Joint Progress Report on TA Implementation

Background

This paper provides an overview of progress made in implementing the Transformative Agenda in the period July 2013 to December 2013, building on the work already undertaken in the first half of the year. It reflects progress by the system as a whole at global and field level, including completion of the normative framework and support to ITA roll-out in country operations, as well as specific initiatives by individual agencies and the NGO community. The paper complements relevant sections in the updated *Transformative Agenda Global Implementation Plan*, which outlined key forward areas of work, and records activities that support all three pillars of the Transformative Agenda: Leadership, Coordination and Accountability, and on Preparedness.

Focus in the second half of 2013

Early 2013 had already seen a shift in emphasis from the definition of policy, to its communication and dissemination in the field, and the implementation of the TA in practice. Several key elements of the normative framework were still being developed through the second half of 2013, which constrained deeper implementation of the TA. Nevertheless, a strong focus was placed on using new and existing tools and guidance in the field, learning from this, and encouraging the change in practice on the ground that is central to this Agenda. Concerted efforts were made to 'stress-test' new procedures, with the IASC Simulation not only prompting renewed thinking around concepts, informing fine-tuned guidance, but also providing essential preparation for the real test: the actual Level 3 response in the Philippines following Typhoon Haiyan. Supporting the field in addressing operational challenges on the ground has remained a priority, both as the collective and as individual organisations, with a key role being played by the Emergency Directors' engagement with priority country contexts, including Syria, CAR and DRC.

Completing and Refining the Normative Framework

This period has seen the finalisation of most remaining elements of the normative framework. By June 2013, an initial five Protocols had already been formally shared with the IASC members at global and field level by the ERC and IASC Principals earlier in the year, and collation of field practice and lessons learned were shaping a revision to the *Reference Module for Cluster Coordination* in the light of field use. Of the Protocols/documents outstanding at June, the *Common Framework for Capacity Development for Emergency Preparedness*, which seeks to harness the extensive practical preparedness experience and capability of humanitarian actors to develop national and local capacity has now been endorsed by the IASC Principals, following confirmation of support from the Special Representative of the Secretary-General for Disaster Risk Reduction and the Chair of UNDG.[1] The *Operational Framework for Accountability to Affected Populations* will, following some final amendments proposed by the IASC Working Group, be put forward for endorsement by the IASC Principals in December 2013. Field testing of this through 2014 will inform future revisions, including the incorporation of Protection against Sexual Exploitation and Abuse (PSEA) lessons arising from the PSEA project on inter-agency community-based complaints mechanisms now underway.[2] Following intensive work by a small group of senior specialists led by the Deputy Director, UNICEF EMOPs, a

---

[1] Prepared by the SWG on Preparedness, co-chaired by WFP and UNICEF.

[2] Full implementation is pending receipt of donor funding. Currently, the Ethiopia site and global coordination has been partially funded and commenced initial activities 30 September 2013.

user-friendly *Humanitarian Programme Cycle Reference Module, Version 1.0*, along with the final *Concept for the Inter-Agency Rapid Response Mechanism*, will also be submitted to the IASC Principals for endorsement in December. Both these documents were reviewed and revised as necessary in the light of lessons from the IASC System-wide Simulation in July 2013. *The Humanitarian Programme Cycle (HPC) Reference Module* has also reflected the new Emergency Response Preparedness (ERP) approach enhancing the preparedness to respond by the IASC and its members.[3] This approach is already being used by WFP, UNHCR and UNICEF, and will be supplemented by more detailed technical guidance in the first half of 2014, informed by current lessons from Typhoon Haiyan, and supporting both preparedness by the IASC system to respond and the ability to link humanitarian capacity to development action in the form of capacity development.

Recognising the need to focus on immediate improvements for field practice rather than ensuring the 'perfect' policy, draft guidance is already being used and tested in the field. The *HPC Reference Module, Version 1.0,* is already being applied in the Philippines, even as fine-tuning of the remaining templates/technical guidance that relate to this continues. A '*Version 2.0'*, further adjusted from field practice, will then be completed within six months. In protracted crises, new templates and tools are also being used for the on-going 'modified consolidated appeals (CAP) process' for 2014, guiding and supporting development of humanitarian needs overviews, more rigorous prioritization of needs and the development of strategic response plans based on this needs analysis. A new set of humanitarian (needs and response) indicators have been developed by the Needs Assessment Task Force (NATF) and the Global Clusters; these indicators serve as a useful reference to those HCTs preparing the strategy component of the strategic response plan. Different methodologies for costing plans drawn from previous innovation at country level – including activity-based costing – are also being reviewed by inter-agency partners at global level. The operational peer review (OPR) concept, also reflected in the *HPC Reference Module*, will be used for the first time to review the Philippines response within the first 90 days after the onset of the crisis.

Work is underway on the final elements underpinning the normative framework. With respect to the country response monitoring framework, a monitoring technical group plans to complete initial guidance on response monitoring by end December 2013, for use in early 2014.[4] With the completion of these key elements of the normative framework, *the focus is now on ensuring that guidance and tools are widely-disseminated and properly used, remain accessible, are regularly updated to reflect good practice and remain relevant to field needs*.

Adapting Agency and Cluster Guidance and Procedures to Reflect the Transformative Agenda

In addition to their significant engagement in the initial development of the guidance, tools, standard operating procedures and other material on the Transformative Agenda through the respective TA Steering or technical groups, IASC Sub-Working Groups, Task Teams, and other inter-agency mechanisms, **individual organisations have continued the integration of the TA agreements into specific agency frameworks, or agency/mandate-specific guidance**. A wide range of such initiatives had already been completed, or were

---

[3] The IASC SWG on Preparedness, co-led by WFP and UNICEF, has developed the ERP approach. This links risk analysis, minimum preparedness actions, risk monitoring, advanced preparedness actions (including contingency response planning) in one package that is linked to the IASC mechanisms for the response itself. This work will be carried forward by the IASC Task Team on Preparedness and Resilience.

[4] The Needs Assessment Task Force is co-chaired by OCHA and WFP, and the newly-defined indicators are available in the Indicator Registry on www.humanitarianresponse.info; the Monitoring Technical Group is facilitated by OCHA.

underway, by June 2013. Of note is the development by **UNICEF** of a specific plan, with regional-level inputs, to guide and coordinate UNICEF's institutionalization of the TA. A consultant is supporting this initially and preparing for an inter-divisional consultation to establish baselines on internal implementation. The UNICEF Global Management Team has agreed an internal process to Strengthen Humanitarian Action (SHA), adapting institutional approaches to increasingly complex and diverse operational environments. UNICEF's Evaluation Office will also use the TA protocols as the basis for future evaluations of its humanitarian operations, while a Cluster Lead Agency Evaluation and Preparedness Evaluation has been finalised, making recommendations, *inter alia*, on alignment with TA and relevant protocols, cluster transition and strategic planning. **Save the Children** is revising its operational guidance across all functional areas to systematically reference the TA, while its engagement within the cluster process is now detailed in its internal essential standards. **UNHCR** is in the process of an internal review and reflection, with the aim of ensuring its refugee coordination approach seamlessly interfaces with the TA. This effort will be finalised and rolled out to the field in 2014. For **OCHA,** it has been particularly important to integrate the TA across its new Strategic Framework, 2014 – 2017, and within the results-based planning currently underway. Seen as fundamental to OCHA's work with partners to achieve more efficient, effective and accountable action, the TA principles underpin, in particular, the components of its Goal One on ensuring field effectiveness.

The Transformative Agenda is also being reflected in internal policy with, for example, **IOM** formalising an overarching Humanitarian Policy Framework to more clearly articulate objectives and priorities within IOM's humanitarian work, including its role in implementing the humanitarian agenda, the TA, its policies and methodologies for addressing different humanitarian scenarios. The Framework will be mainstreamed into field-level policies, strategies and interventions. **FAO** has formalised its own Level 3 Emergency Activation and Response Policy, in line with the TA, and is revising its Standard Operating Procedures accordingly; an Organisation-wide capacity development initiative will begin early 2014. **WFP**'s three-year Preparedness and Response Enhancement Programme (PREP) has significantly enhanced WFP's emergency preparedness capacity, contingency planning and early warning expertise. Aligned with WFP's Strategic Plan, PREP is serving to integrate relevant elements of the TA into internal protocols and systems. **WHO** has integrated the TA requirements into its Emergency Response Framework (ERF), which is the agency's policy document guiding its action in emergencies, and outlining its commitments and performance standards. The document has been widely disseminated internally, and the performance standards are closely monitored. **InterAction** is currently revising its Private Voluntary Organisations (PVO) standards, to which all members abide, and will reflect within these TA-related expectations, while individual NGOs, such as **ACF** are completing organisational assessments of the TA and developing internal policy on engagement

Identifying and supporting strong humanitarian leaders

Ensuring strong and effective leadership remains central to the Transformative Agenda. In June 2013, some distinct improvements in leadership on the ground had already been noted, with the efforts to identify, appoint and support strong leaders bearing fruit, and action being taken to address issues of performance where these had arisen. At the same time, it was **recognised that leadership must be strengthened at *all* levels**, and that a Humanitarian Coordinator needs the support of an effective and committed Humanitarian Country Team working together for the collective response. This understanding was reinforced during the IASC Simulation Exercise in July, which underscored for all concerned that the

concept of 'empowered leadership' should be seen as a two-way street, requiring both conventional leaders and those 'being led' to take responsibility for outcomes.

In moving forward, **work has continued to ensure that the right leaders are in place, at the right time, and with the right skills and experience**. In this context, in the past year, a number of seasoned humanitarian professionals have been brought into the RC/HC track thanks to the HC Pool and the humanitarian community's enhanced influence in the selection process. As a result, the humanitarian profile of RC/HCs has notably improved. Numbers speak for themselves. Ten of the 42 senior leaders who were deployed as RC, RC/HC or DSRSG/RC/HC in 2013 were HC Pool members, amounting to almost a quarter of the total. In particular, 5 out of 9 HCs who have been designated so far in 2013 were HC Pool members. In total, at present 11 out of 32 HCs (34%) are HC Pool members (as compared to 3 out of 27 (11%) in July 2009).

However**, because of the success in deploying HC Pool members, as of today the HC Pool is largely depleted of candidates who are immediately deployable**. As a result, we have struggled to identify suitable humanitarian candidates for important countries such as CAR and Yemen. In 2014 this problem will be tackled through both short-term and long-term measures. In the short term, the HC Pool will be expanded and made more diverse in terms of gender, country and agency of origin. Of current HCs, while some 48 per cent are already drawn from non-OECD backgrounds, only 17 per cent of positions are filled by women.[5] A new call for applications is scheduled in the first quarter of 2014. Active outreach by a talent scout has identified over 100 potential new candidates and IASC agencies will be asked to nominate high-calibre candidates to replenish the HC Pool. UN IASC agencies are also working closely together to support the most qualified humanitarian candidates in the IAAP RC/HC selection process.

Ensuring **the timely placement of HCs, and addressing recognised concerns over gaps in succession, is a priority, but also remains challenging**. New humanitarian leaders may be quickly identified and available, as for Myanmar and Syria, but may not be deployed quickly pending formal Government agreement. Conversely, in the case of the Philippines, the IASC swiftly reviewed leadership options and identified a Deputy Humanitarian Coordinator from the HC Pool; thanks to **WFP'**s commitment and flexibility, the DHC was quickly deployed. **UNICEF** and **UNHCR** have also supported their Representatives in taking on the role of HC a.i. where required for an extended period, including for Kenya and Jordan.

Particular attention has been paid to matching leadership models to the needs of the context. The appointment of a Regional Humanitarian Coordinator for the Sahel helped make the voice of the humanitarian community across the region more audible, and is now instrumental in taking the common resilience agenda forward. Building on this model, the new RHC for the Syria crisis, working closely together with the UNHCR Regional Refugee Coordinator/Director of UNHCR's MENA Bureau, is actively spearheading regional planning and advocacy initiatives in this complex emergency environment. In Nepal, the appointment of an RC with significant humanitarian experience ensures that preparedness for a possible disaster remains at the forefront, whereas in Kenya, the continuation for a designated period of the Humanitarian Coordinator a.i. in support of the incoming RC ensures that residual humanitarian needs are duly taken into account.

---

[5] Breakdown of HC Pool by agency of origin: UNDP:10, UNICEF:3, WFP:4, OCHA:10, UNHCR:9, others 20; Total: 65

Humanitarian Coordinators remain accountable for the performance of their role, and the ERC appraisals of HCs against their performance Compacts will take place in early 2014, informed once again by inter-agency feedback. This **accountability must, however, be matched by ensuring they have appropriate knowledge, skills and real-time assistance** to address the challenges in the complex contexts in which they work. New developments in this period include the pilot collaborative initiative with the **Save the Children** Humanitarian and Leadership Academy, with eight HCs now receiving personalised coaching. Work is also underway to review and revise the **UNDP DOCO** RC induction course, ensuring an appropriate reflection of the humanitarian concerns particularly relevant for RCs assigned to high-risk contexts. Real-time operational support has been provided not only through their regular dialogue with the OCHA CRD Director in monthly calls, but through Emergency Director missions.

Recognising the effective leadership cannot be effective without an enabling environment around it, **attention is now increasingly focussed on the Humanitarian Country Team (HCT)**. A comprehensive survey of HCT composition, across 30 HC-chaired HCTs, completed by OCHA in September 2013, has highlighted the levels of *participation* of key operational actors. A number of different studies, including **InterAction**'s review of *Collective Responsibility*, **ALNAP** research, **OCHA** field surveys and the outcomes of NGO field consultations for the *Building Better Response Project*, have also informed analysis of the factors that impact on HCT effectiveness, including its composition, sense of common purpose, clarity on roles and responsibilities, processes – particularly around information sharing – and decision-making systems.[6] This analysis informs the IASC strategy for HCT effectiveness, which focusses on three levels: coaching HCs on team leadership and facilitation skills; providing advice and facilitation support to HCTs to inform their effectiveness as a team; and building the capacity of OCHA offices to support the HCT. Since the HCT effectiveness programme started in the fall of 2012, HCTs in Sudan, Pakistan, the Philippines, Yemen and Liberia have benefited from this support, and using the TA self-assessment tool, explored how the HCT might improve its effectiveness and identified key actions and areas for support.[7] Further outreach, and collection and dissemination of good practices, will continue through 2014.

A number of initiatives to support the engagement of agency representatives within HCTs have also been undertaken, including a communication from **FAO'**s Deputy Director-General (Operations) to all field offices, underlining the responsibility of the FAO Country Representative in co-leading the Food Security Cluster and in collaborating and contributing to the HCT, as well as a **WFP** ED Circular (August 2013), on enhancing the engagement of WFP Country Directors in HCTs, and as a Cluster Lead Agency, including the associated accountabilities, and their responsibilities vis-à-vis Coordinators of national/sub-national Clusters led by WFP. In line with the initial TA recommendation by the IASC Principals, WFP is exploring the possibility of HCs inputting into the annual performance appraisal (PACE) of WFP Country Directors, linked to their cluster representation, and their inter-agency commitments to define and deliver against collectively-agreed objectives in the HCT workplan, Strategic Response Plan and related instruments.

---

[6] Interaction (2013): Collective Responsibility: The perceptions, expectations and realities of NGO Coordination in Humanitarian Leadership; ALNAP, Paul Knox Clarke (2013): Who is in charge here?; International Medical Corps, Concern, Harvard Humanitarian Initiative (2012(: Building a Better Response: summary of NGO Consultation Meetings.

[7] HCT retreats have been facilitated by OCHA, with support in Sudan from WFP.

Supporting Country Teams and Country Offices to implement the Transformative Agenda

The IASC Emergency Directors, collectively, continue to play a key role in providing support to HCs and Country Teams. By June, four inter-agency missions had been undertaken in 2013: to Syria (January), Myanmar (IASC, February), Afghanistan (May), and Pakistan (May), enabling context-specific analysis of the constraints and challenges faced in these contexts, and identifying ways forward. Since then, a mission to **Central African Republic** sought ways in which to expand the scale and reach of humanitarian delivery, and ensure the required headquarters support to the HCT. In its wide-ranging recommendations addressing a range of issues in this fragile context and the grave humanitarian needs, some immediate measures were proposed to reinforce humanitarian leadership, drawing on support from the RHC and Regional Director Team in Dakar, to scale up operations and build a spirit of collective performance, to bolster humanitarian capacity across all agencies, to strengthen clusters, increase security capacity and identify joint solutions on common services. The collective development of a 100-day action plan, within the overall strategic response plan, will facilitate accelerated impact, while the proposed establishment of operational hubs in the interior of the country, complemented by mobile teams, will also enable a flexible and agile response for hotspot areas as required.

In their mission to the **Democratic Republic of Congo** (October 2013), the Emergency Directors reviewed the considerable operational challenges related to this complex and long-standing humanitarian crisis, including those now posed by the reinforcement of MONUSCO's mandate, in ensuring the neutrality/independence of humanitarian action, and a restrictive security environment for the delivery of humanitarian assistance. Specific to the Transformative Agenda, strong progress was noted, particularly in strong and effective leadership, the strategic and 'revitalised' engagement of the HCT, the use of vulnerability assessments to prioritise delivery, in monitoring and evaluation work undertaken at cluster level, as well as innovative initiatives to reinforce accountability to affected people.[8]

A specific focus has been maintained in supporting **the Level 3 response inside Syria**, including missions to the region and a series of consultations, in conjunction with donors, which have sought ways to ensure greater coherence in the efforts of different actors (humanitarian, development, financial) to address the escalating needs, have contributed a collective understanding of the issues and constraints, and helped develop the Comprehensive Regional Strategy and other key initiatives.[9] **OCHA** has, in particular, continued to bolster both its coordination, assessment and information management capacity across the region, providing in particular considerable technical support for the joint assessments informing the Syria crisis response plans. A joint mission by **ICVA and InterAction** to the Syria region, enabled mission members to spend time with NGOs on the ground, fostering greater understanding of the coordination architecture, the Transformative Agenda, and facilitating increased engagement. Through its internal designation of Syria as a L3 emergency, **IOM** has now been able to mobilise additional institutional resources to expand its capacity and response through the establishment of a dedicated Syria crisis coordination structure.

Strong engagement on operational issues continues for a broader range of countries through the *ad hoc* Emergency Directors meetings, in including on CAR, Mali, and the Philippines and the **second Annual**

---

[8] Mission participation by OCHA, WFP, UNICEF, UNFPA, IMC, Mercy Corps, UNHCR, WHO, FAO.

[9] Emergency Director and Donor Meetings on the Syria Crisis during the period have been held in Stockholm (September), Amman (November), Geneva (December).

Review of Country Operations by IASC Emergency Directors will take place on 2 December, reviewing twelve priority operations to identify ways in which to improve operational performance.[10] It will provide an opportunity to take stock of the considerable work that has been underway during the year at country-level in the respective countries – led by HC/HCTs themselves – including, as recently completed in oPT, in refining and streamlining their coordination architecture. This will also enable prioritisation for targeted country-level support in 2014, by the Emergency Directors themselves, as well as by the Senior TA Implementation Team, supported by the inter-agency focal points currently being identified to provide technical and other support for TA implementation. A key aspect of this work will be, where applicable, to track progress against previous recommendations both from missions and previous reviews.

Individual agencies and organisations, jointly or separately, continue to provide direct support to country operations. To facilitate this, **UNICEF** has restructured HQ support structures to better leverage its preparedness capacity, supporting the application of the new *Common Framework for Preparedness* within UNICEF operations, and **IOM** is increasing its Department of Operations and Emergencies ability to respond to immediate and long-term impacts of crises, with enhanced inter-sectoral trainings on humanitarian principles and the TA ensuring their more coherent and systematic integration into field-level operations. **UNHCR** has finalised its *Preparedness Package for Refugee Emergencies*, which provides guidance to the field on contingency planning. This package, which is being rolled out to support the field, is closely aligned with the IASC contingency planning framework. A joint mission by **OCHA, InterAction** and **Oxfam** to Colombia, following the appointment of the new Humanitarian Coordinator, facilitated shared analysis to address long-standing NGO concerns as well as formulating recommendations to address these. With the roll-out of the modified consolidated appeals (CAP) process in twenty-two countries - a key initiative to support collective analysis of needs, prioritisation and the strategic direction fundamental to the Transformative Agenda - **OCHA's** Programme Support Branch, working with inter-agency partners from headquarters and in the field, has facilitated workshops and provided hands-on technical expertise in approximately 260 days of direct field support for the humanitarian needs overviews and strategic response plans between July and November 2013.[11] **WHO** has coordinated with its regional offices to strengthen technical support to countries, including Mali, CAR and DRC.

The Global Clusters continue to provide support to operations in the field. For example, trained by the **global Food Security Cluster (gFSC),** a World Vision expert was deployed for three months in support of the RHC Sahel on the implementation of regional monitoring strategies, and in a support mission to Mali worked with co-lead agencies to strengthen coordination and information management infrastructure. The **UNHCR** co-led **CCCM Cluster** has actively employed new TA tools, offering support on this to Cluster Coordinators in the field (including on the HPC, Cluster Performance Monitoring, modified CAP process, CCRM, Needs Assessment (Indicator master list), and plans to roll-out the Cluster Performance Monitoring Tool through the CCCM Website are under way, and the CCCM Strategic Advisory Group works jointly with partners to jointly review new tools and initiatives. The Global CCCM Rapid Response Team has also deployed to support field operations; in DRC this resulted in a draft CCCM strategy and new leadership agreements with IOM. CCCM also partnered with JIPS on a mission to Myanmar, developing a camp monitoring programme

---

[10] The following countries will be reviewed: Sudan, South Sudan, Somalia, oPT, Yemen, Mali, CAR, DRC, Afghanistan, Pakistan, Myanmar, Colombia. Priority has been given to large-scale and highly complex operations in both sudden-onset and protracted crises, while maintaining regional diversity.
[11] Workshops in Myanmar and CAR were co-facilitated by UNICEF and UNDP respectively.

for the Rakhine region. Within the framework of its co-leadership of the CCCM cluster**, IOM** is in the process of finalising Mass Evacuation in Natural Disasters Guidelines, for completion by end 2013, together with a revision of the Camp Management Toolkit. Two Global Focal Points for Coordination are now available for UNHCR-led **Shelter Clusters**, and have been deployed in 2013 to Mali, Somalia, CAR, DRC, and Myanmar, as well as field mission support to Afghanistan and Syria. A Global Focal Point for Advocacy and Communication has also now been established, and has already provided country support to Myanmar and Mali, while dedicated assessment capacity has supported detailed cluster assessments in Somalia and Mali. Within the Shelter cluster**, IOM** appointed one Global and one Regional Shelter Cluster Focal Point in the second half of 2013. Both have been deployed to the Philippines to support the local Shelter cluster. The **Global Protection Cluster** Task Team on Learning, led by **IDMC/UNHCR**, conducted protection and coordination trainings for field-level clusters in Afghanistan, Sudan, Pakistan and Yemen this year, primarily targeted towards government and local actors. The GPC Task Team on Protection Mainstreaming, led by **IRC/World Vision**, trained both Protection and other clusters in Syria, Niger (where the cluster is led by UNICEF) and DRC. The GPC rapid response deployment continues, with a ProCap Senior Protection Officer deploying to CAR, South Sudan, and training the Somalia Protection Cluster in Nairobi. In CAR and Mali, the GPC and AoRs produced protection advocacy messages, shared globally and at the local level in CAR, while GPC advocacy has also been undertaken related to Syria and the Philippines. **WHO** has concluded a partnership agreement with 3 NGOs to provide additional support to health cluster operations in the field. A training course was organised in September 2013 and staff from the partner agencies have been deployed to DRC and the Philippines.

Ensuring system-wide and agency-specific rapid emergency response

Considerable work had been undertaken by mid-year, both by the system and individual organisations, to enhance emergency response systems, procedures and capacity. The protocols on *Humanitarian System-wide Activation*, and concept for the *Inter-Agency Rapid Response Mechanism* (IARRM), were available and had been tested and reviewed, to a limited extent, through the initial Principals Simulation Exercise in March 2012, and field-level 'table-top' exercises in late 2012/2013.[12] In moving forward in the second half of the year, this work has also **been underpinned by that on preparedness, itself an 'enabler' of effective response**, particularly in the dimensions of timeliness, appropriateness and cost effectiveness. In this, the completion of the *Common Framework for Preparedness* now supports the ability to link humanitarian capacity to development action, while the Emergency Response Preparedness (ERP) approach underpins the readiness of the humanitarian system itself to respond, promoting in particular the development and 'stress testing' of the systems and tools. The principles of this approach are already being put into practice, as reflected below.

As reported in June 2013**, individual agencies had also devoted significant efforts to define agency guidelines and policy, develop and expand agency and cluster rosters, and test response procedures**. New initiatives include the **FAO**'s launch of its Global Response Roster (November), facilitating deployment of qualified personnel from across the organisation, and its standby partnership programme, for FAO and the gFSC. Following circulation of its *Emergency Declaration and Response Protocol* in a Director-General's Bulletin and accompanying Operational Guidelines for Level 3 Emergency Preparedness and Response in May, FAO is now completing a Handbook for Emergency Preparedness and Response and developing an

---

[12] Table top exercises conducted and facilitated by inter-agency partners in Senegal (UNDP, OCHA), Pakistan (UNHCR, OCHA), Nicaragua (UNICEF), Indonesia (UNDP), Niger (UNDP, OCHA).

Organization-wide emergency capacity development programme. **UNICEF** held an inter-cluster Rapid Response Team Retreat, bringing together all RRT members, as well as the Global Cluster Coordination Unit (GCCU) and partners to enhance coordination and collaboration across UNICEF-led Clusters. A Technical Working Group in **IOM** has now prepared draft IOM Emergency Response Guidelines (ERG), building on its 2011 internal Emergency Activation Procedures (EAP) for L3 emergencies, and contributions through its Migration Emergency Funding Mechanism (MEFM) are supporting timely responses to the Syria Crisis, Yemeni emergency, CAR and Typhoon Haiyan in the Philippines. **WHO** now has a surge roster in place, with pre-qualified staff trained together in the surge training in September, as well as an internal policy on 'repurposing' and deploying staff from regional or country offices.

At the same time, analysis of the response to the slow-onset and complex Syria Level 3 emergency had already highlighted valuable lessons on the need to apply guidance flexibly, adapt to the context, the constraints posed by an intransigent Government and the challenges for coordination and capacity of a multi-faceted regional response.[13] Following this, **FAO** is leading an IASC initiative to adapt the TA to slow-onset L3 emergencies, such as food insecurity natural disasters.

The **IASC Simulation Exercise** conducted in two parts in June 2013, testing both the systems' ability a) to reach appropriate decisions and activate a Level 3 response and b) in a simulated field environment, to exercise strong leadership, establish effective coordination structures, produce key deliverables for initial stages of the humanitarian programme cycle, and ensure accountability to people affected by disaster. In some respects, although demonstrable progress could already be seen in comparison with March 2012 in the activation discussion and procedure, the field deployment element brought home some striking lessons to be addressed. The 'ten key findings' highlighted areas where concepts and terminology required clarification (on, for example, 'no regrets'), limited knowledge of the TA protocols by those 'deployed', lack of understanding or adherence to the concept of 'empowered leadership', lack of clarity on the deliverables of the humanitarian programme cycle and how they interrelate, and the role of inter-cluster coordination in supporting this, as well as a failure to take into account national relationships, accountability to affected people, and the importance of mainstreaming protection.

Prompted by this, intensive work was undertaken by a small group to simplify and streamline the HPC reference module, resolving confusion over concepts, and making this a much more user-friendly resource for the field, as well as to fine-tune other protocols and related documents.[14] **Individual organisations also used the system-wide exercise to review their own protocols, systems and availability of staffing capacity for a Level 3 response**. Both UNICEF and UNDP, for instance, used the exercise to validate and improve their internal activation procedures. A subsequent TRIPLEX simulation exercise, in September 2013, organised by the International Humanitarian Partnership, and involving major donors, IHP members, civil-protection and military actors, and with humanitarian UN, IOM and NGO participation, brought additional lessons on coordinating a response in a natural disaster context alongside strong national and bilateral responders, as well as on the relationship with UNDAC and key humanitarian clusters. The latter were immediately fed into on-going definition by OCHA of the UNDAC Strategy, 2014 – 2017, which will shortly be shared with contributing members.

---

[13] The Country Brief: Implementing the Transformative Agenda in Syria provides analysis of the L3 activation and response.

[14] Led by the Deputy Director, UNICEF EMOPs, the small group of senior-level specialists comprised   UNICEF, OCHA, InterAction, UNHCR, WFP, UNDP, WHO, NRC.

As the scale of the disaster striking the Philippines quickly became apparent on 9 November, both **the system and agencies faced the ultimate test of responding to two Level 3 emergencies at the same time.** It is already apparent that – despite the massive challenges of delivery in this context - the new protocols, systems and procedures, and the Simulations themselves, are bringing dividends in a more timely and effective leadership and management of the response. By 12 November, IASC Emergency Directors and IASC Principals had met to, respectively, analyse, recommend and endorse a Level 3 response and its accompanying measures, including designation of a Deputy Humanitarian Coordinator to support the RC/HC, and activation and tracking of staff deployed through the IARRM. An immediate CERF allocation had already been authorised. The ERC herself immediately visited the Philippines, meeting with the President and key Government officials, humanitarian actors, visiting affected areas and advocating on the response. The immediate ERC engagement with national Government on the ground, and her subsequent follow-up mission, as well as the rapid involvement of the Director General of IOM, the Executive Director of WFP and senior managers from other organisations, reinforced international solidarity with national efforts, resolving any concerns and immediately addressing any administrative or bureaucratic constraints to humanitarian action. This close liaison with national actors, and a first situation analysis/preliminary Scenario Definition (PSD), guided initial definition of priorities, which were reflected in the *Philippines: Typhoon Haiyan Action Plan*, launched on 12 November. The report on the multi-sector initial rapid assessment (MIRA), which covered nearly 300 towns and villages and involved over 30 NGOs, UN agencies and the Red Cross Movement, is being finalised. On the basis of the results, the HC, HCT and Clusters are now developing a refined strategic statement and a strategic response plan.

Ensuring appropriate capacity on the ground has been central to this response, and initial reviews by the Emergency Directors and IASC Principals, and feedback from donors and other stakeholders, have already reflected the step-change hoped for through the Transformative Agenda in the rapid deployment of high-quality, pre-identified personnel appropriate to the context and needs, and reinforcing pre-existing humanitarian capacity.

In line with the identified priorities under the IARRM, organisations quickly put in place relevant staff. In support of overall coordination, **a**n OCHA-led **UNDAC team** deployed in advance of the disaster, with approximately 37 **OCHA** regional and HQ staff also surging to reinforce the country office and ensure a presence in the five hubs (Tacloban, Busanga, Guian, Roxas, Cebu). Staff profiles included technical expertise in assessment, IM, ICT, humanitarian financing/reporting, security, civil-military coordination and the environment. Recruitment processes have already begun against pre-approved 'L3' costplans to ensure continuity of staffing for inter-agency coordination following these L3 three-month deployments. **Learning from previous responses in Haiti, effective coordination with NGOs is a priority**, and **ICVA** has deployed a staff member on a scoping mission to assess the current status of this, and determine what might be further required.

Deployments also supported the activation of clusters and/or reinforced existing cluster capacity, with **WFP** deploying dedicated Cluster Coordinators and IM officers for Logistics, Emergency Telecommunications and Food Security Clusters, as well as expertise for the MIRA needs assessment. **FAO** has deployed a sub-national Cluster Coordinator to support the Food Security and Agriculture cluster, as well as 15 Emergency Response Team members. **UNICEF** had already deployed 10 Rapid Response Team members to the Philippines to support UNICEF-led clusters in advance of the new disaster, before deploying, in line with

IARRM commitments, a further 30 Cluster Coordinators and Information Managers to provide additional capacity for four locations for WASH, Education, Nutrition and Child Protection. In addition, the full Immediate UNICEF Response Team (IRT), with a Director-level team leader and 9 L3 capable staff has also been deployed to support delivery of UNICEF programs and operations. **UNHCR** has put in place a senior-level Protection Coordinator, as well as other staff for Protection Cluster working groups at sub-national level, and Protection Cluster support staff and information management support. **IOM** activated its internal emergency roster and standby partnership agreements to deploy 24 Emergency Response Officers within 48 hours, focussing on key cluster responsibilities (secondment to Shelter Cluster and coordination of the CCCM cluster), as well as health and information management experts. **WHO** has deployed level 3 capable staff to oversee WHO operations and to manage the health cluster at national and sub-national levels. For the Philippines, 34 surge staff were deployed within the first 15 days, while its internal policy on repurposing staff from regional and country offices allowed WHO to repurpose/deploy an additional 84 staff against 92 positions within the first 12 days.

There has been increased recognition of the need for specific areas of expertise relevant to the context of response. For this, three **WFP** experts have supported civil-military coordination, working closely with OCHA counterparts to liaise with Government and bilateral military representatives on their extensive engagement in the operation. The immediate deployment of an Early Recovery Adviser and Early Recovery Cluster Coordinator by **UNDP**, the establishment of an Early Recovery Cluster, as well as the deployment of a Resident Coordinator from another country to manage UNDP's overall response and support recovery, reflects growing awareness of the need to integrate recovery and rehabilitation into an emergency response from the outset. **UNHCR** is also providing specific support on AAP/PSEA issues within the Protection Cluster. **WHO** has deployed professionals from its rosters with specific expertise in GIS mapping, surveillance and outbreak response, forensic medicine, post-disaster needs assessment and mental health.

Looking forward, and despite the immediate and positive feedback on the management of the Typhoon Haiyan response to date, **there is strong inter-agency commitment to address the inevitable challenges as they arise and critically review operations**. Terms of Reference are already being developed by the Emergency Directors for an operational peer review within the first 90 days of the response, while technical support is being provided to establish response monitoring that is able to capture data against key metrics related to timeliness, appropriateness and cost efficiency and, at the strategic level, the outcome of the response. **Individual agencies are already taking into account some of the immediate lessons**. The response has allowed FAO to test its procedures, apply the new 'no regrets' window in the Special Fund for emergency and Rehabilitation Activities and conduct a real-time operational review of its response to inform its Level 3 Policy and Standard Operating Procedures.

Communication and dissemination of the Transformative Agenda

The *Transformative Agenda Global Implementation Plan*, shared in June 2013, reflected the need for intensified effort to communicate and disseminate the Transformative Agenda to a wide range of actors, both at global and field level. This was underscored by the findings of the IASC Simulation, where even some headquarters-based personnel lacked basic information on some TA principles and protocols. Following the release of the first 'Compendium' of protocols by the ERC and IASC Principals in January 2013, individual organisations have already undertaken a range of initiatives to share the existing material. For some,

however, further dissemination has been pending the completion of the remaining documents, most particularly the *Humanitarian Programme Cycle Reference Module.* Similarly, proposed joint communication and training materials have awaited these final elements of the normative framework, as well as the final identification of dedicated inter-agency capacity and related ToRs, to take some of the joint initiatives forward. Notwithstanding this, the dissemination and use of new guidance in 22 countries with protracted crisies for the humanitarian needs overview and strategic response planning is implicitly reinforcing TA principles, while the *HPC Reference Module* is providing the framework for the response in the Philippines.

Updates and developments related to the Transformative Agenda are regularly shared with the field by individual organisations. The **WFP** Executive Director, for example, provides updates to the field on TA implementation and the expectations of WFP representatives and staff, most recently in August 2013. Agencies and NGOs have also recently included sessions or elements of the TA in their Executive Board meetings (**UNICEF, WFP**), Advisory Committees (**InterAction**), in regular donor briefings (**FAO, OCHA**), organisational retreats (**UNICEF** Global Management Team: September, Regional Management Teams: November), and cluster retreats and strategic planning (**UNICEF**: Education, WASH, Nutrition, Child Protection; **IOM**: CCCM, Shelter; **UNHCR:** CCCM). TA-related discussions took place at UNHCR's Standing Committee and Executive Committee in September and October 2013 respectively. TA dissemination has also been linked by some organisations to the roll-out and implementation of key Frameworks. **IOM,** for example, has incorporated this into awareness-raising on its Migration Crisis Operational Framework and has now completed a series of 3-day workshops to provide a comprehensive understanding of TA/MCOF application at country level, being conducted in 10 locations, for 273 senior staff from over 91 countries, as well as for local government authorities in Iran. **WHO**'s Director General has provided briefings at the highest levels of the organisation, such as the GPG (Global Policy Group) meetings, including all Regional Directors. Briefings were also provided to the Global Emergency Management Team (GEMT), including all relevant directors and regional advisors.

The **NGO Consortia**, which have created an IASC NGO Group, have also provided visibility for the TA on their websites, as well as publishing articles on different aspects of the TA (such as the CCRM protocol), sending out regular IASC updates, disseminating protocols and sharing feedback from Emergency Director missions. UN Agencies, such as **UNICEF and WFP**, also have dedicated intranet pages where TA documentation is regularly updated.

Training and Capacity Building on the Transformative Agenda

Agencies continue to conduct training and capacity building in their role as Cluster Leads. For example, in this period, **WFP** continued to ensure that appropriate TA training is incorporated in WFP-led cluster training events, most recently at the IT Emergency Management Training for WFP staff and partners in September/October organised by the ETC. **UNDP** has integrated the TA in a number of training events for Early Recovery Advisers being held during November and early December 2013, building their ability to work with HCTs on the integration of early recovery approaches from the beginning of the response, and throughout, including supporting cluster transition. In its role as CCCM Cluster Lead for natural disasters, **IOM is** now spearheading efforts to build capacity of national authorities in disaster prone-countries, and has trained some 1,459 government authorities/partners in 2013 in 12 countries, as well as strengthening its collaboration with Civil Protection bodies and national authorities through the establishment of a steering

committee of civil protection entities from 14 countries and regional bodies in order to lead IOM's institutional initiatives in support of national authorities' disaster response capacity. IOM continues to support system-wide accountability through the multi-sectoral information management tools available within the CCCM cluster, such as the Displacement Tracking Matrix (DTM), which ensures complementarity and reinforces the use of the MIRA, including through collaboration in different countries (i.e. Pakistan and Philippines), as well as assists inter-sectoral response planning. In addition to its pre-existing trainings for cluster coordination, senior leadership and IM in emergencies, **Save the Children**, in its role as Global co-Lead of the Education Cluster, has updated the cluster coordination training provided to field staff with the latest guidance on TA development. **UNHCR** has, most recently, launched a coordination training programme for technical experts, and its Protection Cluster Task Teams on Learning and Mainstreaming respectively, have conducted protection and coordination trainings for field level clusters in Afghanistan, Sudan, Pakistan and Yemen in 2013, and in Syria, Niger, DRC. The UNHCR co-led CCCM cluster has updated its training material to ensure integration of the TA. **WHO** has provided training to health cluster coordinators (June 2013) and has updated partners at the Global Health Cluster meetings.

A range of initiatives have also been undertaken by the NGO consortia and individual NGOs, including bespoke sessions on the TA by **InterAction** for its members (such as ACF, CARE) on the humanitarian architecture and expectations of NGO engagement. The *Building a Better Response Project* is now being actively implemented by **IMC, Concern** and the **Harvard Humanitarian Initiative**, completing roll-out workshops in Thailand, Philippines, Haiti, UAE, South Sudan, Chad, Senegal, Kenya and the USA. The related e-learning programme is currently being beta-tested. Save the Children has revised its humanitarian advocacy toolkit and training modules for non-advocacy field staff to include background and links for further learning on the TA, including on an 'optimal response' and the well-functioning and accountability fo the humanitarian system.

Individual organisations are also building elements of the TA into their internal staff training strategies, frameworks and programmes. OCHA is, for example, updating its Induction course for new staff, and establishing TA-related areas to be integrated into the Core Curriculum for staff being defined within its Organisational Learning Strategy. **UNICEF**'s integrated Humanitarian Learning Strategy is being designed to be consistent with and reinforce the application of the TA. IOM's workshop on 'Information Management and Technology in Migration Crises' held for IM experts from headquarters and the field is setting the foundation for more strategic and streamlined IM in IOM operations. **WHO**'s surge training has incorporated TA in its training curriculum.

Enhancing Accountability

There has been progress during the course of 2013, and in the recent period in particular, in taking forward measures to reinforce accountability, both within the system and to affected people themselves. **Central to enhancing systemic accountability for collective results has been the modification to the consolidated appeals (CAP) process.** While the elements of this are not new, breaking the planning cycle into distinct but connected processes has reinforced the emphasis on the required joint assessment and analysis of needs as a basis for agreed prioritisation by the HCT, that actually guides the definition of clear vision and strategy for the country and informs sectoral planning and underpins collective accountability for the response. Thirteen countries already have, or are currently completing, standalone humanitarian needs overviews reflecting the

shared understanding, inter-sectoral analysis and prioritisation of needs by the humanitarian community as a whole.[15] A number of countries, including DRC, CAR, Afghanistan and the Sahel countries, are also using the optional prioritisation tool, defining needs at a more granular level using an indicator-based approach. Evidence-based strategic response plans are currently in preparation, and these and their related budgets will be reflected in a consolidated overview for advocacy and resource mobilisation purposes, to be launched in Geneva in December. In the final element of this process, inter-agency partners in the Monitoring Technical Group, are working to develop technical guidance for country response monitoring.

The management and accountability systems for pooled funds have been enhanced. The funds represent significant sources of timely funding for both the UN system, and directly through the Country-Based Pooled Fund (CBPFs), for urgent NGO programming. Seeking to reinforce accountability for management and use of these funds, CERF has revised its narrative reporting framework to ensure more timely and higher quality reporting from RC/HCs from recipient agencies on CERF fund use and impact. An independent review of CERF's Performance and Accountability Framework (PAF) has also recommended areas to be strengthened and will now inform a revised CERF PAF roll-out in early 2014. At the same time, individual organisations, such as **IOM**, have undertaken their own evaluations of CERF-Funded interventions. In consultation with inter-agency partners, guidance on CBPF management has been improved and will be reflected in different tools to further enhance accountability and transparency. These include a Risk Management Framework that will be rolled out by the end of 2013.

The IASC Simulation vividly highlighted some of the challenges of changing both mindset and systems to ensure that the humanitarian community truly listens to people and adjusts its priorities and programming in the light of their views. This must remain a priority for the future and **agency efforts continue to integrate the Commitments to Accountability for Affected Populations (CAAP) into their policy and practice**. It is hoped that the recent finalisation of the *Operational Framework* will support these efforts. **Save the Children's** CEO is the IASC Global Champion on AAP, and under this role, Save the Children will be convening the first meeting of the senior AAP focal points from the IASC Agencies. **FAO** has already increased its capacity to address AAP and is taking steps to incorporate these measures, including PSEA, in its programme cycle. **UNICEF** has now created an Internal Task Force to operationalize the corporate commitments and integrate AAP and PSEA into UNICEF responses, and a technical working group agreed, in November, on specific target outputs against the Commitments in different contexts. The *Operational Framework* has been shared with UNICEF Country Offices. **UNHCR** continues to play as strong role in integrating AAP/PSEA in responses, particularly through the work of the Protection Cluster, based on its well-recognised age, gender and diversity and participatory needs assessment processes, along with establishing protection monitoring groups, which strengthens participation, self-reliance and empowerment of affected communities. In the Philippines, **WFP** has deployed an AAP Expert with the support of **OCHA** to develop inter-agency efforts to improve accountability to communities affected by Typhoon Haiyan. An plan for implementation AAP in the Philippines is being developed under the direction of the Emergency Directors Group and the HCT.

---

[15] The following countries are rolling-out the HNO/SRP: Afghanistan, CAR, Colombia, DRC, Haiti, Myanmar, South Sudan, Sudan, Somalia, oPT, Pakistan, Yemen. Countries of the Sahel are following a slightly later timeline in order to include the results of harvest assessments.

In its **recent initiatives to support communication with people and communities** (CwC), **OCHA** has established or supported field-level working groups (in Philippines (Typhoon Bopha), Myanmar and, led by BBC Media Action, in Bangladesh), developed and implemented new services and field training, including for national staff of NGOs, and sought to include the voices of disaster survivors in After Action Reviews and at high-level events, including the ECOSCOC humanitarian segment. **OCHA,** working closely with partners such as **UNHCR**, has led a full CwC response in the Philippines, including facilitating the establishment of an emergency radio station in Tacloban broadcasting lifesaving humanitarian information (on air within a week), coordinating assistance to local media (which was badly hit during the Typhoon), advocating for agency investment in communications with communities, supporting restoration of the telecoms infrastructure and supporting the inter agency AAP initiative**.** All these activities are designed to improve access to lifesaving information, updates about the response and assistance available, connectivity, and the ability of local communities to engage with the response.

In **taking forward initiatives to prevent sexual exploitation and abuse (PSEA)**, **IOM**'s Director General continues to serve as the IASC Focal Point on PSEA, and efforts continue to promote change in strategic sectors and introduce more sophisticated approaches to generate institutional change. At the request of the IASC Principals, and supported by the PSEA Task Force, a report has been prepared for the UN Secretary General on PSEA achievements and related actions. At country level, **specific programmes have sought to enable community feedback. IOM**, in close cooperation with **UNHCR** and its implementing partner, **IMC-UK**, has begun a pilot project to establish an inter-agency community based complaints mechanism in Ethiopia to prevent and address sexual exploitation and abuse by aid workers. The Ethiopia pilot is a component of a larger programme, which is not yet fully funded, to establish similar CBCMs in Haiti and DRC. Other initiatives include that by **Habitat for Humanity** which has formed an enterprise-wide task force (local, national and international offices) to develop a consistent community-based feedback mechanism for targeted populations in respect of all HFH staff, volunteers and contractors. HFH has also, with guidance from **InterAction**, revised its Code of Conduct, and developed and roll-out Standards of Behaviour to all staff.