functions, thereby improving OCHA’s operations and decision-making and improving connections between functions at HQ and the field as well as clarifying the role of regional offices. [OCHA pg. 5]</p> <p>c) OCHA’s budget planning will be informed by its Results Framework and grounded in its Strategic Plan. A new Planning, Budget, and Finance Committee will be established to ensure that executive managers are well informed to make strategic financial decisions. This Committee will link income, finance, and budget to strategy through a results-based budget model. [OCHA pg. 24]</p>
<p>Strategic Management KPI 2: Structures and mechanisms in place and applied to support the</p>	<p>a) A strategic plan that partially integrates cross-cutting issues</p>	<p>a) OCHA’s 2018-21 Strategic Plan will prioritize cross-cutting issues on the basis of OCHA’s comparative advantage and mandate, and in the context of a number of activities it has decided to stop [OCHA pgs. 11-12]. The concerted focus on key priorities will allow</p>

<p>implementation of global frameworks for cross-cutting issues [MOPAN pgs. 9-10]</p>	<p>b) Variable integration of cross-cutting issues into guidance and tools (Protection, Gender, etc.)</p>	<p>OCHA to do “less better” and in doing so, achieve higher efficiencies, improve performance, and increase impact.</p> <p>b) While largely noted as an area of strength for OCHA, the organization will continue to build on its work on the centrality of protection, which it will streamline across all functional areas. A Senior Gender Advisor has been recruitment and will report directly to the Assistant Secretary-General.</p>
<p>Operational Management KPI 3: Operating model and human/financial resources support relevance and agility [MOPAN pgs. 12-13]</p>	<p>a) Weaknesses in the operating model and limited internal coherence</p> <p>b) Lack of a clear strategic direction and prioritisation</p> <p>c) Human resourcing constraints</p> <p>d) Lack of a cohesive management approach</p>	<p>a) OCHA is reworking its operating model to create a more integrated, responsive, and agile agency in order to optimize the delivery of OCHA’s five core functions across the organization. [OCHA pgs. 19-20] OCHA is establishing a new Internal Operations Committee, composed of representatives from each core function and relevant field entities, to ensure the smooth running of the new functional arrangement. [OCHA pg. 25]</p> <p>b) OCHA’s Results Framework makes clear what the organization is accountable for by establishing a clear chain of results between outcomes OCHA wishes to achieve and the work of the various OCHA offices. The 2018-2021 Strategic Plan sets a clear direction for the Organization by identifying six core priorities, based on an analysis of the evolving context and OCHA’s comparative advantage. The 2018 Workplan and Budget will specify how OCHA will invest its resources in the short and medium term; they will be closely linked to the strategic plan priorities to ensure the alignment between OCHA’s resources and its core work. [OCHA pgs. 10-11]</p> <p>c) Under OCHA’s new model, HR and HR-related functions are consolidated into a single HR entity that oversees the full scope of HR work. A new People Strategy will describe the type and size of workforce the organization requires, and the approach it will use to attract, enable, and retain the best possible talent. Moreover, a Management Committee is to be established to oversee talent and people management across the organization, as well as career development for senior and emerging talent. [OCHA pgs. 24-25; 32]</p> <p>d) A digital management dashboard will ensure that its Executive Management Committee and senior managers make decisions on an authoritative source of information on operations, people, and resources. [OCHA pgs. 25; 33]</p>

<p>Performance Management KPI 7: Strong and transparent results focus explicitly geared to function [MOPAN pgs. 22-23]</p>	<p>a) An evolving results architecture but weak implementation</p> <p>b) Variable management commitment</p>	<p>a) All functions are now realigned according to the Results Framework, which will provide for a transparent results chain and accountability lines, no longer obscuring varying levels of management commitment. OCHA will institute a new additional reporting and accountability relationship between Functional leads at HQ and the field while retaining primary accountability to Country Heads of Offices for field staff. An Operations function will oversee country Heads of Offices and be responsible for ensuring the open flow of expertise and information to and from all field offices and HQ. [OCHA pgs. 21-23]</p> <p>b) OCHA will institute a cultural change programme to encourage and support behavioral change of colleagues and leadership. This will be led by an appropriately empowered and resourced Change Implementation Leader and Team. [OCHA pg. 3] OCHA’s Internal Operations Committee will ensure that the new operating model and structure are optimized. [OCHA pg. 25] OCHA’s Strategic Plan will be subject to a rigorous monitoring framework and evaluation plan.</p>
<p>Performance Management KPI 8 Evidence-based planning and programming applied [MOPAN pgs. 23-25]</p>	<p>a) Lack of independent evaluation function</p> <p>b) A restricted climate for internal evaluation</p> <p>c) Lack of a systematised lesson-learning function</p>	<p>a) As part of the ongoing OCHA change management process, consideration is being given to the placement and resourcing of the OCHA evaluation function.</p> <p>b) OCHA conducts two types of evaluation: inter-agency humanitarian evaluations, which are evaluations conducted on behalf of the humanitarian system, as part of OCHA’s coordination mandate; and OCHA internal evaluations, which consider activities implemented by the Organization. To improve the climate for evaluations in OCHA, the Strategic Planning, Evaluation and Guidance Section has conducted presentations and briefs with OCHA management and staff on the purpose and value-added of the evaluation function.</p> <p>c) A new integrated Operations function will be accountable for ensuring that the necessary flow of information, knowledge and support across countries, regions, and Functions happens. [OCHA pg. 2] The 2018-2021 OCHA Strategic Plan will include a monitoring and evaluation component, which will outline planned activities with regard to OCHA’s internal evaluations for the next four years. Monitoring will take place periodically, and progress made (or the lack thereof) will be reflected in progress reports.</p>

<p>Results KPI 11: Results delivered efficiently [MOPAN pg. 31]</p>	<p>a) Mixed performance on cost efficiency and timeliness</p>	<p>a) OCHA is streamlining its administrative services through 14 “quick win” decisions that increase delegated authority and eliminate unnecessary internal controls. In the medium term, OCHA will streamline its administrative services through OCHA-wide, standard decision processes for procurement, travel, and recruitment. Moreover, new, common, KPIs will track HR, procurement, budget, finance, and recruitment processes across the organization. OCHA will also work out new provisions with the UN Department of Management to facilitate its specific administrative service needs. [OCHA pgs. 26-28]</p>
<p>Results KPI 12: Sustainability of results [MOPAN pgs. 31-32]</p>	<p>a) Limited evidence of links to recovery, resilience or development</p> <p>b) Limited evidence on contributions to capacity development</p>	<p>a) OCHA is conducting its change process in line with the Secretary-General’s reform agenda. [OCHA pg. 3] OCHA’s regional presence will be consolidated into five locations to optimize alignment with our operational partners and key regional actors. This decision ensures that OCHA has a long-term, predictable presence at Regional level which will bolster OCHA’s ability to connect with development partners to address gaps between humanitarian work and development work. The Secretary-General’s reform of the UN Development System as well as other ongoing reforms of the Secretary-General will similarly inform OCHA’s prioritization of work in its new Strategic Plan.</p> <p>b) Broadly, the SDGs, Agenda for Humanity and related initiatives, such as the Grand Bargain, and New Way of Working, bring new opportunities to improve OCHA’s ability to facilitate more effective coordination processes, contribute to reducing humanitarian need, build capacity among stakeholders, and adapt to the need for a nimbler, more efficient and cost-effective response. OCHA’s new Results Framework identifies capacity development as a major output for the core “coordination” function, identifying at the global level the management of specialist networks and partnerships that provide surge and rapid response capacity during emergencies. At the regional level, OCHA will provide technical support, guidance, training and expert capacity for regional partnerships networks that provide rapid response during emergencies.</p>