Office for the Coordination of Humanitarian Affairs

OCHA

Orientation Handbook

UNITED NATIONS • NEW YORK, 2002

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The information in this Handbook is correct as of April 2002 unless otherwise indicated.

Acknowledgements

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Financial data has been provided by the OCHA Executive and Administrative Offices

Cover photo courtesy of UNHCR. All other photos by OCHA.

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Afghan girls from Hazara driven by drought from their homes in May 2001.

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FOREWORD

It is my pleasure to introduce you to the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).

You join OCHA at a time when the United Nations (UN) is more central than ever to creating a safer world for all. The awarding of the 2001 Nobel Peace Prize to UN Secretary-General Kofi Annan and the UN as a whole paid tribute to the hard work of staff throughout the organisation in the pursuit of peace.

I am particularly proud of the staff of OCHA, who risk their lives each day in the field to help ensure that suffering populations receive assistance and protection in accordance with international humanitarian principles and law.

But much remains to be done as the Secretary-General continues to shepherd the UN through a far-reaching reform process, addressing everything from the international community's approach to development and peacekeeping to how we manage our human resources and protect the security of our field staff.

OCHA contributes daily to the process of strengthening the UN as a whole, while at the same time reinforcing its own role as the standard bearer for humanitarian issues, particularly as modern crises become increasingly destructive and complex. Through its efforts, OCHA and its dedicated staff, have earned a reputation as energetic, responsive and competent facilitators of humanitarian response. Our headquarters and field activities are adequately funded, demonstrating the generosity of donors, and their commitment to our purpose. We have also, in a relatively short time, established ourselves as a credible and influential partner within the greater UN system.

We still face many challenges, however. In the past decade, a rise in the number of internal armed conflicts and the frequency and magnitude of natural disasters have led to new and increased demands on OCHA. As a result, our field presence has nearly doubled since 1997, and increasingly we have found ourselves working with a broad range of peacekeeping, political, human rights and development actors. It is against this backdrop that we strive to constantly shape a common understanding of coordination among our partners and within the UN system, while maintaining the neutrality and independence that so often distinguishes us and enables us to carry out our work in the most dangerous of situations.

To ensure that we continue to meet these challenges, OCHA asked a wide spectrum of staff in New York, Geneva and the field to make recommendations on how to improve field support; strengthen management; better fulfil our core functions of coordination, policy development and advocacy; and ultimately provide better humanitarian coordination in support of the operational agencies.

In 2001, we began implementing these recommendations.

Chief among them are changes in our structure that are designed to encourage teamwork, strengthen our core functions and create one seamless team of staff in New York, Geneva and the field. As part of these changes, we have added policy, advocacy and information management capacities in Geneva to better support the office as a whole; reconfigured the Administrative Office with a more staff-oriented mandate; and merged OCHA's complex emergency and natural disaster response functions into a unified desk structure in Geneva. We have also committed ourselves to building a management culture that is consistently strategic, accountable, transparent and team-spirited.

This handbook attempts to share with you not only where we have been, but also where we will go. As we face new demands in the 21st Century, we must continue to fulfil our mandate and facilitate the alleviation of human suffering with more efficiency and speed. We will strive to help the system as a whole better fulfil its humanitarian mandate, with the goal of ensuring a smooth transition for countries in crisis from a state of emergency to sustainable peace.

I welcome you to join us in meeting this challenge.

Kenzo Oshima
Under-Secretary-General for Humanitarian Affairs/
Emergency Relief Coordinator

"Ensuring a coordinated humanitarian response to crises is an immense task, regardless of the size of the emergency.

As the coordinating body for international humanitarian assistance in complex emergencies and natural disasters, OCHA staff must interact and build consensus among many different types of actors including governments, militant groups, donors, UN agencies, other Secretariat departments, the Red Cross movement and non-governmental organizations (NGOs). While ultimately working toward a common goal, the immediate interests of these groups may sometimes be at odds. The World Bank, for example, might call on a government to increase taxes while UN agencies and NGOs are seeking tax exemption on the importation of local goods and local staff salaries. What's more, even within the UN system, perceptions of what needs to be done to improve the humanitarian situation might differ. Aid workers may seek access to vulnerable groups in areas that UN peacekeepers wish to restrict for security reasons.

As a result, coordination is rarely straightforward and never easy. But when done well, coordination can make the difference between a timely and effective response or none at all."

- OCHA humanitarian affairs officer

Homes devastated in May 2001 by floods and ice along the River Lena in the Republic of Sakha (Yakutia) of the Russian Federation. OCHA helped mobilise more than US $1 million from the international community to provide stoves and warm clothing for some 15,000 people in the worst hit areas.

INTRODUCTION

What is humanitarian coordination? What can be done to help the victims of a natural disaster? When does a civil conflict become a humanitarian emergency? What challenges will staff face in the field?

The purpose of this handbook is to answer these questions and to provide staff members with an understanding of OCHA's work and their collective role within the organisation as coordinators of humanitarian assistance.

To that end, this handbook aims to:

1) Define OCHA's mandate, the fundamental principles that guide it and the context in which it operates;
2) Explain OCHA's structure, key functions and the emergency services and tools available for use in the field;
3) Describe the relationship between OCHA's headquarters and field offices; and
4) Distinguish OCHA's role from that of other UN agencies and aid organisations.

While this handbook is meant to be a practical introduction to OCHA, it is not an exhaustive manual. Staff can find more detailed information on the Field Guidelines CD-ROM, which can be obtained by e-mailing **ochany@un.org** or by calling +1 212.971.4029.

OCHA also publishes updated versions of this handbook and related manuals on its Web site **www.reliefweb.int/ocha_ol**.

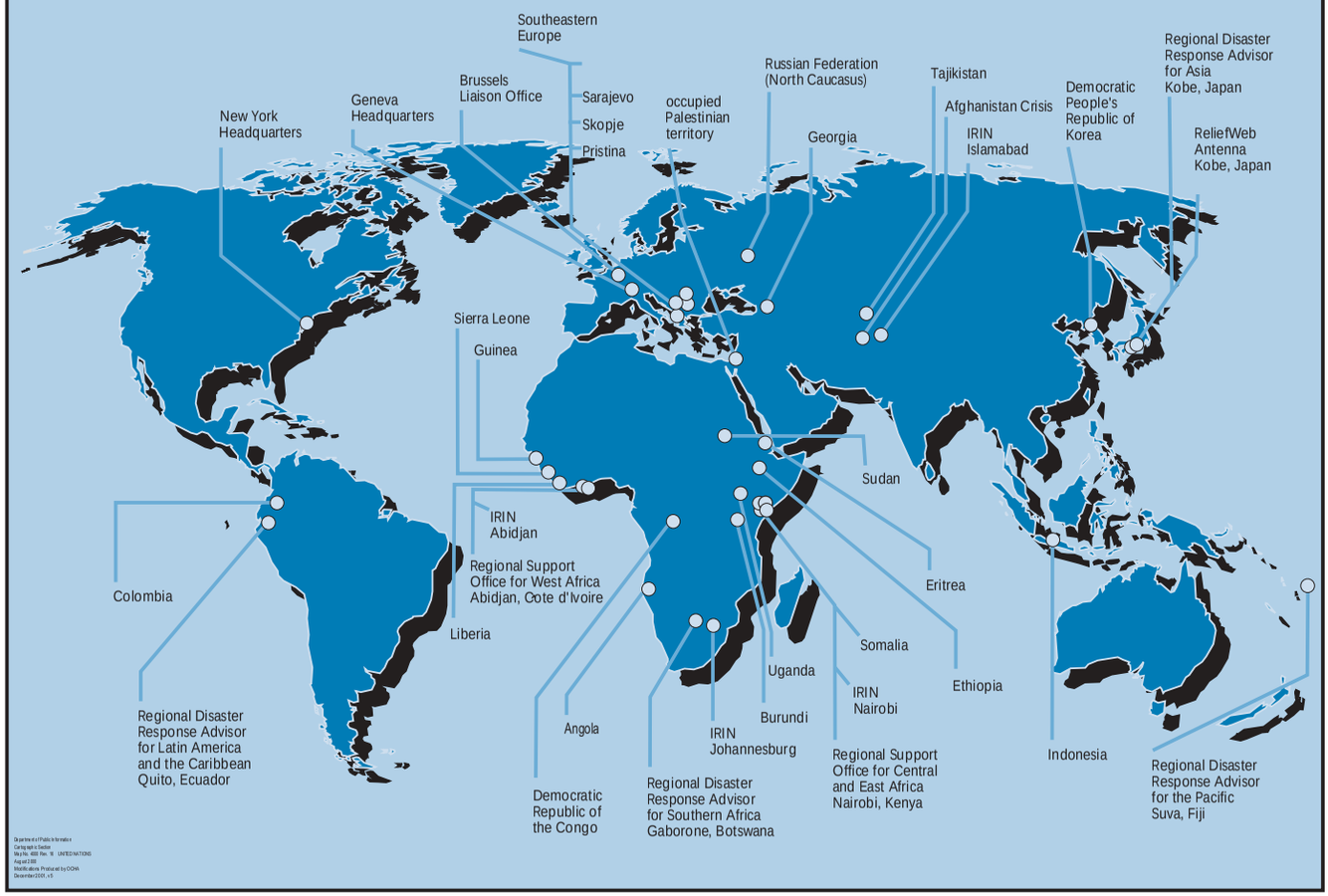
We will continue to revise and update this handbook and would appreciate any feedback on the handbook's approach and content. Please send all comments to Kelly David-Toweh at **david-toweh@un.org** or by fax to +1 212.963.1312.

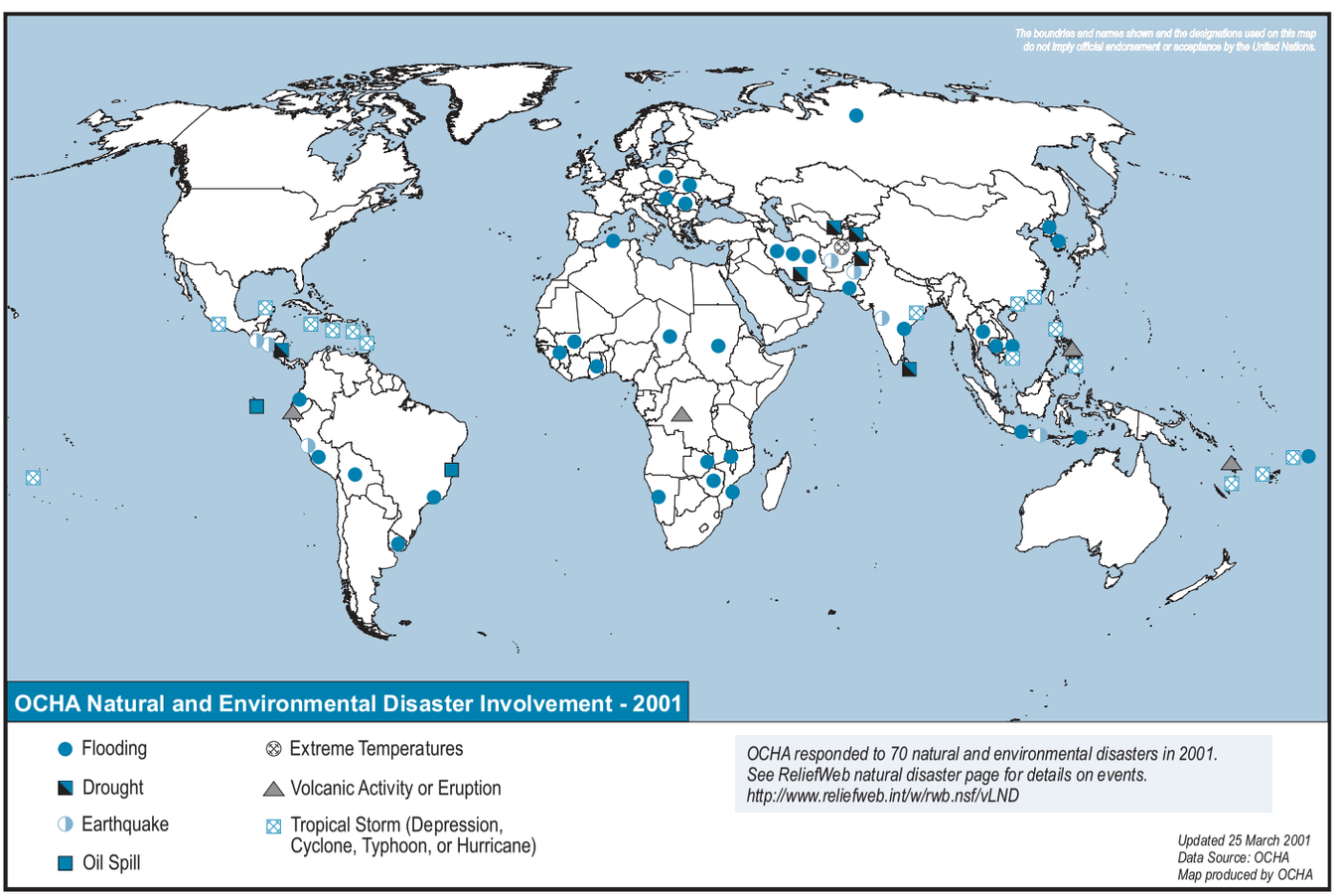
OCHA Mission Statement

The aim of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) is to mobilise and coordinate effective and principled humanitarian action in partnership with national and international actors in order to:

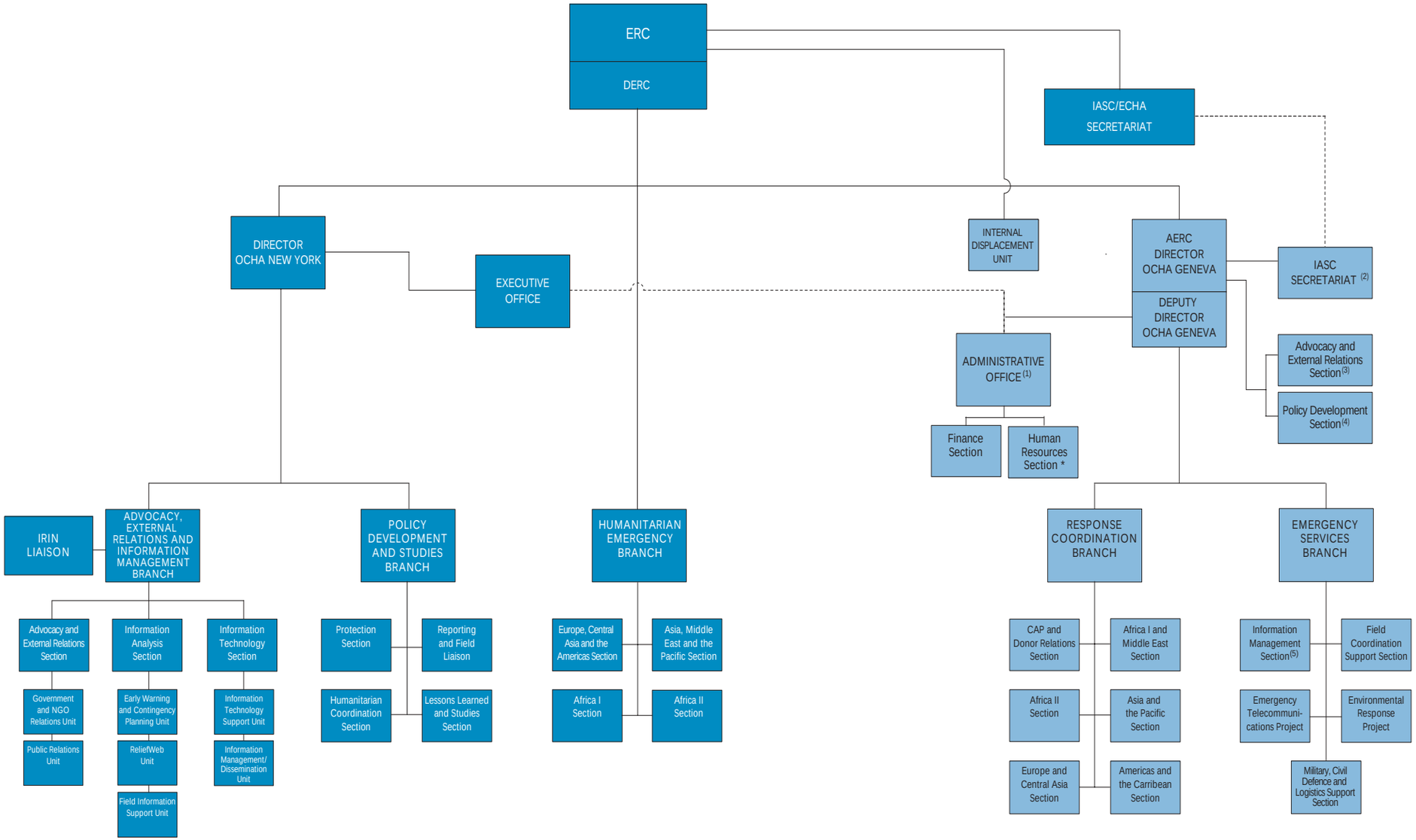
- Alleviate human suffering in natural disasters and emergencies;
- Promote preparedness and prevention efforts to reduce future vulnerability;
- Facilitate sustainable solutions by addressing root causes; and
- Advocate for the rights of people in need.

OCHA Global Presence





STRUCTURAL ORGANIGRAMME OF OCHA AT HEADQUARTERS



1. Functionally part of the Executive Office.
2. Functionally part of the IASC/ECHA Secretariat.
3. Functionally part of AERIMB.
4. Functionally part of PDSB.
5. Functionally part of AERIMB.

* Includes staff development and learning programme.

OCHA staff crossing the Pyanj river between Tajikstan and Afghanistan in October 2001 to participate in a joint OCHA and NGO needs assessment on island #9, where nearly 9,000 Afghans had been displaced by fighting.

PART I:

OVERVIEW

THE MODERN CRISIS[1]

The end of the Cold War has resulted in profound changes in the number and the nature of armed conflicts. While in the past most wars were between states, today's conflicts are often fought within state borders. More and more frequently they are fuelled by the struggle for political and economic control and the need to address perceived historical wrongs or long-simmering religious and ethnic divisions. While organised warfare was traditionally fought on battlefields between state armies, today's conflicts are more often waged in cities and villages by amateur militias, who regularly terrorise and target civilian populations.

As a result, more than 90 percent of the victims of today's wars are civilian. Often civilians are indiscriminately killed and displaced by violence or ethnic cleansing campaigns, or used as human shields to counter enemy fire. Women and children are forcibly recruited to serve in rebel factions - either in battle or behind the lines, and as rape and sexual violence become a widespread phenomenon of war, HIV prevalence increases. With conflict, vital infrastructure - including government buildings, electrical grids, water systems, hospitals, schools and roads - are destroyed, crippling the economy, increasing illiteracy and contributing to the spread of disease. An estimated 20 to 25 million people are currently displaced within their own countries as a result of violence and human rights abuses. An additional 12.1 million refugees are in need of protection and assistance right now.

What is a Complex Emergency?

"A complex emergency is a multifaceted humanitarian crisis in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing United Nations country programme."

(Inter-Agency Standing Committee, December 1994)

In December 2001, there were 37 active complex emergencies in 32 locations worldwide, including Angola, Afghanistan, the North Caucasus, Colombia, Sudan, the Great Lakes region of Africa, the Occupied Palestinian Territories and West Africa.

[1]For the purposes of this handbook, "emergency" refers to a complex emergency, "disaster" refers to a natural disaster and "crisis" refers to both.

The world has also witnessed an increase in the frequency and magnitude of natural disasters, suffering three times as many in the 1990s as in the 1960s. In the last decade, more than 200 million people were annually affected by natural disasters - seven times as many as those affected by conflict.

Natural hazards themselves - earthquakes, volcanoes, hurricanes - do not necessarily lead to disasters. Rather, hazards become disasters when they impact the people and assets that are susceptible to their destructive effects. Factors such as inappropriate land use, poorly designed buildings and infrastructure and an increasingly degraded environment put populations at risk. Although these hazards happen in both developed and developing countries, they often impact developing countries more severely, and sometimes repeatedly, leaving large populations chronically vulnerable.

The immediate effects of such calamities are obvious: many are injured or killed. And the humanitarian toll reaches even further. Thousands of people can be driven from their homes, losing their possessions and often their self-respect. Water supplies may become contaminated. Food can become scarce, leading to malnutrition and disease. Some victims cross borders and become refugees; others seek refuge within their own country, joining the world's many thousands of internally displaced. Families become separated and communities weaken. Related environmental and technological disasters, such as fire or oil spills, may cause permanent damage to ecosystems, water supplies and air quality.

As both complex emergencies and natural disasters have become more frequent, intense and costly, the international community is performing an ever-widening range of relief activities, from the provision of water, sanitation and food assistance to establishing education and reintegration programmes for ex-combatants. Due to the complexity of these crises, a myriad of actors with different areas of expertise are needed to address the full range of needs. These include the UN agencies, the Red Cross system, donor governments, local governments, NGOs and religious and civil groups. In complex emergencies, these actors, including peacekeepers and other military forces or political authorities, often have varying degrees of understanding regarding international humanitarian law.

The involvement of so many actors can lead to overlapping activities and a duplication of effort in areas of common concern, while some critical needs go unmet. Unfortunately, competition among agencies for scarce aid dollars combined with differences in opinion over the best way to help a country in crisis may delay the response at the expense of lives and the most timely return to peace and normalcy.

In fulfilling their mandates, humanitarian workers have moved ever closer to the conflict and are now frequently surrounded by it in their daily activities, often at great risk and sometimes with fatal consequences. Humanitarian actors are often on the frontlines of a crisis well before peacekeeping missions and political offices are active, and they remain engaged until after peace has been assured.

It was in this context that the international community began calling for better coordination of relief efforts and cooperation among the various aid actors. Though the UN natural disaster structure had been in place since General Assembly Resolution 2816 of December 1971 and had been led by the Office of the UN Disaster Relief Coordinator (UNDRO) since 1990, its complex emergency response functions were shared among a variety of organisations. The international community thus proposed that the UN's disparate complex emergency responsibilities be combined with its existing natural disaster structure under a common entity within the UN Secretariat.

These calls culminated in the passage in December 1991 of General Assembly Resolution 46/182, which aimed to strengthen the UN's response to both complex emergencies and natural disasters and to improve the overall effectiveness of the UN's humanitarian operations in the field. To this end, Resolution 46/182 created the high-level position of Emergency Relief Coordinator (ERC), combining into a single UN focal point the functions carried out by representatives of the Secretary-General for major and complex emergencies, as well the UN's natural disaster functions carried out by UNDRO. Resolution 46/182 also created the Inter-Agency Standing Committee (IASC), the Consolidated Appeals Process (CAP) and the Central Emergency Relief Fund (CERF) as key coordination mechanisms and tools of the ERC.

Soon after, the Secretary-General assigned the ERC the status of Under-Secretary-General for Humanitarian Affairs (USG) and established the Department of Humanitarian Affairs (DHA), with offices in New York and Geneva, to provide the USG/ERC with institutional support.

As part of the Secretary-General's reform programme in 1998, DHA was reorganised into OCHA and its mandate was expanded to include the coordination of humanitarian response, policy development and humanitarian advocacy.

Today, these core functions are supported by 246 staff in five branches at headquarters in New York and Geneva and by 193 international and 525 national staff in the field. (See pages 4 and 5 for an organigramme of OCHA's structure and functions at headquarters.)

OCHA's guiding principles and core activities are broadly defined below. A description of the interplay between OCHA's structures, tools and mechanisms during emergency response follows in Part II, while a description of the role of OCHA's key partners follows in Part III.

OCHA TODAY

In the four years since its inception, OCHA has established itself as a credible and influential partner in the field and at the intergovernmental and UN Secretariat levels. In this period, OCHA's functions have been further articulated.

In 1999 the Secretary-General designated OCHA as the UN focal point for issues involving the protection of civilians in armed conflict and internally displaced persons (IDPs). As such, OCHA contributes to the advocacy and policy-setting efforts of the UN and the humanitarian community on issues ranging from humanitarian access to justice for the civilian victims of war. And in 2000, the IASC, a broad-based forum for UN, Red Cross Movement and NGO cooperation, asked a group of its senior representatives to recommend ways to improve the international response to IDPs. In 2001, the group's recommendations led to the establishment of a small, non-operational Internal Displacement Unit within OCHA to support the ERC in coordinating the international humanitarian response to IDPs.

In response to the Secretary-General's call for a more coherent response to armed conflict, OCHA also continues to work closely with its partners to articulate a clear approach to conflict prevention and peacebuilding, which better integrates the UN's humanitarian, development, peace and security and military responses to crises. For example, in Sierra Leone following the appointment of a special representative to the Secretary-General (SRSG) in 2001, OCHA worked closely with the UN Mission in Sierra Leone (UNAMSIL) to support the further integration of the humanitarian and peacekeeping aspects of the international response.

As OCHA's responsibilities have grown so have its field activities. Today, OCHA maintains a presence in 34 countries in Africa, Asia, Europe and Latin America. By comparison, OCHA maintained 18 field offices in 1997. (See pages 2 and 3 for maps of OCHA's field presence and natural disaster assessments.)

However, the growth of OCHA's field presence has not been matched by corresponding increases in its headquarters support. Additionally, long-standing UN Secretariat rules and regulations - which were conceived when the UN operated largely out of its headquarters - have affected OCHA's ability to deploy and support its field presence in a timely manner.

With the aim of addressing these challenges, OCHA launched an internal review process in 2000. Based on consultations with staff in Geneva, New York and the field, this review sought to improve humanitarian coordination, bolster support to the field, strengthen management and develop a common, unifying organisational culture and service-oriented mentality. In particular, it aimed to improve cooperation between staff in New York and Geneva; headquarters and the field, and those working on natural disasters and complex emergencies.

As a result, OCHA has redesigned its organisational structure and increased its capacity in a number of areas. Key changes include the:

> Merger of natural disaster and complex emergency functions. OCHA's emergency response coordination functions were combined into a unified desk structure in Geneva and capacity in New York was strengthened to respond and directly advise the USG/ERC on natural disasters and complex emergencies. The merger of these previously discrete functions allows OCHA to fully capitalize on accumulated knowledge in each area and improve response across the board.

> Overhaul of field and staff support systems. This is being achieved by reconfiguring the Administrative Office (AO) with a more staff-oriented mandate. The new AO includes a Human Resources Section and increased career and staff development capacities. OCHA's Finance Section has also been restructured into regional clusters to ensure dedicated support and accountability to the regional desks and the field. These changes are meant to place greater emphasis on staff welfare and development and to address long-standing problems regarding the administrative, financial and personnel support that have hampered staff deployment and smooth office operations in the field. Greater focus is also to be placed on achieving equitable gender and geographic balance in OCHA.

> Strengthening of OCHA's management culture. In keeping with the Secretary-General's reform process, the review identified the need to foster greater transparency, accountability, performance-based advancement, decision-making consistency and mutual respect for all staff. In response, OCHA's managers from New York, Geneva and the field emphasised the importance of vision, leadership and strategic thinking. In 2001, they began translating this thinking into improved strategic work planning and people-oriented management practices.

> Extension of policy, advocacy and information management capacities - traditionally based exclusively in New York - to the Geneva office. These changes are designed to help OCHA provide improved humanitarian coordination in support of the operational agencies and ensure that its core activities are better integrated to support the work of the office as a whole, particularly in the field. The changes are also helping to foster a more unified headquarters, with each of the organisation's key functions being led by a single senior manager but with staff potentially located in both New York and Geneva.

Funding

OCHA is funded by the UN's regular budget and by extra-budgetary resources donated by Member States and donor organisations. In 2002, OCHA's operating budget (as reflecteed in OCHA's annual programming and budgeting document *OCHA in 2002*), is USD 69.7 million, excluding requirements pertaining to the Afghanistan crisis. About 14 percent of this amount is derived from the UN's regular budget. The remaining 86 percent comes from voluntary contributions. This requires that OCHA raise funds for most of its budget requirements. OCHA's field activities comprise USD 31.5 million - or 45 percent - of its operating costs. (See Annex A on page 135 for a breakdown of OCHA's 2002 budget.)

One of the main tools for OCHA's own resource mobilisation is its annual, department-wide programming, planning and budgeting document that is distributed to partners and donors as an appeal for extra-budgetary funding. The document describes OCHA's achievements over the past year, its priorities for the coming year and the financial requirements for achieving them. OCHA also appeals for funds for its field offices through the CAP, an inter-agency fundraising mechanism established by Resolution 46/182 that provides the USG/ERC with the means to mobilise the resources to promote effective and appropriate responses to emergencies. (See the box on page 70 on the CAP for more details.)

Guiding Principles

In addition to creating the mechanisms and tools for the coordination of international humanitarian assistance, Resolution 46/182 provides the basis of OCHA's work in a set of guiding principles and assumptions, derived from international humanitarian law and from the common experience of UN Member States. In spite of the changes in the humanitarian environment over the past decade, Resolution 46/182 continues to be the main framework for humanitarian action. (See the box on the following page for the Guiding Principles from Resolution 46/182.)

> "We would like, on the 10th Anniversary of Resolution 46/182 adopted by the General Assembly on 19 December 1991, to reaffirm the great importance of the latter as a fundamental stage in the international community's efforts to improve the effectiveness of humanitarian operations, as regards both natural disasters and the responses provided in complex emergencies. The various instruments created at the time have lost none of their relevance."
>
> *Ambassador of the European Union to the Economic and Social Council (ECOSOC), 2001*

The practical application of these principles, however, is rarely straightforward. Many combatants have little knowledge of or respect for international humanitarian or human rights principles. They may also perceive international assistance to be contrary to their military aims or to be favouring their opponent, and might block food, medicine or access to civilians and attack humanitarian personnel.

As a result, OCHA staff and the wider humanitarian community must frequently balance the need to adhere to these principles and encourage acceptance of them against the practical challenges that arise in their daily activities. In some situations, OCHA might help humanitarian actors develop their own humanitarian code of conduct that commits the signatories to refrain from the use of armed escorts to accompany aid deliveries in order to preserve the independence and neutrality of humanitarian assistance. In other situations, particularly when the security of humanitarian staff and the success of the aid delivery requires the use of armed escorts, the humanitarian community might instead jointly agree to an exception to the rule.

In addition, combatants or other opportunists may demand some kind of "return" from staff - monetary or otherwise - for allowing aid to reach restricted areas. In these cases, negotiations often cannot be won on the basis of international humanitarian law. Rather, obtaining access must often be gained by exerting pressure, such as from a more senior local authority, on those blocking the delivery of aid. "Principles should guide our actions, but for expediency's sake, the point of negotiating access to vulnerable populations should not be to get the other party to respect them. There are other, long-term programmes designed to increase understanding and adherence to these international norms," advises one seasoned OCHA negotiator.

Guiding Principles From General Assembly Resolution 46/182

1. Humanitarian assistance is of cardinal importance for the victims of natural disasters and other emergencies.
2. Humanitarian assistance must be provided in accordance with the principles of humanity, neutrality and impartiality.
3. The sovereignty, territorial integrity and national unity of states must be fully respected in accordance with the Charter of the United Nations. In this context, humani-

tarian assistance should be provided with the consent of the affected country and in principle on the basis of an appeal by the affected country.

4. Each state has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, the affected state has the primary role in the initiation, organisation, coordination, and implementation of humanitarian assistance within its territory.
5. The magnitude and duration of many emergencies may be beyond the response capacity of many affected countries. International cooperation to address emergency situations and to strengthen the response capacity of affected countries is thus of great importance. Such cooperation should be provided in accordance with international law and national laws. Intergovernmental and non-governmental organisations working impartially and with strictly humanitarian motives should continue to make a significant contribution in supplementing national efforts.
6. States whose populations are in need of humanitarian assistance are called upon to facilitate the work of these organisations in implementing humanitarian assistance, in particular the supply of food, medicines, shelter and health care, for which access to victims is essential.
7. States in proximity to emergencies are urged to participate closely with the affected countries in international efforts, with a view to facilitating, to the extent possible, the transit of humanitarian assistance.
8. Special attention should be given to disaster prevention and preparedness by the governments concerned, as well as by the international community.
9. There is a clear relationship between emergency, rehabilitation and development. In order to ensure a smooth transition from relief to rehabilitation and development, emergency assistance should be provided in ways that will be supportive of recovery and long-term development. Thus, emergency measures should be seen as a step towards long-term development.

10. Economic growth and sustainable development are essential for prevention of and preparedness against natural disasters and other emergencies. Many emergencies reflect the underlying crisis in development facing developing countries. Humanitarian assistance should therefore be accompanied by a renewal of commitment to economic growth and sustainable development of developing countries. In this context, adequate resources must be made available to address their development problems.
11. Contributions for humanitarian assistance should be provided in a way which is not to the detriment of resources made available for international cooperation for development.
12. The United Nations has a central and unique role to play in providing leadership and coordinating the efforts of the international community to support the affected countries. The United Nations should ensure the prompt and smooth delivery of relief assistance in full respect of the above-mentioned principles, bearing in mind also relevant General Assembly Resolutions, including resolutions 2816 (XXVI) of 14 December 1971 and 45/100 of 14 December 1990. The United Nations system needs to be adapted and strengthened to meet present and future challenges in an effective and coherent manner. It should be provided with resources commensurate with future requirements. The inadequacy of such resources has been one of the major constraints in the effective response of the United Nations to emergencies.

Defining OCHA's Mandate

Based on General Assembly Resolution 46/182, and based on the Secretary-General's reform report, (A/51/950, 14 July 1997) OCHA's mandate is comprised of three core functions: coordination of humanitarian response, policy development and humanitarian advocacy. In addition, information management and technology, as well as resource mobilisation on behalf of the international humanitarian community, are critical to OCHA's core functions. While the Chernobyl Project and the International Strategy for Disaster Reduction (ISDR) are additional mandates assigned to the ERC/USG. (See the box on page 21 for more information about the Chernobyl Project and ISDR.)

The main components of OCHA's core functions are broadly defined below.

Coordination of Humanitarian Response

Humanitarian coordination is based on the belief that a coherent approach to emergency response will maximise its benefits and minimize potential pitfalls - in short, that the whole will be greater than the sum of its parts.

Through approved structures and policies set by the IASC, OCHA carries out its coordination role by:

> ***Developing common strategies -*** Humanitarian assistance is most effective when the actors involved are able to define common priorities, share goals, agree on tactics and jointly monitor progress. OCHA works with its partners both within and outside the UN system to develop a strategy, known as the Common Humanitarian Action Plan (CHAP), and to establish a clear division of responsibility for addressing humanitarian needs.

> ***Assessing situations and needs -*** Ongoing analysis of the political, social, economic and military environment and the periodic assessment of humanitarian needs is critical to understanding the causes, dynamics and impact of any crisis. As emergencies evolve and needs change, relief agencies and other actors come and go, focusing on their respective areas and particular programmes. Throughout a crisis, it is OCHA's job to: 1) identify overall humanitarian needs; 2) develop a realistic plan of action for meeting these needs that avoids duplication; and 3) monitor progress, adjust programmes if necessary and analyse their impact.

> ***Convening coordination forums -*** Meetings are important tools for analysing relief situations, sharing lessons learned and networking among colleagues. Meetings also build trust, respect, transparency and accountability among actors and encourage problem solving. Part of OCHA's coordination function is to convene meetings - from small, sectoral meetings to broad planning forums to gatherings with donors - to discuss and map out response activities and address issues of common concern.

> ***Mobilising resources -*** A consolidated and cost-effective approach to fundraising improves access to funding and ensures a more efficient allocation of resources. As part of its mandate, OCHA leads the CAP for resource mobilisation.

> ***Addressing common problems -*** During a crisis, problems arise that affect many agencies and NGOs, but do not fall squarely within any particular agency's mandate. OCHA addresses problems common to humanitarian actors, such as negotiating with warring parties to gain access to civilians in need or working with UN security officials to support preparedness and response measures in changing security situations.

> ***Administering coordination mechanisms and tools -*** OCHA serves as the secretariat for critical inter-agency coordination mechanisms such as the IASC; rapid-response tools, such as the United Nations Disaster Assessment and Coordination (UNDAC) system and the International Search and Rescue Advisory Group (INSARAG); and for smaller forums such as the Geographic Information Support Team (GIST). OCHA also ensures the most efficient use of military and civil defence assets in humanitarian operations by facilitating the relationship between the humanitarian and military components of a relief operation.

Policy Development

OCHA supports the humanitarian community by providing leadership and political frameworks for major humanitarian issues, particularly those that fall between the mandates of humanitarian organisations. By supporting policy development, OCHA aims to strengthen operational guidelines, create evaluation and monitoring mechanisms and, together with key stakeholders, support the development of policies in areas such as peace-building and the terms of engagement with armed groups.

OCHA's policy development focuses on six major areas of interest:

> ***Promoting humanitarian principles -*** Promoting respect for the principles of humanitarian action and international law is core to OCHA's mandate. Working with its partners in the IASC and the Executive Committee on Humanitarian Affairs (ECHA), OCHA promotes international aid strategies that reinforce compliance with humanitarian principles.

> ***Facilitating humanitarian coordination -*** OCHA operationalises humanitarian principles by developing country-specific strategic objectives and ground rules for principled action, such as access and interaction with local/national authorities and armed groups and often recommends specific inter-agency initiatives for their implementation.

> ***Protecting civilians -*** OCHA leads UN efforts to protect civilians by promoting international principles among its partners as well as with parties to conflict at the field level and in international forums; by encouraging dialogue among key stakeholders on problems that threaten the safety and security of civilians, such as small arms and

sanctions; and by assisting the Secretary-General in recommending protection measures to the Security Council.

> ***Developing policies on natural disasters -*** OCHA assists the operational agencies in developing common policies to improve planning, preparedness and response to natural disasters, particularly for protracted disasters such as drought.

> ***Conducting studies and evaluations -*** OCHA conducts and commissions post-crisis evaluations of humanitarian response in order to improve accountability and ensure that lessons learned are integrated into future humanitarian operations. As part of this, OCHA is increasingly involved in building and strengthening internal systems and policies, including through reviews of field offices.

> ***Providing field support on substantive issues -*** OCHA strengthens the development and implementation of field-level policies by providing advice and guidance to staff on substantive issues affecting field operations including armed escorts, military assets, peacekeeping, the protection of civilians, public/private partnerships, sanctions, small arms, staff security and terms of engagement.

Humanitarian Advocacy

Humanitarian advocacy is an indispensable element in OCHA's efforts to bring relief to the victims of crises. Advocacy is therefore a means to an end, a set of influencing tactics or tools aimed at the achievement of specific outcomes, as vital to humanitarian action as water or food. As such, advocacy is mainstreamed throughout OCHA's coordination and policy development activities.

Through the USG/ERC, OCHA advises the Secretary-General, the departments of the UN Secretariat, the Security Council, the General Assembly and other intergovernmental organs in an effort to ensure that these decision-makers incorporate humanitarian concerns into their initiatives. OCHA also helps to raise awareness of crucial humanitarian issues, such as the need to mobilise resources for under-funded emergencies, and the humanitarian impact of sanctions.

In the field, through its in-country representatives, including humanitarian coordinators, resident coordinators and field staff, OCHA plays a critical role in developing and promoting principled approaches to humanitarian relief, including coordinating advocacy actions, promoting disaster preparedness with governments and local communities, acting as interlocutors with warring parties, governments, donors and the media and promoting the interests of the vulnerable in local, regional and international circles.

OCHA engages in advocacy to:

> ***Champion humanitarian principles -*** OCHA uses its position in the UN Secretariat and its ties to governments, donors, UN agencies, intergovernmental organisations and NGOs to ensure that state, regional and non-state actors uphold the rights of victims of crisis to assistance and protection.

> ***Highlight forgotten emergencies -*** Neglected or underreported emergencies struggle for attention, resources and action. Through advocacy campaigns, press interviews, regular briefings and field visits targeting journalists, permanent representatives, regional and donor groups, OCHA ensures that decision-makers are informed about all emergencies and are aware of their impact on populations at risk.

> ***Negotiate access -*** Protecting humanitarian space and promoting safe and unimpeded access to vulnerable populations is one of the fundamental goals of humanitarian assistance. On behalf of the humanitarian community, OCHA field staff negotiate with the parties to conflict to obtain, manage and maintain access to populations in need.

> ***Mobilise support -*** One of the main goals of advocacy is to raise political and financial support for humanitarian action. OCHA provides advocacy and media support for the CAP and the subsequent mobilisation of funds.

Additional Mandates of the USG/ERC

The Chernobyl Project

Forty seconds after 0123 hours on 26 April 1986, during a safety experiment at the Chernobyl Nuclear Power Plant in the north of the Ukraine, an operator pressed a button. Owing to a design fault, the reactor went into meltdown and released a cloud of radiation that spread across the entire Northern Hemisphere. An area of 155,000 square km, home to 7.1 million people, including more than three million children, was contaminated with hazardous levels of radiation. At least 100 times as much radiation was released by this accident than by the two atomic bombs dropped on Hiroshima and Nagasaki combined.

Years later, the aftermath of the accident continues to have a devastating impact on the populations of three countries - Belarus, the Russian Federation and Ukraine - which continue to suffer acute health, environmental and economic problems.

Since 1990, the international community has been providing humanitarian assistance to the people affected by the Chernobyl disaster. The USG/ERC, together with UNDP's Regional Director for Europe and the CIS, coordinate the activities of UN agencies and major international organisations related to the accident.

While past efforts emphasised emergency assistance, a 2001 UN report recommended that this focus shift to creating self-sustaining developmental and recovery schemes while still providing humanitarian assistance to those who need it. In particular, the report suggested addressing the long-term medical and psychological effects, promoting investment and micro financing schemes in local communities and initiating a programme of research on the environmental and health consequences of Chernobyl.

International Strategy for Disaster Reduction (ISDR)

The inter-agency secretariat of the International Strategy for Disaster Reduction, under the direct authority of the USG for Humanitarian Affairs, serves as the focal point in the United Nations system for the coordination of disaster reduction, and to ensure synergies among the disaster reduction activities between the UN system and regional organisations.

Building on the ideas and momentum generated by the International Decade for Natural Disaster Reduction (1990 - 1999), the ISDR is based on the premise that the loss of life and destruction resulting from disasters are not inevitable and can be lessened by reducing the vulnerability and risk of communities in disaster-prone areas. The strategy reflects a major conceptual shift from the traditional emphasis on disaster response to disaster reduction and the promotion of a "culture of prevention."

To achieve this, the ISDR secretariat (UN/ISDR) and the Task Force on Disaster Reduction (IATF/DR) aim to build disaster-resilient societies and communities by promoting increased awareness of disaster reduction as a key component of sustainable development. These activities also aim to reduce human, social, economic and environmental losses due to natural hazards and related technological and environmental disasters.

This includes coordinating and supporting inter-agency efforts, developing and promoting awareness, education and training activities, supporting regional outreach programmes for disaster reduction in Africa, Asia and the Pacific, Latin America and the Caribbean and Europe. It also includes providing support to national institutions on policy setting, legislation, organisational development, education, training and awareness and the exchange of ideas through national, multi-stakeholder platforms for disaster reduction.

> ***Safeguard interests -*** On behalf of populations in danger, humanitarian advocacy must also highlight the implications of political and military actions and the consequences of inaction. OCHA uses its position in the Secretariat to advise on humanitarian issues internally and with external groups, including Member States, regional and intergovernmental bodies, NGOs and civil society groups.

> ***Strengthen disaster preparedness and response -*** OCHA works to raise awareness among governments and local communities of particular types of natural disasters in order to propose concrete measures to strengthen disaster preparedness and local response capacity at the regional and country levels.

Information Management and Technology

Deputy Emergency Relief Coordinator Carolyn McAskie recently called information management and technology the "fourth pillar" of humanitarian response after coordination, policy and advocacy. Indeed, the capacity to effectively manage information in a timely manner during disasters and emergencies is an essential component of humanitarian coordination, because information forms the very basis on which coordination can occur.

In sudden-onset disasters and emergencies, information flow during the first, most fluid phase of the crisis is critical. The quick assessment of needs in the aftermath of an earthquake, the creation of maps to identify communities stranded in a flood and the matching of gaps in assistance with available resources at the outbreak of war, all help to improve the efficiency and efficacy of response.

During more protracted conflicts, the ongoing assessment of political, economic and social changes and the dissemination of this information to partners and donors at headquarters and on the ground aims to ensure timely and appropriate planning, funding and assistance delivery.

To this end, OCHA facilitates communications between partners through the collection, analysis and dissemination of information, providing vital, up-to-date and accurate reporting to governments, UN partners, NGOs, academic and research institutions.

Additionally, by keeping abreast of emerging information and communications technology (ICT), OCHA helps ensure that staff and partners are provided with the adequate tools to fulfil their functions.

The different components of information management and technology include:

> ***Information analysis -*** OCHA takes a lead role in identifying potential complex emergencies and designing preventive strategies through the Framework Team[2], the UN's early warning mechanism. These strategies include the formulation of preparedness measures such as inter-agency contingency planning.

> ***Information dissemination services -*** OCHA maintains several Web-based information dissemination services, including ReliefWeb (**www.reliefweb.int**), OCHA's humanitarian portal with 24-hour coverage of crises around the world and OCHA Online, OCHA's official Web site (**www.reliefweb.int/ocha_ol**). The Integrated Regional Information Network (IRIN) (**www.irinnews.org**) is an independent humanitarian news service available through the Web and by e-mail subscription. (See Part II for more detail.)

> ***Field information support -*** OCHA works to strengthen and facilitate the use of data and information in humanitarian operations. Through its Field Information Support (FIS) project, OCHA helps design and build the systems that manage the collection, analysis and dissemination of operational data and information in the field including to humanitarian information centres. The FIS project also leads inter-agency initiatives, such as the GIST, to establish common methods and standards for information exchange.

> ***Information and communications technology initiatives -*** The application of new technologies to humanitarian activities is essential to the work of OCHA staff and partners. OCHA actively participates in coordinating and implementing UN-wide technology initiatives such as the Information and Communications Technology Task Force and the ICT Board.

[2] The Framework Team plays a key role in the early warning of potential new complex emergencies, promoting in-country inter-agency contingency planning for higher risk countries and coordinating actions that could help to prevent or mitigate the conflict. Framework Team members include DESA, DPA, DPKO, FAO, OCHA, UNDP, UNHCHR, UNHCR, UNICEF and WHO. (See Annex F.) The World Bank has observer status.

> ***Applications and tools development —*** OCHA develops and supports applications and tools for use at headquarters and in field offices, including the Central Register of experts, relief supplies and civil defence assets for use during natural disasters; a contact directory of humanitarian actors; a publications database/information inventory; and an electronic registry of all documents and memos sent through OCHA offices.

Resource Mobilisation

It has become necessary to address massive humanitarian needs with a declining availability of resources. This has required that improvements be made; not only in the design of fundraising tools, but also in the strategic programming of a system-wide response to emergencies.

As part of its mandate, OCHA leads international humanitarian resource mobilisation through the preparation of inter-agency appeals, management of revolving funds and the financial tracking of donor response. (See Part II for more details on resource mobilisation during disasters and emergencies.)

> ***Emergency funds -*** In the immediate aftermath of a natural disaster, at the request of the affected government, OCHA can provide emergency cash grants from its own reserves. When a major disaster or complex emergency requires larger sums, OCHA may issue emergency appeals in the form of donor alerts or flash appeals. In complex emergencies, the ERC can also provide the overall relief effort with fast access to cash through the Central Emergency Revolving Fund to bridge the gap between needs and available funding.

> ***Consolidated appeals -*** As a crisis evolves, the initial requirements presented in donor alerts and flash appeals are subsequently incorporated into the more formal, Consolidated Appeals Process. OCHA coordinates with key humanitarian stakeholders - UN agencies, international organisations, and NGOs - to develop a common strategy, monitor implementation, prepare the CAP document and report on contributions.

> ***Inter-agency resource planning -*** OCHA is increasingly involved in the development of inter-agency humanitarian action plans and fundraising appeals by helping to identify gaps in sectoral strategies and response. As part of the CAP process, OCHA coordinates the development of the Common Humanitarian Action Plan, sectoral plans and program plans together with its humanitarian partners. Funding requirements are determined by the strategy outlined in these plans.

> ***Financial tracking -*** OCHA tracks donor response and humanitarian aid flows on behalf of the humanitarian community. Using its custom-developed financial tracking system (FTS), OCHA monitors and publishes contributions to humanitarian programmes worldwide as they are reported to OCHA each month. While the FTS is designed to track humanitarian aid contributed through the CAP, OCHA also aims to report on humanitarian assistance channelled outside of the appeal framework.

To carry out these functions, OCHA must maintain an effective and professional presence - in the field and at headquarters - that is pro-active, strategic, inter-agency and consultative. It must also be mindful of the ultimate objective of humanitarian coordination: to facilitate the effective delivery of humanitarian assistance to all victims of emergencies and disasters.

To do so, OCHA must, broadly speaking, ensure that:

> Contingency planning processes and mechanisms are adequately utilized;

> Preparedness measures are in place;

> Programme planning is assisted through the Consolidated Appeals Process;

> Frameworks for peacekeeping and political responses to crises include provisions for emergency assistance;

> Humanitarian assistance programmes ensure the protection of civilians and promote a smooth transition from relief to development; and

> Local capacity is strengthened to better respond to crisis.

In carrying out its work, OCHA's success - and that of its staff - depends largely on a service-oriented approach that involves:

> An ability to fulfil its responsibilities in a consultative fashion, working closely with UN agencies and other partners in humanitarian response; and

> Adding value to the process of disaster and emergency response.

OCHA Priorities and Goals for 2001-2002

In response to the increasing demands on OCHA, the Under-Secretary-General for Humanitarian Affairs and OCHA's senior management team committed to a set of priority objectives to be addressed by all OCHA programmes in 2002. (See Annex B on page 136 for more details.) These include:

> Ensuring rapid and effective emergency response in coordinating both complex emergencies and natural disasters;

> Targeting policy development in close consultation with OCHA's major partners;

> Leading effective and integrated humanitarian advocacy efforts for a coordinated response to complex emergencies and natural disasters;

> Strengthening OCHA's capacity for information management and communication technologies in support of humanitarian coordination and response, both at headquarters and in the field; and

> Further developing OCHA into an efficient, well-funded department guided by consistently strong leadership and vision toward the implementation of strategic priorities, which clearly demonstrate a service-orientation that adds measurable value to the humanitarian agenda.

The then acting ERC, Carolyn McAskie, and Alan Kreczko, formerly the US Deputy Assistant Secretary, Bureau for Population, Refugees and Migration, on an OCHA-led donor mission to Sierra Leone in 1999, the aim of which was to jump start the disarmament process. Here, at a Freetown IDP camp, Ms. McAskie greets a child injured by rebels.

PART II:

RESPONDING TO COMPLEX EMERGENCIES AND NATURAL DISASTERS

OCHA's primary role in responding to crises - whether they be natural or human-made - is to ensure that the multiplicity of actors responding to a crisis do not interfere with, and instead enhance, the coherence, effectiveness and timeliness of the international humanitarian response. In this way, OCHA supports the aid community's ultimate goal of saving lives and protecting civilians.

COMMON ELEMENTS AND DIFFERENCES IN RESPONSE

Clear similarities exist between OCHA's response to natural disasters and to complex emergencies. The needs - food, water, security, shelter and medical treatment - are often the same. So are many elements of the response, such as the need for early warning mechanisms, local capacity building, resource mobilisation, advocacy, information gathering and dissemination, policy guidelines and longer-term linkages to reconstruction efforts or peace-building.

But OCHA's responses to these crises also differ in some key ways, particularly in their immediacy, duration, scope and political complexity.

Immediacy

In the event of a natural disaster, such as an earthquake, thousands of lives are put at immediate risk. Many can be lost within hours or days of the incident when search and rescue and other life-saving efforts are delayed.

In complex emergency environments, the absence of immediate, on-the-spot assistance can lead to death, such as when medical treatment for war-related injuries is unavailable. However, the life-threatening effects of a protracted social conflict are, in comparison, sustained and cumulative, arising from weeks and months of deprivation due to lack of access to basic social services and food. This can lead, for instance, to chronic, but not always life threatening, hunger and malnutrition.

Duration

As a result, the relief stage that follows a natural disaster response may be over within a matter of days or weeks, notwithstanding the reconstruction efforts that may follow. Response mechanisms, such as the United Nations Disaster and Coordination system are accordingly automated to allow for the rapid deployment of staff. (See the box on page 53 on rapid response tools, for more details on UNDAC.)

The sustained humanitarian needs arising from war, however, often continue for months and even years. Additionally, as the nature of an emergency changes - for example from the immediate aftermath of military action, to a long-simmering standoff between government and militant

groups, to a negotiated peace - humanitarian assistance programmes may evolve and become more varied, encompassing simultaneous relief programmes or rehabilitation and reintegration activities. These situations necessitate longer-term initiatives designed to minimise human suffering over time.

Scope

Natural disasters may affect more than one country and are likely to lead to large-scale displacement. For example, when successive cyclones hit south-eastern Africa in February 2001, rivers and dams overflowed throughout the region, resulting in widespread flooding in Mozambique, Swaziland, Botswana, Malawi, Zimbabwe, and South Africa, ultimately affecting more than two million people.

Conflicts also frequently extend beyond the borders of one state, affecting large areas or regions and leading to the sustained displacement of thousands of people. One need not look further than the former Federal Republic of Yugoslavia, the Great Lakes region of Africa or the West African sub-region for examples of such spillover effects. Responding to such regional crises requires a higher level of coordination and interaction with a greater multiplicity of actors.

Other less tangible factors - such as the level of international resolve to help; the position of the host government (if there is one) toward humanitarian intervention; or the combined affects of war and natural or human-made disasters - also affect the shape of the international, and thus OCHA's, response to the crisis.

The Role of National Governments and the Military

In most natural disasters, international assistance is extended only when the affected government requests or welcomes it. In most cases, international relief actors and OCHA aim to support the affected government in responding to the disaster.

The role of the governments in complex emergency situations is not always as straightforward. In internal conflicts, a state's legitimacy is often under dispute, making consent - a precondition of humanitarian intervention under international humanitarian law and Resolution 46/182 - difficult to obtain. Some authorities may equate aid with foreign political objectives and reject it on those grounds. In still other cases, the government exists in name only or not at all. It may have limited authority over its territory and meagre resources at its disposal. In still other cases, rebel forces may deliberately block aid or use humanitarian assistance in an attempt to gain international legitimacy and recognition.

In these cases, delivering assistance depends to a great extent on diplomacy and the development of long-term relationships with all parties to the conflict in the field. In cases where there is a UN peacekeeping mission, high-level cooperation with UN peacekeeping and political actors is also necessary to ensure that all are operating under a common and sustained framework. Further still, whereas governments might more readily accept international offers of military assistance in natural disasters, they might view these offers with suspicion in other more politically charged times.

Donor Response

In a natural disaster, donor response, whether financial or in-kind, is largely bilateral between the donor government and the recipient government. OCHA facilitates this process by including information on estimated needs in its situation reports and may at times act as a donor channel. In a complex emergency, donor response involves a host of agencies. In addition to managing the CAP process, OCHA works closely with primary and less traditional donors to advocate for underfunded emergencies and to attract a more generous and balanced response.

Drought: Blurring the Lines

Drought poses unique challenges for the international humanitarian community. It differs from most natural disasters because it is slow in onset and may continue for a prolonged period of time. It is usually the result of interplay between a natural event and human-made economic and environmental policies, which may directly or indirectly stem from an ongoing conflict. In addition, severe drought can compound conflict and contribute to the onset of a complex emergency by triggering a fight over scarce resources, aggravating existing instability and further threatening those in power.

The UN has had a great deal of experience in dealing with drought and its associated needs and challenges, including from its responses to the Sahelian and Horn of Africa droughts in the 1970s and 1980s, the Southern Africa drought of the early 1990s and, most recently, the drought in the Horn of Africa. OCHA itself has played a major role in the humanitarian response to the drought in the Horn of Africa and has also integrated drought response into its existing coordination strategies and mechanisms in countries such as Georgia and Tajikistan.

OCHA is also exploring the full application of its early warning, information management and contingency planning analysis to areas where drought may lead to political instability. Given the slow onset of drought, OCHA's advocacy efforts also prove essential to improving funding for drought prevention and mitigation.

Coming Full Circle

Despite these differences, OCHA recognized that similarities between the response to natural disasters and complex emergencies necessitated a more integrated application of its response mechanisms and tools to both types of crises. As part of its change process, OCHA is improving overall response in both areas, while at the same time developing expertise and tools specific to each.

Below is an overview of the structures, mechanisms, services and tools that OCHA, through the USG/ERC, may use to facilitate the coordination of humanitarian assistance in both natural disasters and complex emergencies.

COORDINATION AT THE HEADQUARTERS LEVEL

Coordinating humanitarian assistance at the headquarters level is as critical to OCHA's response as its efforts to coordinate assistance on the ground. To this end, OCHA takes a two-pronged approach to coordinating humanitarian activities at the headquarters level, both within and outside the UN system.

Leadership From Within

OCHA is led by the New York-based Under-Secretary-General for Humanitarian Affairs, who also serves as the Emergency Relief Coordinator.

The USG/ERC is the principal adviser to the Secretary-General on humanitarian affairs. As such, the USG/ERC acts a facilitator and catalyst for action between the humanitarian community and the intergovernmental organs of the UN as well as the political, security, developmental and human rights elements of the UN system.

As the Secretary-General's principal humanitarian adviser, the USG/ERC and OCHA serve as the UN focal point on a wide spectrum of issues with humanitarian implications, ranging from internal displacement to the protection of civilians to the promotion of humanitarian principles among parties to war.

In this position, OCHA:

- Serves as the primary interface between the larger humanitarian community and the principal organs of the UN, such as the Security Council, the General Assembly and the Economic and Social Council (ECOSOC), in helping to advance humanitarian concerns and give a voice to the victims of disasters and emergencies;
- Plays a key role in liaising with the other Secretariat departments and the funds, programmes and specialised agencies of the UN system on issues of common concern, such as security, politics, human rights and development, in order to ensure that humanitarian needs are being met effectively and in a coordinated, synergistic and sustainable manner.

In addition, the USG/ERC brings the political, peacekeeping and security departments of the UN Secretariat together under his chairmanship within the Executive Committee on Humanitarian Affairs, one of four executive committees created by the Secretary-General to enhance overall coordination within the UN.

Convened monthly by the USG/ERC, ECHA acts as an internal forum to share perspectives on humanitarian crises and issues and, on the basis of these discussions, inform and advise the Secretary-General.

ECHA Membership 2002

- Food and Agriculture Organization of the United Nations (FAO)
- Office for the Coordination of Humanitarian Affairs (OCHA)
- Office of the Special Representative of the Secretary-General for Children and Armed Conflict (OSRSG/CAC)
- United Nations Children's Fund (UNICEF)
- United Nations Department of Peacekeeping Operations (DPKO)
- United Nations Department of Political Affairs (DPA)
- United Nations Department of Public Information(DPI)
- United Nations Development Programme (UNDP)
- United Nations High Commissioner for Human Rights (UNHCHR)
- United Nations High Commissioner for Refugees (UNHCR)
- United Nations Relief and Works Agency (UNRWA)
- World Food Programme (WFP)
- World Health Organisation (WHO)

Beyond the Secretariat

The USG/ERC's leadership also extends beyond the Secretariat. As chair of the Inter-Agency Standing Committee, the USG/ERC brings together a broad range of UN and non-UN humanitarian partners, including agencies, NGOs, and international organisations such as the World Bank and the Red Cross movement. The IASC is a primary mechanism for

facilitating inter-agency decision-making on the response to complex emergencies and natural disasters.

Broadly speaking, the IASC does this by: developing system-wide humanitarian policies and fostering consensus in areas of common concern; agreeing on a clear divisions of responsibility for the various aspects of response; identifying gaps and overlap in operational capacities; and advocating common humanitarian principles to parties outside the IASC.

Established by Resolution 46/182, the IASC meets at an executive level twice a year in New York to discuss broad policy issues brought before it by the USG/ERC and its members. An IASC working group (IASC-WG) based in Geneva supports the work of the IASC. Formed by senior representatives of member agencies, the IASC-WG meets at least four times a year to recommend policy options to the IASC and resolve the more technical challenges of day-to-day coordination in the field. In addition, the IASC holds weekly, working-level meetings in both New York and Geneva, which also help facilitate communication and common problem solving on issues of daily concern to the field.

IASC Membership 2002

- Food and Agriculture Organization of the United Nations (FAO)
- InterAction
- International Committee for the Red Cross (ICRC)
- International Council of Voluntary Agencies (ICVA)
- International Federation of Red Cross and Red Crescent Societies (IFRC)
- International Organization for Migration (IOM)
- Office for the Coordination of Humanitarian Affairs (OCHA)
- Office of the Special Representative of the Secretary-General for Internally Displaced Persons
- Steering Committee for Humanitarian Response (SCHR)
- United Nations Children's Fund (UNICEF)
- United Nations Development Programme (UNDP)
- United Nations High Commissioner for Human Rights (UNHCHR)
- United Nations High Commissioner for Refugees (UNHCR)
- United Nations Population Fund (UNFPA)
- The World Bank
- World Food Programme (WFP)
- World Health Organisation (WHO)

The Senior Management Team

OCHA's senior management team is led by the USG/ERC and consists of the deputy emergency relief coordinator (DERC), the assistant emergency relief coordinator (AERC), the director of OCHA in New York and deputy director of OCHA in Geneva. Working under the overall direction of the USG/ERC, the senior management team thinks strategically on behalf of the whole of OCHA, consulting on all policy and managerial issues and acting collegially in the implementation of decisions. The senior management team also acts as a consultative body for the USG/ERC.

Linking Headquarters and the Field: The Role of Desk Officers

OCHA employs 41 desk officers, based in both New York and Geneva, who act as the key interface between headquarters and the field for the particular region to which they are assigned. Based in the Humanitarian Emergency Branch (HEB) in New York and the Response Coordination Branch (RCB) in Geneva, the work of desk officers in both locations is mutually reinforcing, often requiring similar activities and skills. For instance, in each location, desk officers are responsible for maintaining regular contacts with local or regional donors and briefing the local IASC and NGO groups. Whenever possible, desk officers endeavour to undertake joint field missions.

However, each division has its own unique responsibilities and role to play in the coordination of humanitarian assistance, partly based on the comparative advantage of its location: New York hosts the UN Secretariat, while Geneva is the humanitarian capital of the world.

Humanitarian Emergency Branch

HEB's 15 regional desk officers in New York work in close cooperation with OCHA's policy, advocacy and response coordination branches to support the USG/ERC as humanitarian adviser to the Secretary-General. HEB also acts as a liaison between OCHA and the political, peacekeeping and security arms of the UN Secretariat, UN agencies and NGOs. This serves to assist the USG/ERC and the field to support

integrated UN peace operations, and provides managers in the field with guidance on issues related to the interaction of political, security and military developments in crises.

Through meetings between the USG/ERC and Secretary-General, heads of state or representatives of Member States, HEB is able to advocate at the highest level for effective ways to mobilise support for the victims of crises. In times of crisis, HEB supports the USG/ERC, the Deputy ERC or the branch chief in briefing the Security Council on the humanitarian challenges in specific countries. HEB also helps prepare reports of the Secretary-General to the General Assembly and other intergovernmental organs by providing information, analysis and recommendations on humanitarian emergency situations.

HEB also interacts with other New York-based humanitarian partners. It briefs the weekly IASC working-level meetings as well as the monthly InterAction meetings on country situations, and liaises closely with the IASC/ECHA Secretariat on the appointment of humanitarian coordinators (HC). It leads or participates in assessment missions to the field and in times of crisis deploys staff to the field as part of OCHA's rapid-response capacity.

The field should turn to HEB for:

- Overall policy frameworks for humanitarian action in-country;
- Issues pertaining to links with political, peacekeeping, military, security, human rights and development concerns;
- Political/strategic updates on UN overall response; and
- Contact with staff in the policy development, advocacy and external relations, early warning and information technology/information management branches and sections in New York.

Response Coordination Branch

The Geneva-based Response Coordination Branch, in cooperation with HEB, plays a leading role in the mobilisation and coordination of emergency international assistance following complex emergencies and natural disasters.

Composed of 26 regional desk officers, RCB also acts as a conduit for information between the field and other OCHA branches and its partners in the humanitarian community, consolidating and sharing information on humanitarian situations around the world. RCB, in collaboration with OCHA's other branches, also advises the field on disaster response preparedness ahead of a crisis; assists in assessment and planning of humanitarian needs in disasters and emergencies and the coordination of country-specific contingency planning in disasters and ongoing emergencies; and advises the field, as necessary, on the development and implementation of CHAPs and the CAP. RCB is also responsible for overseeing field office requirements and providing substantive and administrative support to field offices.

In cooperation with HEB, RCB regularly liaises with NGOs and donors, particularly those based in Europe, and manages the CAP through its CAP and Donor Relations section.

RCB also remains in close contact with OCHA's Emergency Services Branch (ESB) to ensure timely use and promotion of existing emergency services and tools, such as UNDAC and the use of military and civil defence assets.

The field should turn to RCB for:

- Smooth functioning of field offices and in-country coordination arrangements;
- Use of coordination tools;
- Strengthening and implementing the CAP;
- Assessment of CHAP effectiveness;
- Establishment of new offices and staff recruitment;
- Contingency planning support for disasters and ongoing emergencies; and
- Contact with staff in the financial tracking and donor relations, staff development and training, emergency services, surge capacity, finance and administration branches and sections in Geneva.

COORDINATION AT THE FIELD LEVEL

The structure of OCHA's field presence varies in size and scope depending on the demands of the emergency. In both natural disasters and complex emergencies, the USG/ERC, in consultation with the IASC,

determines when and how OCHA responds at the onset of a crisis, and then periodically reviews the coordination arrangements once the mission is underway.

OCHA typically becomes involved in the initial response to a crisis only when and if it reaches such proportions that it requires a multi-sectoral, international response.

While coordination arrangements vary, it is useful to understand the basic structural frameworks and roles.

Resident Coordinator and the UN Country Team

In the initial stages of a complex emergency or natural disaster, the UN resident coordinator (RC) plays a critical role in coordinating the policies, programmes and actions in all countries with a UN presence. The RC is typically the most senior UN representative in-country, is appointed by the Secretary-General, and represents all organisations of the UN unless they have a presence on the ground. As such, the RC often represents OCHA in the early warning and initial response phase of an emergency. The RC is also typically the resident representative for UNDP and is usually in place and familiar with the nature of the crisis when an emergency occurs.

When the RC takes on the additional responsibilities of managing and coordinating an emergency, he or she becomes responsible and accountable to the USG/ERC for the facilitation of the international humanitarian response to the crisis. However, the RC maintains a reporting line to UNDP on development activities as well as for natural disaster mitigation, prevention, preparedness and capacity building, for which UNDP has the primary responsibility within the UN system.

In his or her coordinating role, the RC convenes regular meetings of the UN country team (UNCT), composed of the representatives of the operational UN agencies on the ground. In a crisis, the RC will also organize broader coordination forums comprised of NGOs, the Red Cross movement, donors and international organisations, including sub-committees that help coordinate humanitarian relief in a particular sector or region.

In countries prone to natural disasters, the UN country team also functions as a disaster management team (DMT). As such, it is responsible for overseeing contingency planning and preparedness exercises in advance, as well as for the emergency response once a disaster strikes. In the event of a sudden-onset disaster, the DMT is often the first to respond to the crisis, before other international relief workers arrive. In these cases, the RC acts as OCHA's representative on-site, reporting directly to the USG/ERC.

Humanitarian Coordinator

When faced with the threat of a full-blown crisis, the USG/ERC, in consultation with the members of the IASC, may identify the need to designate a humanitarian coordinator, who becomes the most senior UN humanitarian official on the ground for the emergency, accountable to the USG/ERC for ensuring a quick, effective and well-coordinated assistance. The appointment of an HC signals both the need for a full-time coordinator of the humanitarian response during crisis and the need for a long-term humanitarian presence in country. (See the box below for a list of criteria for appointing a humanitarian coordinator.)

Resident/Humanitarian Coordinator (R/HC)

In most cases, it is the RC who is given the additional title and responsibilities of humanitarian coordinator. The merger of the RC and HC positions ensures a more unified and integrated UN approach and the early integration of a more long-term, development-oriented perspective.

The combined resident/humanitarian coordinator reports to and is accountable to the USG/ERC on all matters related to humanitarian coordination, but will continue to report to UNDP on development and some natural disaster issues (as described above).

However, there may be cases in which the RC lacks the necessary skills or experience to fill the HC role. In these situations, the USG/ERC may either suggest that an alternative UNDP resident representative be chosen and appointed R/HC, or appoint a separate humanitarian coordinator. (See Annex C on page 140 for the terms of reference for the humanitarian coordinator.)

When Should There Be a Humanitarian Coordinator?

The USG/ERC, in consultation with the members of the IASC, may conclude that a situation requires a humanitarian coordinator because there is a need for:

1. Intensive and extensive political management, mediation and coordination to enable the delivery of humanitarian response, including negotiated access to affected populations;
2. Massive humanitarian assistance requiring action by a range of participants beyond a single national authority;
3. A high degree of external political support, often from the Security Council.

Lead Agency

In some emergencies, the IASC may designate a lead agency to assume coordination responsibilities. This is most often the case when the primary assistance required is closely related to the mandate of a single agency. This can also occur when the agency in question has a clear advantage in capacity, field presence and ability to mobilise rapidly. Such was the case in Kosovo in June 1999 when the Security Council designated UNHCR as the lead agency for the humanitarian component in the UN Interim Administrative Mission in Kosovo (UNMIK) because the humanitarian crisis was dominated by the response to refugee flows.

The lead agency has a responsibility to report to the USG/ERC on humanitarian coordination, but the nature of the relationship between OCHA and the lead agency varies from country to country. In some cases, the lead agency's country director becomes a de-facto HC and is supported by an OCHA field office, as was the case in Kosovo. In other cases, coordination structures are unclear. In light of these experiences, the IASC, with OCHA's support, is currently reviewing this model.

Field Offices

OCHA establishes field offices to provide the HC, or in some cases the lead agency, with the capacity to implement coordination activities. In some countries field offices are very small and are able to carry out limited coordination activities. In other countries, field offices are very large and are able to carry out the full range of OCHA's core functions. While the size and structure of these offices depend on the nature of the emergency and on donor funding, they generally include a head of office, an information officer, a field coordinator and a donor/NGO liaison.

In addition to acting as the primary humanitarian advisers to the R/HC, field office staff play a crucial role in supporting the work of the UN country team as well as humanitarian and government partners, in organising an effective response and advocating for principled humanitarian action. These functions primarily include negotiating humanitarian access, defining the minimum standards for ensuring a safe and effective operating environment and facilitating coordination through conducting assessments, developing plans of action and monitoring outcomes.

Because the R/HC has multiple functions, OCHA field officers are instrumental in keeping him/her focused and well briefed on the humanitarian situation. In some cases, an OCHA head of office may also be designated as a deputy HC.

Other support functions may include:

- Providing support for humanitarian diplomacy or other negotiations, such as on access;
- Contributing to comprehensive and coherent humanitarian action through the collection, analysis and timely dissemination of information, including public information;
- Advising the HC on humanitarian issues and supporting the HC in guiding and overseeing development of the CHAP and the preparation of the CAP;
- Advising the HC on the allocation of tasks and responsibilities and ensuring that they are reflected in a strategic plan in accordance with agency mandates;
- Participating in inter-agency needs assessments;
- Developing programme coordination with all concerned authorities, donors, peace support operations, the media and the broader humanitarian community, including NGOs;
- Maintaining links, primarily through the relevant desk officer, with OCHA's policy, response, advocacy and information branches in order to provide the HC and country team with advice on policy and advocacy issues for disasters and emergencies; and
- Facilitating the establishment of common logistics, security and communications networks.

Regional Offices

Internal conflicts often extend beyond the borders of one state and spill over into large areas or regions, leading to the sustained displacement of thousands of people. When an emergency requires a regional approach, the USG/ERC may establish a regional coordination office. Operating under the supervision of the USG/ERC, these offices do not perform coordination functions in their own right. Rather, they add value by providing support and liaison services such as advocacy, analysis, administration and logistics, as well as ICT and finance, that can be drawn upon by HCs, RCs and OCHA offices in the region.

OCHA currently maintains a regional office, in Nairobi, Kenya for the Horn of Africa and is in the process of establishing one in Abidjan, Ivory Coast for West Africa.

Regional Disaster Response Advisers (RDRA)

To ensure the necessary expertise in monitoring and responding to natural disasters, OCHA also maintains regional disaster response advisers

in disaster-prone regions. In addition to supporting UN country teams, the RDRAs provide technical, strategic and training assistance to governments, UN agencies and regional organisations in order to improve natural disaster planning and response and to ensure a smooth transition to rehabilitation.

OCHA currently maintains four RDRA offices that cover the Pacific (Suva, Fiji), Asia (Kobe, Japan), Latin America and the Caribbean (Quito, Ecuador) and southern Africa (Gabarone, Botswana). OCHA is in the process of establishing two other RDRA offices to cover Southern Asia (Delhi, India) and East Africa (Nairobi, Kenya) and is exploring the possibility of creating an RDRA presence in West Africa (Abidjan, Ivory Coast).

Designated Officials for Security (DO)

Increasingly, aid workers are operating in dangerous environments. In the past ten years, 198 UN civilian staff have been killed. Since 1994, some 240 have been taken hostage or kidnapped in 63 separate incidents. Virtually every one of these incidents resulted in a cessation of humanitarian activities in the affected area. Thus, the management of security risks faced by staff in hazardous duty stations is critical to ensuring their safety and the success of humanitarian operations.

To this end, the Secretary-General appoints a designated official for security - usually the RC - in every country with a UN presence. The DO is responsible for the security and safety of UN personnel and their eligible dependents. The DO forms a security management team (SMT) comprised of the heads of UN agencies to support him/her in preparing security plans and monitoring what is often a fluid security situation. The DO may invite other parties such as NGOs or international organisations (IO) to participate in the SMT as the situation warrants. The DO and SMT report directly to the UN Security Coordinator (UNSECOORD) in New York.

At duty stations where security is of concern, UNSECOORD deploys one or more full-time field security officers (FSO) to assist the DO in day-to-day security management and implementation of the security plan, which may include relocations or evacuations of UN staff and dependents in case of emergency. In humanitarian crises, the FSO plays a key role in undertaking security assessments of potentially hostile environments, as directed by the DO and SMT. (See Annex D on page 143 for a description of UN security phases.)

Representatives of the Secretary-General

When the UN is involved in substantial political negotiations or peacekeeping operations, the Secretary-General may appoint a special representative, a representative (RSG) or a special envoy.

In such cases, the SRSG, appointed to head peacekeeping operations, or the RSG, appointed to head political missions, is recognised as having overall authority on behalf of the Secretary-General for UN operations in the country. SRSGs report to the Secretary-General, through the USG for peacekeeping operations, while RSGs report through the USG for political affairs.

The SRSG or the RSG establishes the overall political framework for and provides the overarching leadership to the UN team in-country and the HC continues to be responsible for all matters related to humanitarian coordination, reporting directly to the USG/ERC. In situations of active conflict, or where there is no multidimensional peacekeeping operation, a number of different field arrangements and relationships between S/RSGs, HCs and the rest of the country team are possible. A common structure currently operates in the Democratic Republic of Congo (DRC) where the SRSG leads the UN Organisation Mission in the DRC (MONUC) in preparation for the arrival of military observers to monitor compliance with ceasefire obligations. The HC, supported by an OCHA field office, works separately from the SRSG and MONUC, and is focused on coordinating humanitarian activities through the UN country team.

When the UN establishes an interim administration or deploys an integrated peace mission, the SRSG or RSG will drive overall UN activities, including those related to humanitarian coordination. In this case, the HC may also serve as deputy special representative/ representative of the Secretary-General. This is currently the case in Sierra Leone, where one person acts as a resident coordinator, humanitarian coordinator and deputy special representative to the Secretary-General. As such, the RC/HC/DSRSG is supported by a joint OCHA-UNDP Humanitarian Assistance Coordination Unit (HACU) and by the UN mission in Sierra Leone (UNAMSIL).

As part of the follow-up to the Report of the Secretary General's Panel on Peace Operations - also known as the Brahimi Report - the four Executive Committees of the UN Secretariat are in the process of defining and strengthening these field relationships, including the role of the R/HC and OCHA field offices in relation to peacemaking and peace-building.

STAGES AND TOOLS OF RESPONSE

As a coordinating body, free from day-to-day operational challenges, OCHA focuses on the full spectrum of issues associated with humanitarian assistance, anticipating changes in operational environments and setting the agenda for common international humanitarian actions even before crises occur.

OCHA plays a key role in examining and addressing the immediate challenges to humanitarian assistance and also in identifying, monitoring and providing technical and policy support both before and after a crisis. This means working on behalf of and in consultation with, the larger humanitarian community to seek out ways to predict and possibly avert crises, and to ensure that relief programmes contribute to the larger goals of sustainable development and peace.

To so do, OCHA has a wide range of flexible mechanisms and tools at its disposal.

Pre-Crisis Preparedness

Working closely with the RC and the UNCT, OCHA begins observing and evaluating countries at risk for war and vulnerable to natural disasters well before crises occur.

Monitoring and Preparedness

Desk officers continuously monitor weather conditions, earthquake bulletins and the news services in their assigned regions for potential natural disasters, environmental and technological emergencies and signs of social unrest. Though UNDP is mandated to carry out disaster preparedness, OCHA collaborates closely with it on activities such as improving links with national authorities, implementing lessons learned or organizing seminars to discuss coordination mechanisms.

As soon as OCHA receives a warning of a foreseeable natural disaster - such as a cyclone or tropical storm warning - the USG/ERC may decide to dispatch individual delegates or inter-agency assessment missions to evaluate the local and international disaster response capability.

OCHA's Early Warning and Contingency Planning Unit in New York identifies countries at risk for internal conflict by evaluating events and political, economic and social changes in areas not covered by desk officers. Working primarily through the inter-agency Framework Team, this unit helps promote in-country contingency planning and other actions designed to prevent or mitigate the conflict.

Contingency Planning

Contingency planning is a management tool that helps the humanitarian community develop common strategies in response to potential disasters and emergencies.

In practice, contingency planning begins with a risk and vulnerability assessment that includes identifying and prioritising potential threats that may occur locally or regionally; analysing their humanitarian impact; devising appropriate plans and clear goals; and identifying the processes and resources for achieving them. Contingency planning also involves working ahead of a crisis situation to establish relationships between the relevant players on the ground and relevant actors at headquarters. These plans form the basis for coordination in the event of an emergency, and are reviewed periodically and updated as conditions change.

In order to provide guidance to UN country teams and their partners on developing common planning approaches, the IASC's Reference Group on Contingency Planning developed a set of tools and recommendations that combine different approaches, field experience and lessons learned for responding to potential emergencies. These Inter-Agency Contingency Planning Guidelines were formally approved by the IASC in November 2001.

Case Study: Contingency Planning in Zimbabwe

In May 2000, OCHA led a contingency planning mission to Zimbabwe to gauge the humanitarian impact of the political violence and economic crisis, and to develop a range of potential plans of action.

During the mission, the team met with a broad range of actors including UN country team members, NGOs, security officers, donors and diplomats to discuss security, agricultural and food concerns. Based on these meetings, OCHA developed three contingency plans that addressed the best case, worst case and most likely scenarios.

The team then turned these plans over to the RC where they became the basis of more detailed preparedness and sectoral strategies and informed the establishment of a more formal relief and recovery unit under the leadership of the RC.

Emergency Response

When a full-blown crisis erupts, the need for assistance frequently exceeds the ability of local governments to provide it. As the international community responds to the crisis and more actors become involved, the need to coordinate the response becomes apparent.

Governments affected by natural or environmental disasters may seek OCHA's help through its emergency hotline, through the RC or by contacting OCHA at headquarters. In complex emergencies, it is the USG/ERC, in consultation with the IASC, the RC and the affected government, who assesses the coordination needs and alerts the international community.

OCHA then mobilises assistance teams, assets and resources both at headquarters and in the field to begin coordinating the international response.

Determining a Response

In Geneva and New York, an on-call duty team provides emergency response coverage of new and ongoing emergencies 24 hours a day, seven days a week. (See the box below on the Emergency Duty System.)

When a new emergency erupts or an ongoing emergency suddenly deteriorates, the duty team speaks to the RC to get a first-hand account of the situation on the ground and then notifies the head of the appropriate branch and, if necessary, the office of the USG/ERC to confirm data and determine an appropriate response.

At this point, the USG/ERC may put rapid-response teams on stand-by or, depending on the situation, deploy them to the field. The USG/ERC may also mobilise emergency resources and alert the international community, including donors, of the scope and nature of the crisis and potential aspects of a response.

Round-the-Clock Readiness: The Emergency Duty System

OCHA headquarters in Geneva and New York manage a 24-hour, seven days a week emergency duty system to continuously monitor the development of emergency situations such as:

- Natural disasters or environmental emergencies;
- New complex emergencies or a sudden deterioration of existing ones; and
- Developments in ongoing emergency-related activities.

The system is staffed by a rotating, two-person duty team (a duty officer and a duty assistant) that regularly monitors and evaluates urgent or immediate communications and events in the field. The duty officer receives information on emergencies through a duty mobile telephone, cables and faxes from various news, weather and alert services. During weekends and holidays, the duty officer is required to check incoming communications several times a day.

When an emergency erupts, the duty officer contacts the appropriate branch head, their counterpart on duty in New York/Geneva and, if necessary, the office of the USG/ERC. The duty officer will then contact the (R)HC and the UN coordinating body in the affected country and possibly the region in order to get an initial briefing on the situation and an assessment of damage and casualties. The duty officer remains in close contact with the (R)HC for phone updates and more formal field situation reports until coordination mechanisms are put in place.

If a major disaster or high profile emergency occurs that requires the immediate deployment of rapid-respone teams or mobilisation of logistics support, the duty officer contacts the heads of OCHA's Response Coordination Branch, Emergency Services Branch and Humanitarian Emergency Branch to decide how to proceed.

Time is a critical factor in disaster response and OCHA's response to a natural disaster typically follows pre-determined mechanisms and procedures. Once disaster strikes, the UN country team acts as the disaster management team led by the RC. At the government's request, the DMT begins assisting the local government in mitigating the humanitarian consequences of the disaster. Depending on the scope of the emergency, the USG/ERC may also call upon the RDRA in the region to travel to the site of the emergency and support UN country teams, the resident coordinators and the local government.

Working in parallel, RCB managers and desk officers in Geneva may also activate an emergency operations team to coordinate aspects of disaster response from headquarters. Depending on the type and magnitude of the disaster, these interdisciplinary emergency teams may include information management, technology, operations, logistics, administration and communications capacity to coordinate all aspects of response.

Determining coordination structures in complex emergencies, however, is less straightforward and driven by the demands of the conflict. Once conflict breaks out, the USG/ERC, in consultation with the IASC, country and regional RCs, determines whether the crisis warrants a country or regional response, and decides which coordination mechanisms best fit, including whether there is a need for a HC. As part of these discussions, the USG/ERC and IASC partners assess the political, military and security situation, while taking into account other UN coordination mechanisms that are in place.

Case Study: Determining a Response in Afghanistan

Just days before the 11 September attack on the United States, the UN Humanitarian Coordinator for Afghanistan had issued an action plan, entitled "The Deepening Crisis," which called for food, provisions and shelter to help more than five million Afghans survive the winter. Impoverished by three

years of drought and defeated by many years of civil war and pervasive human rights abuses, many of the people of Afghanistan already relied on international aid for survival.

The sudden evacuation of all UN and NGO international staff on September 12 combined with the inability of many national staff to continue their work, shut down most humanitarian activities in the country and placed the population at additional risk. Fearing US retaliation for the attacks on New York and Washington, hundreds of thousands of Afghans began fleeing their homes toward rural areas and the borders. The USG/ERC determined that it was necessary to devise new coordination structures to handle the spiralling humanitarian situation on the ground.

By September 18, the existing HC had created a crisis management group in Islamabad, Pakistan comprised of the humanitarian agencies and certain international NGOs already operating on the ground. The group acted as a planning focal point for determining the overall approach to the crisis and managing the ongoing emergency needs from outside the country.

To support the work of the crisis group and to mitigate the emergency's spill-over effects in surrounding countries, the USG/ERC, working through the IASC, formed a regional coordination body and designated the existing HC as the UN Regional Humanitarian Coordinator for the Afghanistan Crisis.

At headquarters, the UN's Executive Committee on Peace and Security (ECPS) established an integrated mission task force (IMTF) composed of the political, humanitarian, developmental, human rights and gender elements of the UN system, to: share information and perspectives at headquarters-level; provide policy support to the crisis management group on the ground; and advise the Secretary-General on all elements of the UN response.

Through daily conference calls and frequent interactions between the USG/ERC and the HC, these three groups keep in constant contact throughout the early stage of the crisis to coordinate the delivery of humanitarian assistance in remote and insecure villages, advocate for humanitarian principles such as the safety and security of humanitarian workers and develop policy frameworks to address areas of common concern.

On-Site Coordination

Once coordination structures are activated and in place, the HC, on behalf of OCHA, begins coordinating humanitarian response on the ground using a combination of rapid-response tools, information services and consultative forums.

In the immediate aftermath of a sudden-onset disaster, the USG/ERC, in consultation with the RC, may field a rapid-response team to support on-site coordination, to manage first-hand information and to advocate among donors. Known as United Nations Disaster and Coordination, these teams work under the HC's authority to reinforce the UNCT/DMT and, when requested, the affected government. UNDAC teams typically remain deployed for two to three weeks. (See the box on page 53 on rapid response tools.)

After an earthquake, the RC also oversees the international urban search and rescue teams (SARs), dispatched by governments to support the relief efforts of the affected country. In such cases, UNDAC may establish and manage an on-site operations coordination centre (OSOCC) to coordinate the international search and rescue teams and the national authorities. (See the box on coordination centres on page 63.)

OCHA's rapid deployment ability also extends to environmental, technological and industrial emergencies. Through a joint venture with the United Nations Environmental Programme (UNEP), OCHA facilitates the deployment of environmental experts to coordinate UN emergency response.

Once a complex emergency occurs, the HC coordinates humanitarian response by chairing the regular UN country team meeting in order to share information and consult on issues of common concern. It is here that the HC and agencies aim to address areas of common concern, such as humanitarian access, security and the interplay between the peacekeeping, political, humanitarian, human rights and development components of the mission.

Working with OCHA's policy branch, the IASC and ECHA, the HC feeds information about these issues from the field back to headquarters to be included in inter-agency recommendations and briefings to the Secretary-General and the Security Council. OCHA's policy branch and desk officers in New York are then responsible for closing the feedback loop by reporting the results of these briefings back to the HCs and field staff.

The R/HC may also convene and oversee broader coordination meetings designed solely to address humanitarian concerns. These forums include NGOs, the Red Cross movement, donors and international organisations, which often establish sub-committees to help coordinate humanitarian relief in a particular sector or region.

Through these discussions, the R/HC helps plan integrated and comprehensive interventions, facilitate agreement on the division of responsibility, and ensure that common strategies and action plans are updated and implemented. In addition, the R/HC may use his/her influence as a representative of the UN Secretariat to push the government to resolve common administrative issues and bottlenecks, for example tax exemptions and travel visas, on behalf of NGOs.

Surge Capacity

Following the attack on the World Trade Centre and Pentagon, when the threat of US retaliation against the Taliban seemed imminent, Afghan civilians fled their homes in search of safe havens. This increased Afghanistan's IDP population from five to seven and a half million and quickly created one of the world's most dire humanitarian emergencies.

Within two weeks, OCHA had dispatched teams of practitioners with experience in operations management, information technology, media relations, advocacy, humanitarian law and government relations to mount a regional response to the worsening crisis in Afghanistan, and to support food and medical assistance in neighbouring countries.

This is just one example of the quick response OCHA must be able to provide when a humanitarian crisis unexpectedly intensifies. Other situations requiring quick response include sudden-onset natural, environmental or technological disasters.

To better plan for these situations, OCHA has developed a roster of staff from both headquarters and the field that can be quickly deployed for three-to-six months either to the field or to support emergency response at headquarters.

ESB is also working to manage and pre-package emergency response equipment into transportable surge kits and will oversee a rapid-deployment cash account of un-earmarked contributions for these efforts.

Civil-Military Cooperation

During both disasters and emergencies, governments often assist in the response to humanitarian crises by contributing military assets and services - airplanes, helicopters, airstrips, communications equipment, medical support and security services - to facilitate relief efforts.

OCHA ensures the most effective use of military and civil defence assets in humanitarian operations by facilitating the interaction between the humanitarian and military cells of a relief operation. In many cases, individual UN agencies establish their own links with military cells. However in some instances, OCHA will serve as the hub for the mobilisation and deployment of these assets and will act as a direct liaison between the humanitarian and military cells during a humanitarian relief operation. This involves identifying personnel who are trained in civil-military coordination and who have a civilian-humanitarian or military background to support the (R)HC. This support may take the form of establishing civil-military cooperation (CIMIC) units. (See the box on page 63 regarding coordination centres.)

For example, during the response to the floods in Mozambique in early 2001, OCHA's Military and Civil Defence Unit (MCDU) participated in establishing a joint logistics centre to coordinate the use of military planes, boats and communications equipment that were used to rescue people as well as to support efforts to purify water, distribute food and provide shelter to thousands of homeless civilians.

Rapid-Response Tools

OCHA's Emergencies Services Branch, based in Geneva, supports the USG/ERC by developing and maintaining OCHA's emergency response 'toolkit' — the expertise, systems and services that aim to improve humanitarian assistance in emergencies. While the geographic oversight of response operations is the function of desk officers in RCB and HEB, it is the responsibility of ESB staff to develop, mobilise, and coordinate the deployment of international rapid response and management capacities, covering the entire range of disasters and emergencies. Below are some of the tools OCHA uses to coordinate emergency response, primarily during natural disasters and environmental emergencies.

> International Search and Rescue Advisory Group

INSARAG is the network used by OCHA to mobilise and coordinate international urban search and rescue teams (SARs) dispatched by governments to assist in the rescue of people trapped under collapsed urban structures. OCHA's Field Coordination Support Section (FCSS) serves as the INSARAG secretariat.

At the onset of an emergency, INSARAG registers and monitors the deployment of SARs so they can direct them to areas of particular need. Once the SARs arrive on the scene, the RC briefs them on relief priorities and coordinates their activities to help ensure that all relief needs are met.

For example, after an earthquake, SARs — typically made up of emergency response professionals worldwide — are sent by their governments to support the life-saving efforts of local governments and other authorities in the affected area. In 2001, INSARAG assisted the governments of El Salvador, India and Peru in the aftermath of major earthquakes and sent 22 SARs to assist Indian authorities after the earthquake in Gujarat.

> *United Nations Disaster Assessment and Coordination system*

FCSS also administers the UNDAC system. UNDAC is a network of rapid-response teams that, in consultation with the national government, are deployed to disaster situations to assist the USG/ERC and the international community in gathering information and, upon request, assessing needs during the first phase of a sudden-onset disaster. UNDAC also helps to strengthen overall local, regional and national disaster response capacity.

Staffed by a roster of 164 volunteer national emergency managers nominated and funded by more than 40 participating countries, OCHA and other UN agencies, and international organisations, the UNDAC system is kept on permanent stand-by, ready to deploy within 12 to 24 hours to relief missions anywhere in the world. UNDAC teams typically remain in the affected area for up to four weeks and are self-sufficient in terms of basic telecommunications and office equipment.

Since its creation in 1993, UNDAC has responded to 87 emergencies in 57 countries ranging from natural disasters and internal conflicts, to industrial accidents.

> *Environmental Stand-by Experts (ESBE)*

Through a joint venture with the United Nations Environmental Programme, OCHA facilitates the coordination of UN emergency response to environmental emergencies, such as chemical and oil spills and forest fires.

In such emergencies, the USG/ERC may dispatch ESBE teams - rapid-response teams with environmental expertise - to support an OCHA relief effort or to assist on-site coordination as a stand-alone force. Like UNDAC, these teams collect information, establish contacts between the affected country and donor governments, mobilise multilateral assistance and arrange the dispatch of international experts to assess and make recommendations about response and clean-up.

> *UN Humanitarian Response Depot (UNHRD)*

The UN maintains a warehouse - or depot - of relief supplies in Brindisi, Italy. Though WFP administers the depot, OCHA uses it to maintain a stockpile of basic survival items, such as tents, blankets, kitchen sets, generators, water purification/distribution equipment and other supplies and tools donated by various governments.

OCHA, UNDP or donor governments can request relief shipments from the warehouse in response to a crisis. When required, WFP transports and distributes these supplies by air, land or sea to countries in crisis. For example, after a major earthquake in Peru in June 2001, a WFP-chartered plane, dispatched from the UNHRD, carried contributions of plastic sheeting and other non-food items to the affected area to shelter more than 60,000 families whose homes were damaged or destroyed during the quake. An updated inventory of OCHA relief supplies is available from OCHA's Military, Civil Defence and Logistics Section upon request.

Central Register

OCHA has also developed the Central Register, a database of available relief personnel and supplies at the disposal of the broad international community that ensures expeditious delivery of emergency humanitarian aid in the aftermath of a natural disaster.

Designed to function as a humanitarian "yellow pages," the Central Register includes a list of stockpiles for non-commercial equipment and supplies (food/shelter/water capabilities, transport, medical care); directories for search and rescue teams; national emergency response offices; a register of available military and civil defence assets; and a roster of disaster management experts. This enables emergency response staff to quickly identify and contact potential providers of international assistance.

The full database is available with a user name and password through OCHA's internal network. A non-database version of the directories is also available online from the front page of ReliefWeb (**www.reliefweb.int**).

Emergency Telecommunications

Expert technical advice and material support in telecommunications can strengthen field operations by improving early warning, mitigation and response. Under the auspices of the IASC, OCHA supports telecommunications in humanitarian situations, particularly for the safety and security of humanitarian personnel.

OCHA's Emergency Telecommunications Project covers regulatory and policy aspects, including cross-border use of telecommunications equipment and technologies and supports the development of telecommunication networks in disaster response. The Project also serves as the secretariat for the UN's Working Group on Emergency Telecommunications (WGET), an inter-agency forum for the discussion of all emergency telecommunication related issues, including the establishment of requirements for an international regulatory framework.

In addition, the USG/ERC is responsible for urging governments to reduce and/or remove regulatory barriers that hinder the rapid deployment and effective use of telecommunication resources for relief operations. These actions are implemented as part of the Tampere Convention on the Provision of Telecommunication Resources for Disaster Mitigation and Relief Operations.

For more information on emergency telecommunications, please consult the Handbook on Disaster Communications for Developing Countries at **www.reliefweb.int/telecoms/intro/wget**.

Needs Assessment

In all humanitarian crises the HC aims to stay ahead of events by periodically analysing needs and revising relief strategies accordingly. As the crisis evolves, new areas of need develop, other areas decrease in importance and new providers join the effort. By working with its partners at UN agencies, the HC monitors the situation, collects information across all sectors and geographical regions, quickly identifies emerging needs, gaps and duplications in assistance and tracks the impact of programme efforts.

In a major disaster for which the government has appealed for international assistance, the USG/ERC may dispatch one or more delegates to assist the RC and local authorities in conducting needs assessments. Teams of delegates may also include representatives from humanitarian agencies who can identify needs in their sector of expertise.

During slow-onset emergencies, the HC may coordinate periodic inter-agency field assessment missions and workshops. With the broad participation of UN agencies and international NGOs, these exercises aim to:

- Estimate humanitarian needs by sector and by region;
- Provide a complete picture of which organisations are operating in what geographic area;
- Measure impact and progress; and
- Identify vulnerable groups.

These plans often serve as the building blocks for donor alerts and consolidated appeals.

"To me, coordination is about human relationships, and you can solve turf issues by focusing on an area of need that no one else is mandated to address and then use your achievement in that area to establish credibility and gain the respect of your peers. For example, when I joined OCHA as a field coordinator in Sierra Leone, we first focused on humanitarian access and were successful at negotiating with the RUF and local chieftans to allow the humanitarian agencies and NGOs to access civilians in the rebel-held areas in the north. Once OCHA made progress there, we moved onto security coordination. By then OCHA had gained enough credibility with the operational agencies on the ground to be able to effectively coordinate."

- Humanitarian affairs officer, Sierra Leone, 2000

Policy and Advocacy

In the field, the HC supports the USG/ERC in his/her role as the principal advocate for all key policy issues relating to humanitarian assistance and the protection of civilians.

Within the offices of the HC, staff may be assigned to specific advocacy and public information functions. These staff may issue inter-agency statements or press releases about particular areas of concern or proactively develop public information campaigns to advocate on behalf of the populations in need. OCHA's office in Moscow, for instance, funded and co-produced a documentary film on the humanitarian situation in Chechnya.

Issues that require a response at the international level - either through the international media or intergovernmental mechanisms - are addressed by OCHA's Advocacy and External Relations Section. During crises, it is critical that field staff assigned to public information activities communicate directly with these sections so that key messages can be communicated to a wider audience. (See Annex E on page 144 for more details.)

The HC, through OCHA, also advocates on behalf of the humanitarian community on issues of common concern, such as the inclusion of women in humanitarian assistance planning and the promotion of transitional programming for relief assistance to support resettlement, repatriation and reconstruction.

Below are some key policy issues that the HC and when necessary the USG/ERC, address and promote on behalf of the humanitarian community.

Access

In complex emergencies, warring parties often view humanitarian operations as counter to their military objectives and may deny humanitarian workers access to areas where there are civilians in need.

Because the lack of humanitarian access poses challenges to all aid organisations, the HC will often act on behalf of the humanitarian community as the chief negotiator with the parties to the conflict. Achieving access to a certain area can take days or months depending on the political climate and as areas of need shift, access must often be renegotiated again and again. As a result, the HC may spend a significant amount of time negotiating with governments, local chieftans, combatants and other key stakeholders to secure safe and unimpeded humanitarian access. Once gained, access is sometimes formalised in agreements and memoranda of understanding or even in peace agreements, as was the case in Sierra Leone when the R/HC, working closely with the SRSG, secured access to rebel-held areas as part of the 1999 Peace Agreement Between The Government of Sierra Leone and The Revolutionary United Front of Sierra Leone.

Principles

OCHA also plays a key role in the field by ensuring that the international humanitarian community takes a principled approach to aid delivery and finds ways of making this approach binding and concrete. This principled approach is achieved through the development of a variety of mechanisms, such as codes of conduct or minimum operational standards, which guide the action of humanitarian workers. Developed jointly, codes of conduct and minimum operational standards aim to secure an agreement among all stakeholders - including the government and parties to conflict - in order to set the ground rules for intervention. OCHA then convenes compliance committees, comprised of a sampling of the humanitarian actors on the ground, to monitor implementation of these mechanisms and to make decisions on situations in which the aid community feels it may need to make exceptions.

Protection of Civilians

As the principal UN humanitarian advocate in the field, the HC plays a leading role in advocating for and supporting new and more coherent policies to effectively protect civilians in conflict as outlined in Common Article 3 of the Geneva Conventions (see the box below). In this role, the HC's efforts might range from negotiating with parties to the conflict for access to vulnerable groups, to ensuring the separation of combatants and civilians in IDP camps, to supporting or calling for measures to ensure that violations of protection standards are reliably addressed. Field staff also play a key role by reporting to headquarters on the status of protection efforts and violations.

The Geneva Conventions of 1949

OCHA's work also is based on the fact that civilians have a right to protection in times of war, as enshrined in the four Geneva Conventions of 1949. According to Common Article 3 of the Geneva Conventions, governments as well as armed groups have a direct responsibility to behave responsibly in conflict situations and to take measures to ensure the protection of the civilian population.

Common Article 3

In the case of armed conflict not of an international character occurring in the territory of one of the High Contracting Parties, each Party to the conflict shall be bound to apply, as a minimum, the following provisions:

1. Persons taking no active part in the hostilities, including members of armed forces who have laid down their arms and those placed "hors de combat" by sickness, wounds, detention, or any other cause, shall in all circumstances be treated humanely, without any adverse

distinction founded on race, colour, religion or faith, sex, birth or wealth, or any other similar criteria. To this end, the following acts are and shall remain prohibited at any time and in any place whatsoever with respect to the above-mentioned persons:

a. violence to life and person, in particular murder of all kinds, mutilation, cruel treatment and torture;

b. taking of hostages;

c. outrages upon personal dignity, in particular humiliating and degrading treatment;

d. the passing of sentences and the carrying out of executions without previous judgment pronounced by a regularly constituted court, affording all the judicial guarantees which are recognized as indispensable by civilized peoples.

2. The wounded and sick shall be collected and cared for.

An impartial humanitarian body, such as the International Committee of the Red Cross, may offer its services to the Parties to the conflict. The Parties to the conflict should further endeavour to bring into force, by means of special agreements, all or part of the other provisions of the present Convention.

The application of the preceding provisions shall not affect the legal status of the Parties to the conflict.

Internally Displaced Persons

Assistance for IDPs forms a major part of OCHA's work in the field. During a crisis, the HC must quickly identify gaps in IDP assistance and protection; work with government, operational agencies and other partners to close them; and develop strategies to identify and implement lasting solutions for the displaced, such as on resettlement. On a case-by-case basis, OCHA's Internal Displacement Unit (IDP Unit), headquartered in Geneva, may provide support to the UNCT and other humanitarian agencies in the coordination of IDP response. It may help develop an IDP country plan, including advocacy for assistance and protection, and make proposals to the USG/ERC for an early and effective division of tasks and responsibilities among the agencies.

Case Study: The Protection of IDPs in Angola

Approximately four million Angolans - one quarter of the country's entire population - have been displaced as a result of almost 27 years of civil war. Most IDPs have sought safe haven in provincial centres and the capital, Luanda, where they live in transit centres, camps or scattered among host populations.

In an effort to reduce overcrowding in the cities and reassert their control over the countryside, the government began to promote large-scale resettlement in early 2000. Many of the proposed sites, however, were located outside security perimeters in areas inaccessible to the humanitarian community, making the delivery of assistance impossible. Some resettlement sites were in military zones or in areas infested with landmines. Populations undergoing resettlement experienced a decline in their living conditions due to a lack of shelter, sanitation facilities and access to water. In addition, the land allocated to resettled populations was often limited, of poor quality and therefore inadequate for planting, growing and harvesting food.

In response, OCHA took the initiative to develop minimum operational standards for resettlement. Working closely with the Angolan Ministry of Social Affairs and Reintegration (MINARS), OCHA identified pre-conditions for resettlement, including minimum standards for security and access to land, and targets for post-relocation assistance, including adequate health care and water and sanitation. The draft norms, based on the UN Guiding Principles for Internal Displacement, were widely discussed by UN agencies, NGOs, donors and government representatives. The Angolan Council of Ministers formally approved the Norms on the Resettlement of Displaced Populations on 18 October 2000. The following day, a decree was signed by the President of the Republic of Angola and published in the official journal on 5 January 2001 (Decree 1/01). Angola became the first and only country to incorporate the UN's Guiding Principles for Internal Displacement into national legislation, providing direct, legal protection for IDPs undergoing resettlement.

Humanitarian agencies estimate that approximately 50 percent of all resettlement initiatives have been undertaken in compliance with the pre-conditions of the norms, although only ten percent of the post-relocation targets have been met. In a major effort to improve compliance, the government formed a technical working group in February 2001 led

by MINARS to develop a set of legally binding procedures (*regulamento*) that guarantee the standardised application of the norms countrywide. By September 2001, the working group, which included 11 government ministries and departments, UN Agencies and NGOs, had finalised the *regulamento* and the training of government officials to ensure immediate and effective implementation had begun.

Following the introduction of the norms, virtually all provinces drafted resettlement plans. By the end of August 2001, 393,000 IDPs had been resettled in temporary sites in 15 provinces, and the government had closed more than 30 poorly managed transit centres. However, at least 257,000 IDPs living in overcrowded transit centres and camps require resettlement. In addition, tens of thousands of IDPs who resettled in areas inaccessible to humanitarian organisations continue to suffer from the lack of basic services and face persistent insecurity.

Information Management

In emergencies, OCHA deploys information managers to the field as part of the initial response to the outbreak of wars, civil conflicts and natural disasters, and then, for the duration of the crisis, supports the information needs of the international humanitarian community.

Situation Reports (Sitreps)

Throughout a crisis, the HC, supported by the OCHA field office, issues field situation reports that chronicle the status, statistics and key details of the crisis. Using information gleaned from a variety of international and local first-hand accounts, sitreps may include information on changes in the military/humanitarian situation, loss of life, material damage, national response, agency response, relief needs by sector and by region and the status of funding.

The HC typically issues these reports at least daily during the first few days of a crisis and then weekly or bi-weekly as the crisis becomes less acute. The reports are shared with the host government of the affected country, the UN system on the ground, donor embassies and with the NGO community, as appropriate. Field sitreps are also shared with IRIN (**www.irinnews.org**) and are sent to OCHA Geneva, where desk officers will include information about international assistance pledges and activities of international organisations. OCHA then distributes the final sitrep to the international community and the media, and posts it on ReliefWeb (**www.reliefweb.int**).

Geographic Information Systems (GIS)

Information managers deployed by OCHA also work closely with their humanitarian partners to develop information products and tools, such as geographical and thematic maps, databases and digital reference libraries that improve the coordination of humanitarian assistance.

For example, during flooding in Mozambique in February 2001, OCHA's Field Information Support (FIS) team sent GIS specialists to develop a geo-referenced database of humanitarian needs so that helicopter pilots could pinpoint flooded villages that had been overlooked by relief agencies. In Kosovo, information specialists created a needs database that highlighted duplication and gaps in assistance and used this database to develop a series of common road maps to help humanitarian convoys find their way to remote locations.

OCHA also facilitates the work of the Geographic Information Support Team. GIST is an inter-agency initiative that promotes the use of geographic data standards and geographic information systems in support of humanitarian relief operations. GIST members are technical experts and information specialists from the UN and donor agencies involved in disaster management and/or humanitarian assistance. OCHA acts as the GIST Secretariat.

Coordination Centres

In large-scale crises involving many international actors and aid agencies, OCHA may also help establish coordination centres, or physical locations that serve as coordination and information hubs for the greater humanitarian community operating on the ground. Typically, OCHA will facilitate the creation creation of: on-site operations coordination centres (OSOCC) in the case of natural disasters, humanitarian information centres (HIC) in complex emergencies, and CIMIC units in joint humanitarian-peacekeeping response efforts. (See the box below on coordination centres.)

Coordination Centres

At the outset of a crisis, OCHA may establish OSOCCs, HICs or CIMIC units. These are actual physical locations open to the humanitarian community that act as coordination nerve centres and meeting places for information exchange.

On-Site Operations Coordination Centre

When natural disaster response involves a large number of actors, a rapidly evolving emergency situation and the need for real-time coordination of assets, OCHA may establish an OSOCC to support local authorities in coordi-

nating the activities of international relief providers. The OSOCC is a temporary, physical location that acts as a mission control centre to direct the activities of humanitarian organisations responding to the emergency, including UN agencies, governments and NGOs. An OSOCC aims to provide a:

- System for coordinating and directing the activities of an international relief effort, including sectoral coordination, at the site of a disaster/emergency;
- Framework for cooperation and coordination among the international humanitarian entities at a disaster/emergency site; and
- Link between such entities and the affected country's authorities.

OSOCC's are established in the immediate aftermath of a disaster/emergency and remain active until national or local authorities and/or the UN and international relief actors can cope with the emergency.

For example, after a major earthquake, an UNDAC team will be deployed to establish a 5- to 6-person OSOCC to assist the affected countries in coordinating the local authorities and the multitude of SAR teams that descend on the scene. OSOCC staff register and brief new arrivals on current operations and logistics, assess the capabilities of each SAR team and assign tasks.

Virtual OSOCC (www7.itu.int/VirtualOSOCC)

During a sudden-onset disaster, particularly in the case of earthquakes, the international community has few effective tools and mechanisms to gather and exchange information in real time.

To that end, FCSS developed a Web-based, virtual coordination centre, or Virtual OSOCC, through which organisations and governments can share information in real-time about the situation and identify needs as well as planned and ongoing response activities. Users can attach background documents or images as well as hyperlinks to related Web sites together with their information.

Access to the Virtual OSOCC is limited to OCHA disaster managers, INSARAG members, military and governmental response organizations, UN agencies and the Red Cross Movement.

In 2001, the Virtual OSOCC was used during the earthquakes in El Salvador, India and Peru, and during the Afghanistan crisis.

Humanitarian Information Centres

During a complex emergency, OCHA, in cooperation with other agencies and NGOs, may establish a HIC. Unlike the OSOCC, a HIC is a more permanent facility that serves as an information and data resource and provides infrastructure and professional services to humanitarian organisations as they implement relief and rehabilitation projects.

To support the work of all HIC activities, the GIST set up a Web-based data repository containing baseline information on at-risk countries. This site provides access to detailed and sensitive operational data and is accessible by most humanitarian response agencies and some donors.

Staffed by information managers and data specialists borrowed from humanitarian agencies and international NGOs, a HIC typically offers the following products and services:

- **Databases and resource libraries.** HICs develop and maintain key information products such as the *Who? What? Where? Database*, population statistics, number of affected people (IDPs and refugees), food and non food distributions and shortfalls, country encyclopaedias and digital libraries of UN reports and documents;
- **Maps and modelling.** HIC staff develop and distribute road maps to assist relief convoys and missions, and thematic maps that illustrate key sectoral data including housing damage, schools and clinics and the location of mines. HIC staff also use remote sensing imagery to conduct flood modelling and road transport analysis;
- **Needs assessments.** HIC staff in Kosovo led inter-agency exercises, such as the "Rapid Village Assessment Programme" that analysed humanitarian needs at the village level in areas such as water and sanitation, housing damage and health. Their conclusions were then distributed on the HIC Web site, on CD-ROM and in print;
- **Professional services and meeting space.** HICs also often provide humanitarian aid workers with an accessi-

ble, central, public venue equipped with an information desk, an announcement board, agency mail boxes, Internet and fax access. Humanitarian information centres also provide meeting space for inter-agency press conferences, symposia and coordination meetings; and

> **Information and communications technology support.** HICs will also install e-mail, set up servers, and provide common technology facilities for operational agencies and NGOs.

OCHA currently manages humanitarian information centres in Kosovo (**www.reliefweb.int/hcic**/) Sierra Leone, Eritrea and Pakistan (**www.hic.org.pk**). It also maintains close relationships with other information centres such as the Data Platform for the Horn Of Africa (DEPHA) (**www.depha.org**).

Civil-Military Cooperation Units and Joint Logistics Centres (UNJLC)

Where there is a peacekeeping mission, OCHA field staff work closely with other staff operating on the ground to ensure that peacekeeping and humanitarian interests are met in tandem. As part of this effort, CIMIC officers often work out of the HICs as military liaisons. Representatives from the UN Department of Peacekeeping Operations for geographical information issues, known as GEO cells, also collaborate closely with the HICs by sharing information on common operational geographic features like roads and elevations, and by implementing standards such as common naming conventions and identifiers.

Strong information links also exist between HICs and UN Joint Logistics Centres, which are set up to lead the import/export, receipt, dispatch and tracking of both food and non-food relief commodities (by air, road, rail, etc.) and to share logistical information and data about the need for food and non-food items and their distribution to beneficiaries.

Information Services

OCHA manages several information services that each play a powerful role in ensuring that accurate information from the field is put in the hands of key decision-makers and is made available for use by the wider humanitarian community.

ReliefWeb (www.reliefweb.int)

Since its launch in 1996, the ReliefWeb site has become a key source of information on natural disasters and complex emergencies for users - including other UN departments and agencies, NGOs, governments, donors, journalists and the public - in more than 170 countries. As such, it plays a key role in OCHA's advocacy efforts by helping raise awareness about countries in crisis.

With teams in New York, Geneva and Kobe, Japan, ReliefWeb provides 24-hour coverage of relief, preparedness and prevention activities for both complex emergencies and natural disasters worldwide, and acts as a gateway to documents and other sources of information related to humanitarian relief and assistance.

OCHA field staff can use ReliefWeb as an orientation and resource throughout their mission and as a distribution vehicle for sharing and promoting information about their work with a greater international audience.

Field staff with limited Internet access might also want to take advantage of ReliefWeb's custom subscription services that sends e-mail updates based on a user's interest.

The following is a list of resources available through ReliefWeb:

> **Latest Updates.** Documents posted on emergencies and natural disasters within the past 72 hours;

> **Complex Emergencies.** Humanitarian response information on current emergencies and countries of concern;

> **Natural Disasters.** Disaster response information on current natural disasters and archival material dating back to 1981;

> **By Country.** Response documents by country with a complete set of external background links by sector;

> **Background.** An extensive set of external background links by country and sector;

> **Financial Tracking.** Funding requirements and donor contributions for complex emergencies and natural disasters;

> **Map Centre.** Reference and thematic maps concerning current and past humanitarian emergencies and natural disasters, by source, keyword, emergency or country;

- **Humanitarian Vacancies.** Jobs and volunteer openings in the global humanitarian community;
- **Directory of Humanitarian Organisations.** Contact information for UN relief agencies and NGOs;
- **Library.** An archive of humanitarian, human rights and development reference documents;
- **Humanitarian Training.** A selection of training courses and materials available to humanitarian relief organisations and staff;
- **Emergency Telecommunications.** Information and resources available for the provision of emergency telecommunications during relief operations; and
- **Early Warning.** Information on potential emergencies and natural disasters.

Integrated Regional Information Network (www.irinnews.org)

OCHA also manages IRIN, an independent humanitarian news service that provides unbiased reporting on humanitarian crises. The first IRIN office was set up by the then-DHA in 1995 in Nairobi to help manage the huge flow of information to and from the various actors involved in the Great Lakes Region of Central Africa. Its success led to offices in Abidjan, Johannesburg, Islamabad and New York.

IRIN produces updates, analysis and alerts on a range of political, economic and social issues on 46 countries in Africa and eight in Central Asia. The information is drawn from (and provided to) a network of UN agencies, NGOs and international organisations, national authorities, donors, human rights organisations, political parties, regional institutions, churches, academia, businesses and the media.

In addition to producing its own daily, weekly and special reports, IRIN distributes publications from its partners. It also supports humanitarian advocacy efforts through its coverage of relief issues and activities.

All IRIN news reports and documents are available free by e-mail and fax and via the IRIN Web site. Like ReliefWeb, subscribers to IRIN can define their news preferences for e-mail newsletters on the countries/subjects of interest. Depending on the location of their duty station, new field staff are encouraged to visit an IRIN office for a briefing on that particular country or region.

OCHA On-Line (www.reliefweb.int/ocha_ol/)

OCHA's umbrella Web site includes information specific to OCHA's policy, advocacy and field activities including news from headquarters and field offices as well as policy and advocacy position papers, publications, speeches, IASC materials, consolidated appeals updates and an archive of ***OCHA News***, a bi-weekly internal newsletter. Field staff are encouraged to share stories and commentary by contacting OCHA's advocacy office directly at **ocha-advocacy@un.org**.

Resource Mobilisation

In the immediate aftermath of a natural disaster, at the request of the affected government, OCHA, through the RC, can provide emergency cash grants from its own reserves to meet immediate, specific relief needs, such as the purchase and transport of blankets, tents and tools. An estimated USD 750,000 in funds from the UN regular budget is available for emergency grants in payments of up to USD 50,000 each.

To supplement these emergency grants, OCHA manages a Trust Fund for Disaster Relief consisting of contributions from governments to provide life-saving relief. For example, in the aftermath of severe snowstorms in Mongolia in December 2000, OCHA allocated USD 150,000 for relief materials from its own disaster fund and channelled cash from two donor governments.

When a major disaster or complex emergency requires larger sums, OCHA may issue emergency appeals in the form of flash appeals or donor alerts. OCHA typically issues these interim appeals in the earliest stage of a new crisis, or when an ongoing crisis deteriorates significantly. These appeals are prepared in consultation with OCHA's agency partners over the course of a few weeks and usually cover emergency requirements for a few months.

In sudden-onset natural disasters, OCHA often acts as a channel for contributions from bilateral donors and will manage the emergency funds on their behalf. OCHA ensures that: rapidly dispensed funds are available to NGOs for sudden emergencies; proposed interventions are consistent with the consolidated appeal; projects are evaluated; and proper accounting measures are maintained.

Throughout a complex emergency, the ERC can also provide the overall relief effort with fast access to cash through the Central Emergency

Revolving Fund. The CERF is a cash-flow mechanism under the authority of the USG/ERC and administered by OCHA New York to bridge the gaps between needs and available funding. Funded by donors, CERF monies are released to UN operational agencies interest-free at the outset of a crisis and sometimes during later phases to assist agencies with cash-flow problems before donor contributions become available. The mechanism requires that agencies borrowing from the fund pay back the loan within one year.

During the 56th session of the General Assembly in 2001, Member States endorsed several proposals made by the Secretary-General to expand the use of the CERF, formally allowing it for the first time to be used to respond to humanitarian emergencies resulting from natural disasters, to address new requirements in the context of protracted emergencies and to support emergency staff safety arrangements for the UN and associated personnel.

UN agencies have accessed the fund 119 times from 1992 to 2001, borrowing a total of USD 216.2 million, of which USD 193.5 has been reimbursed.

OCHA also oversees the Consolidated Appeals Process, a fund-raising mechanism that has become a powerful coordination and strategy-setting tool. In the initial phase of a crisis, humanitarian funding requirements may be presented in a "flash appeal" or "donor alert." These are subsequently incorporated into a more formal CAP. (See the box below for more details.)

The Consolidated Appeals Process

The CAP is a programming process established in 1991 by Resolution 46/182, through which national, regional and international relief organisations mobilise and respond to complex emergencies. The CAP provides a framework for a strategic humanitarian planning process in a given country or region. The CAP document, which is produced annually and launched globally each November by the Secretary-General, is also used as a primary tool for joint resource mobilisation.

The first part of the appeal document is the Common Humanitarian Action Plan, a joint strategy that analyses the political, social and security situation, projects long and short-term humanitarian needs, assesses the competencies of the agencies involved, identifies potential gaps in capacity, and proposes a common set of objectives, actions and measurements of success. The CHAP also includes a common analysis of how the transition will be made from relief activities to the reconstruction, rehabilitation and development activities carried out by development agencies. Generally, the CHAP provides the vision and strategy that determine the funding requirements outlined in the appeal.

Though all members of the IASC have equal ownership of the CAP, OCHA is its custodian. OCHA facilitates the process with key humanitarian stakeholders - including UN agencies, international organisations, and NGOs - to agree upon the common strategy, monitor implementation, prepare the CAP document, and report on contributions. However, OCHA is not responsible for securing the funding on behalf of UN agencies or others in the CAP. Rather, once the CAP is complete, each entity requesting funds works bilaterally with donors at its headquarters and field offices to raise funds.

In the field, the preparation, implementation, monitoring and review of the CAP is the responsibility of the HC working closely with the CAP country team. The CAP country team includes the UNCT and key stakeholders, including NGOs and the Red Cross Movement. CAP documents can be updated and revised as necessary, allowing the CAP country team to reflect changes in strategy or financial requirements in response to an evolving situation on the ground. At headquarters, the CAP and Donor Relations Section in Geneva jointly oversee the CAP, chairing the IASC Sub-Working Group on the CAP, organising inter-agency CAP training sessions, and maintaining the financial tracking system for reporting donor contributions to the CAP.

While the CAP is now widely used to raise funds for humanitarian assistance in complex emergencies, OCHA is exploring the possibility of using the CAP as a strategic planning and fundraising tool for natural disasters.

In addition, UN agency partners increasingly are recognising the need to integrate the CAP into their own internal planning processes. FAO, UNHCR, UNICEF, WFP and WHO have all taken significant strides to strengthen the CAP's potential as an inter-agency planning tool. OCHA supports these efforts by providing in-house training sessions for specific agencies at both the headquarter and field levels.

In 2001, the international humanitarian community requested USD 2.6 billion through the CAP to respond to humanitarian crises in 18 emergencies, sustaining the lives of an estimated 44 million people. (See Annex F on page 146 for a summary table of CAP requirements and contributions from 1998 to 2001.)

Financial Tracking System (www.reliefweb.int/fts)

OCHA's financial tracking system is a Web-based database that improves the ability of donors and humanitarian actors around the world to track humanitarian aid flows.

FTS allows users to view contributions to humanitarian programmes worldwide as they are reported to OCHA. FTS users are able to access data on the latest CAP funding levels for crises such as those in Afghanistan, Sierra Leone, and Angola, as well as donor response to natural disasters, such as the floods in Mozambique or the earthquake in El Salvador, among others.

The financial tables are updated continuously and the information in the tables is based on contributions reported to OCHA by donors and confirmed by the appealing agencies. OCHA also aims to report on humanitarian assistance channelled outside of the appeal framework (for example, NGOs, ICRC, IFRC, bilateral, etc.). OCHA follows up on specific pledge references reported in the media, quoted in pledging conferences, or conveyed by in-country UNDP/OCHA representatives or OCHA headquarters staff.

Field offices can help the financial tracking process by informing headquarters of potential contributions, based on interactions with donors, UN agencies and NGOs in the field.

Donor Relations

In natural disasters, OCHA facilitates bilateral donor response by publishing information on estimated needs and the level of response in its daily situation reports and may, at times, act as a donor channel.

In complex emergencies, OCHA field officers are responsible for regularly briefing donors on developments, alerting them to funding needs and updating them on the overall status of humanitarian funding. While UN agencies generally maintain their own bilateral contracts with donors, the HC, on behalf of the larger humanitarian community, often facilitates joint meetings with donor groups or leads donor visits to field sites.

In addition to working with donors through the CAP, OCHA consults on a regular basis with both core and less traditional donors to advocate for underfunded crises, aiming to attract a more generous and balanced response.

Staff Development and Training

As part of its internal review, OCHA committed to strengthening its staff development and training programmes for both international and national staff to ensure the effective coordination of response in complex emergencies and natural disasters. To that end, OCHA has defined the set of core competencies staff should have as part of their different roles and responsibilities.

Basic Orientation and Induction Training

OCHA offers a one and a half day orientation programme, designed to familiarise staff with OCHA's core functions and coordination concepts. The programme has been piloted at headquarters in Geneva. A one-day version will be developed for OCHA New York staff to complement the existing UN orientation programme. A special induction process for new field staff is also being developed.

Emergency Field Coordination Training (EFCT)

The new EFCT programme is designed to provide staff with a more advanced understanding of field coordination in complex emergencies. The courses are run four times a year as a residential workshop. EFCT workshops target the heads of OCHA's field offices, humanitarian officers in the field, desk officers at headquarters and a limited number of professional staff from other UN agencies and humanitarian organisations that are involved in emergency response at the field level.

Security Training

Guided by the Secretary-General, the United Nations system has made an unprecedented effort to reinforce all aspects of security management with a renewed inter-agency commitment to ensuring staff security. The primary thrust of these efforts is to provide the agencies and staff with the organisational resources and personal skills to effectively manage security incidents.

UNSECOORD has developed a field based security management training programme for all UN system staff. The programme consists of security management and awareness training for designated officials, security management team

members, both international and national UN staff and in many instances, NGO implementing partners. A greater focus is also given to mission preparedness and stress management training. In spite of committed efforts by UNSECOORD, much remains to be done before OCHA 's field and headquarters staff are adequately trained in staff security and safety. OCHA and UNSECOORD are working together to close these gaps over a three-year period.

Training Checklist

All OCHA staff should be trained in the following areas within their first year of hire.

℘	The UN system and its partners	℘	Time, task and self management
℘	OCHA's mandate and mission	℘	Basic IT tools
℘	Humanitarian coordination models, mechanisms and principles	℘	Teambuilding and communication skills
℘	Natural disaster response tools and mechanisms	℘	Work planning
℘	Safety, security and survival	℘	Client orientation
℘	Information management	℘	The Consolidated Appeals Process

Field-based humanitarian affairs officers should be trained in the following areas.

℘	Writing for the UN and analytical skills building	℘	Finance, administration, financial tracking and cost monitoring
℘	Contingency planning	℘	International humanitarian law and human rights
℘	Early warning and preparedness	℘	Basic humanitarian policy issues
℘	Needs analysis and assessment	℘	Conflict resolution and negotiating skills
℘	Civil/military cooperation	℘	Understanding public information and the media

Post-Crisis Transition

Though OCHA's involvement in an emergency ends when the humanitarian situation shifts from crisis to rehabilitation, part of its mandate includes handing over coordination functions to national authorities and/or UNDP, ensuring the smooth transition from relief to rehabilitation, development and reconstruction and using lessons learned during humanitarian emergencies to improve future response coordination.

Handover

The transition from relief to rehabilitation is rarely clear-cut. In the aftermath of emergencies and natural disasters, there is often a period between the emergency and development phases when lingering, ongoing humanitarian needs must still be met and the long-term benefits of rehabilitation and reconstruction projects are not yet fully realized. Further, conflict rarely ends neatly. Scattered fighting may continue, making rehabilitation viable only in some areas of a country. The lack of a lasting political solution can cause conflicts to resurface, making it premature to dismantle relief capacities. And, for a variety of reasons, some donors may be more willing to fund a particular activity if it is defined as "relief" rather than "rehabilitation."

As a result, the phasing-out of relief coordination efforts must be managed carefully and take into consideration local political, economic and social conditions. While one of the goals of aid operations is to lay the groundwork for rehabilitation and reconciliation, the abrupt termination of assistance would most likely pose a threat to stability.

When post-conflict rehabilitation and reconstruction becomes a realistic option, OCHA works closely with UNDP and other UN organisations responsible for recovery and development assistance and with the World Bank, to hand over most of its activities. In some cases, OCHA may help to prepare and launch inter-agency appeals to cover transitional needs. At this point, the RC resumes responsibility for monitoring future humanitarian needs.

After natural disasters, OCHA seeks to facilitate an early transition from relief to rehabilitation, reconstruction and development by: cooperating closely at an early stage with the organisations responsible for recovery and development assistance; supporting the preparation and launch of UN inter-agency transitional appeals; and facilitating other arrangements to strengthen the capacity of the RC, the DMT and the national authorities.

Lessons Learned Analysis

As part of its focus on preparedness and capacity building, OCHA will also support the transitional phase by fielding experts and consultants to evaluate the impact of the humanitarian response and recommend ways to

improve the capabilities of national authorities, the RC and the country team to plan for and cope with the possibility of new disasters.

OCHA will also identify strengths and weaknesses in its coordination mechanisms and ensure that lessons learned are integrated into future contingency planning and coordination structures. At the request of its agency partners, OCHA may commission independent post-crisis evaluations of an overall response effort.

For example, after the earthquake in Gujarat, India in January 2001, OCHA hired an independent consultant to conduct a lessons learned study analysing its performance in response to the earthquake and to address broader issues about the efficacy of the UN system's disaster-response capacity. Similarly, OCHA commissioned a six-month independent study on global humanitarian coordination and drew on lessons learned from recent field experiences, involving more than 250 interviews with UN agencies or partners, NGOs, the Red Cross Movement, governments, donors and the military.

Programme Follow-Up

OCHA ultimately concludes its mission with a report on its activities and follow-up actions. The USG/ERC also has an obligation to report to donors on the use of their contributions.

Case Study: Search and Rescue in El Salvador

On 13 January 2001 an earthquake measuring 7.6 on the Richter scale shook El Salvador. The shocks were felt in Guatemala, Honduras, Nicaragua, Costa Rica and as far away as Mexico City.

Landslides triggered by the earthquake caused widespread casualties and damage affecting more than one million people: 726 deaths, 4,440 injuries, damage or destruction of more than 200,000 houses. Overall damage was valued at USD 1 billion.

Immediately following the earthquake, national and municipal governments, private companies and civil society organisations in El Salvador assisted with search and rescue and the construction of temporary shelters.

The following day, the government appealed for international assistance, and assistance came in droves: More than 40 national governments donated search and rescue teams, medical personnel, transport, relief supplies and cash. International organisations - from UN agencies to the Red Cross - arrived bearing supplies and funds. It is estimated that more than 800 aid workers and disaster relief experts converged on the scene.

OCHA immediately began coordinating the international relief efforts via the UN resident coordinator and the RDRA in the field and through emergency task forces set up at headquarters, and managed the collection and use of emergency funds on behalf of the donors.

Below is a chronology of how OCHA helped to coordinate international response during the first few critical days of the emergency and during the weeks that followed.

January 13

- The earthquake, measuring 7.6 on the Richter scale, strikes at 11am.
- Within 2 to 3 hours, the duty team alerts all OCHA managers and convenes a multidisciplinary task force to manage coordination from headquarters.
- On the ground, the RC and the DMT begin supporting national relief efforts; OCHA's RDRA in Quito travels to San Salvador to support the RC.
- The USG/ERC puts local and regional UNDAC members on stand-by.

January 14

- El Salvador's president declares a national emergency and appeals for international assistance.
- UN agencies begin providing logistical support, food, medicine and shelter. The national Red Cross dispatches 120 ambulances and first aid services nationwide and opens a 24-hour blood bank.
- National search and rescue teams from nine countries including 130 experts from Mexico, 75 experts and 25 rescue dogs from Spain, 12 medical personnel from Turkey and 90 experts from Venezuela arrive.
- OCHA dispatches a five-member UNDAC team from Guatemala and El Salvador led by OCHA's RDRA.
- OCHA donates USD 30,000 through its Emergency Relief Fund to the government of El Salvador to purchase emergency relief supplies.

January 15

- The RC reports more than 660 aftershocks. Search and rescue teams dig out what is to be the final survivor.
- OCHA begins mobilising more than USD 35 million from donors including Italy, Holland, Denmark, Norway, the United Kingdom, Sweden, Luxembourg and the National UNICEF Committees. The RC allocates and monitors the inflow/outflow of these funds.

January 16

- The focus of humanitarian relief activities shifts from rescue to recovery and assistance.
- The UNDAC team establishes a small-scale OSOCC and assesses the damage in the landslide zone of the hardest-hit town of Santa Tecla.

January 26

- OCHA and WFP organise a relief flight from UNHRD, carrying 36 tons of emergency supplies.
- The UN launches an inter-agency appeal for USD 34.9 million for relief and initial rehabilitation activities targeting 200,000 people for a period of six months from February to July 2001.

Late February

- OCHA begins to handover activities to UNDP and sends a disaster response expert to El Salvador to work on preparedness measures and contingency planning.

May 7

- OCHA holds a lessons learned workshop attended by 19 people involved in the earthquake relief effort to identify the operation's strengths and weaknesses.

OCHA staff member and UNDAC team leader Christian Skoog (far left), with the local head of the Afghan Ministry of Repatriation and Returnees, discussing the hand over of residual relief operations from the UN to the government at the on-site operations coordination centre in Nahrin, following the April 2001 earthquake in Afghanistan.

PART III:

OFFICIALS, ORGANISATIONS, PARTNERS AND STAKEHOLDERS

As part of Resolution 46/182, the USG/ERC is specifically mandated to serve as a "central focal point with governments, intergovernmental and non-governmental organisations concerning UN emergency relief operations, and when appropriate and necessary, mobilising their emergency relief capacities." So in humanitarian emergencies, OCHA staff at headquarters and in the field must cooperate with a wide range of actors including departments of the UN Secretariat, other principal organs of the UN, the funds, programmes and specialised agencies of the UN system, host governments, donors, the Red Cross Movement and NGOs.

In natural disasters, OCHA also works closely with regional organisations such as the Asian Disaster Reduction Centre (ADRC) in Kobe, Japan and the Asian Disaster Preparedness Centre (ADPC) in Bangkok.

In some complex emergencies, it may be necessary to deal not only with the host government but also with opposition groups and other non-state actors in order to gain access to needy people in disputed areas. There may also be a UN peacekeeping mission, special negotiators representing the Secretary-General, regional organisations or stakeholder countries and security officials.

THE UNITED NATIONS SYSTEM

The following are the main actors within the UN system that play important humanitarian roles.

UN Secretary-General (SG)

The Secretary-General is the "chief administrative officer" of the United Nations Secretariat, appointed every five years by the General Assembly on the Security Council's recommendation.

The USG/ERC is appointed by the SG and serves as his/her principle humanitarian adviser, ensuring that he/she is kept up-to-date on key humanitarian developments, such as lack of access for humanitarian aid or threats to civilians.

In the context of humanitarian emergencies, the SG may dispatch special envoys to countries or regions in crisis as part of political or peacekeeping missions. These envoys may also become involved in facilitating the humanitarian effort (see Part II for more detail.)

The SG reports annually to the GA on the work of the Secretariat and its various departments, offices and services.

UN General Assembly (GA)

The General Assembly, composed of representatives of all Member States, is the UN's main decision-making body and the source of OCHA's authority and mandate.

As part of the Secretariat, OCHA is accountable through the SG to Member States and is required to provide them with annual updates on humanitarian assistance. Working primarily through GA Agenda Item 20, entitled "Strengthening the Coordination of Humanitarian and Disaster Relief Assistance of the United Nations Including Special Economic Assistance," OCHA collaborates with its humanitarian partners to ensure that the SG reports to Member States on the UN's humanitarian activities. OCHA drafts country-specific reports on humanitarian activities, supports UNSECOORD in drafting its report on staff security and prepares the SG's report to the Economic and Social Council on emergency humanitarian assistance. Once the GA considers these reports, it may adopt resolutions and ask the SG to follow up on its recommendations. The GA can also reconfirm and modify the mandates of the Secretariat departments and offices.

The GA also assigns and approves OCHA's funding and staffing from the UN regular budget.

Economic and Social Council

The Economic and Social Council, a subsidiary body of the GA, serves as the central forum for discussing and formulating policy recommendations on international economic and social issues.

Resolution 46/182 requires that the SG update Member States annually on humanitarian assistance through ECOSOC. In 1998, ECOSOC began convening the Humanitarian Affairs Segment as part of its annual meeting to discuss issues of humanitarian concern. Each year, OCHA works with the humanitarian agencies, members of the IASC and the field to prepare the Secretary-General's draft report to ECOSOC. As part of the Humanitarian Affairs Segment, OCHA also convenes heads of agencies and HCs to lead panel discussions around humanitarian themes and country-specific issues in the field.

UN Security Council (SC)

The Security Council has primary responsibility under the UN Charter for the maintenance of international peace and security. The Council has 15 members, five of which are permanent and have veto powers (China, France, Russia, the United Kingdom and the United States). The other 10 are elected for two years on a rotating basis.

When a complaint concerning a threat to peace and security arises, the Council's first action is to recommend that the parties try to settle the dispute by peaceful means. When a dispute leads to fighting, one of the Security Council's concerns is to bring the fighting to an end through a cease-fire directive, or by sending UN peacekeeping forces to help reduce tensions while negotiations are taking place.

Briefing the Security Council

In recent years, the Security Council has taken an increasing interest in addressing the humanitarian implications of crises. It is OCHA's role to ensure that the Security Council is well briefed on humanitarian issues so that they may be considered alongside political, peacekeeping and security concerns.

HEB acts as OCHA's liaison with the Security Council. At the beginning of each Security Council presidency (a position that rotates monthly), representatives from HEB meet with the incoming president to highlight the humanitarian issues that may arise in the weeks to follow. In addition, HEB desk officers, in consultation with field staff, work with their counterparts in DPA, DPKO and UNSECOORD to prepare the humanitarian component of formal Security Council reports and to provide the SC with more informal briefings in between.

HEB is then responsible for closing the information loop by feeding information about the tenor and outcome of SC debates back to the field.

UN Secretariat

The UN Secretariat carries out the substantive and administrative work of the United Nations including political and economic analysis, peacekeeping operations, social development and legal affairs.

As an office of the Secretariat, OCHA cooperates closely with DPA, DPKO and UNSECOORD.

Department of Political Affairs (DPA)

DPA's mission is to provide advice and support on all political matters to the Secretary-General relating to the maintenance and restoration of peace and security. Accordingly, DPA monitors, analyses and assesses political developments throughout the world; identifies potential or actual conflicts in which the United Nations can play a useful role; recommends appropriate actions to the Secretary-General in such cases; and executes the approved policy.

HEB and OCHA's Policy Development and Studies Branch (PDSB) are informed by and regularly provide information to their counterparts in DPA.

HEB desk officers regularly meet with their counterparts in DPA to address policy concerns raised by the field and to discuss the country-specific application of policy issues, while OCHA's policy division works with DPA on joint task forces to explore broad policy issues such as the use of military assets in humanitarian response.

Department of Peacekeeping Operations

Peacekeeping is a means of dealing with conflicts between states and increasingly, internal conflicts, by deploying military personnel from a number of countries under UN command, to help control and resolve armed conflict. Under the classic definition, peacekeeping forces are deployed once peace has been achieved. Lately however, peacekeeping forces have been increasingly inserted into active conflicts. DPKO assists and advises the Secretary-General on policies, procedures and recommendations on the establishment of new missions and on the functioning of ongoing ones.

Peacekeeping operations require Security Council authorization, so peacekeepers often arrive on the scene after humanitarian actors. In some cases, however, UN peacekeeping forces may already be on the ground when a new emergency occurs. This was the case during the genocide in Rwanda in 1994 when the Security Council expanded the mandate of the existing peacekeeping operation, the United Nations Assistance Mission for Rwanda (UNAMIR), after a plane carrying the presidents of Rwanda and Burundi was shot down in April that year and a wave of political and ethnic killings ensued.

UN peacekeeping forces can play a critical role in humanitarian assistance by providing major logistics support, protection and security for relief convoys. Though armed escorts may threaten the perceived impartiality, neutrality and independence of humanitarian operations, it is often impossible to operate without such protection.

UN Security Coordinator

UNSECOORD acts on behalf of the Secretary-General to ensure a coherent response by the UN to any emergency situation and is responsible for all policy/procedural matters related to the security of UN operations, personnel in the field and at headquarters. Based on the advice of DOs in the field, UNSECOORD is responsible for formulating security policy and recommendations, responding to emergency situations, coordinating inter-agency safety programmes and making decisions on the relocation/evacuation of staff. UNSECOORD coordinates security measures for 150 duty stations covering more than 70,000 UN staff and dependents. UNSECOORD maintains strong links with UN peacekeeping and observer missions and wherever possible, the UN security management system works closely with non-UN bodies such as the ICRC, international NGOs and diplomatic missions to ensure information sharing and joint planning on security issues.

UNSECOORD's role is of critical importance in crises and conflict scenarios. OCHA works closely with UNSECOORD's field representatives (the designated official, the field security officer and the security management team) to help coordinate and manage security matters. In addition, those outside UN protection, such as NGOs, increasingly rely on OCHA to represent their interests and concerns to UN security officials on the ground.

In the General Assembly's 56th session in 2001, member states endorsed several new initiatives in the area of staff security. For the first time, UNSECOORD will be led by a full time security coordinator at the Assistant-Secretary-General level. The General Assembly also agreed to provide funding for the recruitment of 100 professional FSOs and a total of 18 professional security officers posts were approved for UNSECOORD headquarters. Recognising the need for all organisations participating in the UN security management system to assume collective responsibility for the safety and security of their personnel, agencies agreed to a more streamlined cost sharing formula to fund FSOs in the field.

UN Funds, Programmes and Specialised Agencies[3]

A variety of UN funds and programmes and specialised agencies execute UN relief efforts, including the Food and Agriculture Organization of the United Nations (FAO), UN Development Programme (UNDP), UN High Commissioner for Human Rights (UNHCHR), UN High Commissioner for Refugees (UNHCR), UN Children's Fund (UNICEF), World Food Programme (WFP) and World Health Organisation (WHO). Representatives from these organisations are often present in the country prior to the emergency.

Below is a description of the mandate and role of each.

Food and Agriculture Organization of the United Nations (FAO)

FAO is mandated to raise levels of nutrition and standards of living, increase agricultural productivity and improve the condition of rural populations.

In addition to its development programmes, FAO also plays a major role in dealing with food and agricultural emergencies. In relief operations, it focuses on the provision of agricultural inputs, such as seeds, farming tools and emergency veterinary services. This involves working closely with relevant NGOs, and in some countries with UNICEF. Furthermore, the

[3] These bodies, linked to the UN through special agreements, report to the ECOSOC and or the GA. They have their own budgets and governing bodies, set their own standards and guidelines and provide technical assistance and other forms of practical help in virtually all areas of economic and social endeavour.

organisation operates an early warning system for famine that assesses shortfalls in food production. It also conducts joint assessments with WFP in countries of concern to assess food security and food assistance needs.

United Nations Development Programme (UNDP)

UNDP plays an important role in humanitarian emergencies in the context of its broader goal of promoting sustainable social and economic development, by eradicating poverty and empowering the world's poor.

UNDP is present before, during and after the outbreak of a crisis and facilitates the transition from relief to development by emphasizing capacity-building and long-term recovery. In particular, UNDP's Bureau for Crisis Prevention and Recovery (BCPR – formerly the Emergency Response Division) helps country offices support the transition between the relief and recovery phase in the areas of conflict, security, recovery and disaster reduction. Within the Bureau, UNDP has also established a network of transitional recovery teams to help strengthen country office capacities, support strategic and operational coordination, enhance advocacy and public information programmes and establish and implement resource mobilisation strategies.

UNDP also manages the UN's resident coordinator system, which provides the overall framework for the coordination of operational activities.

UNDP is a pivotal partner for OCHA in the area of disaster response preparedness. Because preparedness falls under both mandates, UNDP and OCHA support each other's work in this area as a joint venture.

> " [OCHA field staff] should always seek to be inclusive. One way to go about this is to break coordination up by sector and get UN agencies to agree on who's in charge. For example, UNHCR takes the lead on shelter, while UNICEF is responsible for coordinating education, under the coordinating umbrella of the R/HC. The point is to reinforce the idea that a collective effort will ultimately help more people in need."
>
> *- OCHA humanitarian affairs officer, the Russian Federation*

United Nations High Commissioner for Human Rights (UNHCHR)

UNHCHR is mandated by the GA to promote and protect the enjoyment of civil, cultural, economic, political and social rights, as well as to coordinate activities throughout the UN system in promoting and protecting human rights. UNHCHR operates with the support of the Office of the High Commissioner for Human Rights (OHCHR).

OHCHR plays an important role in all activities of the UN system including peace and security, economic and social development, humanitarian affairs and international law. OHCHR engages in active collaboration, both at field and headquarters level, with governments, all UN agencies and programmes as well as with non-governmental organisations. OHCHR also supports the work of the UN's human rights treaty bodies, the Commission on Human Rights and its special mechanisms.

United Nations High Commissioner for Refugees (UNHCR)

UNHCR, the United Nations refugee organisation, is mandated to lead and coordinate international action for the worldwide assistance and protection of refugees, or people who have fled their country due to a well-founded fear of persecution. UNHCR is also authorized to become involved in the protection of other groups, such as people who are stateless and whose nationality is under dispute and, in certain circumstances, IDPs.

The role of UNHCR in emergency operations is primarily to protect refugees. UNHCR assists and complements the work of the government by acting as a channel for assistance from the international community, and by coordinating the implementation of assistance. UNHCR is responsible for ensuring that the protection and immediate material needs of the refugees are met.

United Nations Children's Fund (UNICEF)

UNICEF is mandated to advocate and work for the protection of children's rights, to help the young meet their basic needs and to expand their opportunities to reach their full potential.

UNICEF integrates approaches to emergency interventions and policies throughout all its divisions, but focuses on coordination within the Office of Emergency Programmes (EMOPS). EMOPS is the focal point for emergency assistance, humanitarian policies, staff security and support to UNICEF offices in the field, as well as strategic coordination with external humanitarian partners both within and outside the UN system, including OCHA. In emergencies, UNICEF also often takes the operational lead in coordinating a number of key sectors including water and sanitation, education and nutrition.

In addition, UNICEF operates a New York-based emergency operations centre that provides 24-hour emergency communications used by UN agencies when there are concerns for staff security in the field.

World Food Programme (WFP)

WFP provides food to sustain victims of emergencies and disasters, to improve the nutrition of the most vulnerable people and to promote the self-reliance of poor people and communities.

WFP's dual relief and development mandate allows it to play a key role in the continuum from emergency relief to rehabilitation and development, where priority is given to disaster prevention, preparedness and mitigation, as well as post-conflict rehabilitation activities.

In humanitarian emergencies, WFP plays an important role in establishing and managing the logistical framework for humanitarian operations including the coordination of food aid and logistics, through the collection and dissemination of information on global food aid deliveries and requirements. WFP also has a high level of expertise in the area of emergency telecommunications, in particular "deep-field" connectivity, and may in certain situations, be in a position to address the telecommunications needs of other UN agencies in-country.

WFP has established a team called Augmented Logistics Intervention Team for Emergencies (ALITE) within its logistics service that is responsible for improving logistics, preparedness and response capabilities. Its goal is to provide a range of emergency services to support WFP field operations through resource availability, stand-by capacities, dissemination and training.

World Health Organisation (WHO)

In collaboration with and for use by its partners at the global level, WHO develops, consolidates, publishes and disseminates best practices, strategies, and guiding principles for emergency health management. WHO is responsible for supporting the ministries of health within governments on all health-related matters.

With offices in more than 200 countries, WHO is often in place before an emergency arises and will stay past the crisis phase. This long-term presence means WHO is well placed to respond to the heath aspects of emergencies, where it routinely works to improve country capacities for disaster mitigation, preparedness and response to limit the negative impact of disasters on health and health systems.

During emergencies, WHO takes the lead in rapid health assessments and surveillance, epidemic preparedness and control of tuberculosis and HIV/AIDS, water and sanitation, drug management, provision of medical supplies and reproductive and mental health.

NON-GOVERNMENTAL ORGANISATIONS (NGOs)

In most emergency situations, OCHA will liaise closely with both international and local NGOs in the field.

International NGOs are private, non-profit organisations that operate in more than one country. Most are headquartered in western countries, although an increasing number are based in developing countries. Some NGOs only provide humanitarian relief (for example, Médecins Sans Frontières – MSF), while others manage development-oriented programmes but become involved in humanitarian relief operations when a crisis occurs (for example, Care International, Oxfam, and Save the Children Fund). The humanitarian relief component of major international NGOs is in part funded by private sources, and donor governments may channel large amounts of humanitarian assistance through them.

Some international NGOs also receive funding through UN agencies and function as their implementing partners. NGO participation in the CAP is crucial because it allows collaborative programming within the broad humanitarian community.

Local NGOs operate only in their country of origin, and may have a wide range of programmes, often with a development perspective. These organisations may act as implementing partners with international NGOs, and may be funded and supported by them. OCHA often plays a key role in collaborating with non-UN partners in an emergency by coaching and mentoring national NGOs.

NGOs may decide to organize themselves into NGO coordination bodies to streamline their activities and operate more efficiently. NGO umbrella organisations such as the International Council of Voluntary Agencies (ICVA), an association of European NGOs, and InterAction, a group of North American NGOs lead these efforts. OCHA integrates the activities of these coordinating bodies into its own coordination effort. In recognition of the significant contribution that NGOs bring to humanitarian assistance activities and in view of their crucial role in the humanitarian community, these NGO umbrella organisations have a standing invitation to take part in the work of the IASC.

INTERNATIONAL ORGANISATIONS (IOs)

International organisations exist outside the UN system and have executive boards composed of national governments. One such IO is the International Organisation for Migration (IOM), which assists with the resettlement and repatriation of refugees and migrants.

Another humanitarian IO is the European Community Humanitarian Office (ECHO). It administers humanitarian aid to victims of both human-made and natural emergencies on behalf of the European Union (the largest donor of humanitarian aid in the world) to non-European Union countries. In carrying out this task, ECHO works in collaboration with more than 170 organisations worldwide – including OCHA, UNHCR, UNICEF, WFP, the Red Cross Movement and NGOs dedicated to humanitarian causes.

THE RED CROSS AND RED CRESCENT MOVEMENTS

The International Committee of the Red Cross (ICRC), based in Switzerland, is the founding institution of the International Red Cross and Red Crescent Movements, which include the National Red Cross and Red Crescent Societies (National Societies), and the International Federation of Red Cross and Red Crescent Societies (IFRC). All three organisations have distinct tasks:

International Committee of the Red Cross

The International Committee of the Red Cross is an impartial, neutral and independent organisation whose exclusively humanitarian mission is to protect the lives and dignity of victims of war and internal violence and to provide them with assistance. It directs and coordinates the international relief activities conducted by the Red Cross Movement in situations of conflict. It also endeavours to prevent suffering by promoting and strengthening humanitarian law and universal humanitarian principles.

ICRC's mandate enables it to take up issues with states and parties to conflict by opening delegations and dispatching delegates. The dialogue that the ICRC maintains with authorities exercising control over war victims in no way affects the status of those authorities and cannot be interpreted as a form of recognition.

Through the many tasks assigned to it by the Geneva Conventions and the Additional Protocols, ICRC maintains an international stature and unique legal status. Based on agreements with more than 50 states, ICRC is recognized as an international legal entity and granted the privileges and immunities normally enjoyed by intergovernmental organisations. These include immunity from legal process, which protects ICRC from administrative and judicial proceedings, and the inviolability of its premises, archives and other documents. ICRC delegates enjoy a status similar to that of officials of intergovernmental organisations.

Such privileges and immunities are indispensable for the organisation because they guarantee two conditions essential to its action, namely neutrality and independence. Being non-governmental by nature and membership, it stands apart from both the United Nations system and other NGOs.

In the field, ICRC is a special partner to OCHA. OCHA offices maintain close professional relations with the ICRC delegations in the field. Although ICRC is not a formal participant in NGO/UN meetings, they normally attend as observers and provide information on their activities. In some situations, ICRC delegations can act as conduits for information because of their regular bilateral meetings with the parties to the conflict.

National Red Cross and Red Crescent Societies

The national societies of the Red Cross operate in more than 160 countries around the world (using the Red Crescent symbol in Islamic countries). Acting as auxiliaries to the public authorities in their own countries and in support of ICRC activities, they provide a range of services from disaster relief, health and social assistance to first aid courses and are often a valuable resource to OCHA field staff. During wartime, national societies may support the army medical services.

International Federation of Red Cross and Red Crescent Societies

IFRC supports the actions of the various national societies. It assists with coordination of international assistance to victims of natural disasters, and to victims of man-made disasters outside of conflict areas. IFRC has established the Federation Assessment and Coordination Team (FACT) for rapid deployment to assess and assist in coordination of their activities.

AFFECTED GOVERNMENTS AND LOCAL AUTHORITIES

In most emergencies, the main UN counterpart in-country is the government of the affected country. In most countries, OCHA works with a ministry tasked with the coordination of government humanitarian assistance and relations with international aid agencies plus the ministries governing foreign affairs, the interior (including police and security forces, and sometimes the military) and defence. Other UN agencies will work closely with the ministries that deal with their own sector.

At the field level, it is not unusual for local authorities, such as regional governors or local military commanders, to have considerable authority and some degree of independence from the capital. It is important that OCHA field staff ensure that such authorities are informed about the objectives, principles and implementation of humanitarian assistance, both of the UN and the international community as a whole.

In cases where no government exists or where the government or its leader is no longer credible and there is a deliberate policy to undermine or circumvent it, OCHA may need to work with non-state actors or coordinate assistance outside government-controlled areas, such as those held by opposition or militia groups.

OCHA field staff working in such areas must ensure that they remain briefed by the HC and relevant senior staff on the political sensitivities of the particular situation. Dealing appropriately with the political realities on the ground may not be so easy in practice, however. Rebel movements often put UN humanitarian agencies under pressure to "recognise" them. Their aim is to gain international legitimacy through humanitarian negotiations with a part of the UN. They put pressure on OCHA because they can't get this kind of recognition from the political sections of the UN. OCHA staff need to be aware of the fact that rebel movements will try to use humanitarian negotiations to achieve broader political aims.

> "Impartiality and neutrality are not straightforward concepts in practice. Aid agencies or workers may consider themselves neutral because they have no vested interest in the conflict. But if they are engaged in providing aid to a population in a besieged city, the perpetrator of the siege is going to perceive them as being anything but neutral. These types of issues are sometimes overlooked by operational agencies and so OCHA can add value by providing information and promoting discussion and reflection on these issues."
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> *-- OCHA senior negotiator, Angola*

CIVIL SOCIETY

During humanitarian emergencies, domestic civil society represents one of the most critical sources of humanitarian assistance and civilian protection.

In this context, civil society refers not only to local non-governmental organisations and human rights groups, but also to religious congregations, charities, universities, trade unions, legal associations, independent activists and human rights defenders, families, clans and others.

Throughout a crisis, but particularly in its initial stages, it is the local population and government that cope and provide the bulk of the assistance. Only after they have exhausted their own resources does substantial international response begin. An ongoing dialogue with the affected population is therefore crucial for a number of reasons:

- To help with forward planning and early warning of major changes in future humanitarian needs. (Such as new flows of displaced persons). The affected population is usually the most well-informed and astute about the impact of military and political factors;
- To best plan and implement ongoing assistance. The affected population is well placed to be involved in all aspects of humanitarian assistance including identifying needs, and distributing and using the aid provided. Local emergency personnel who cope with crises in the early stages are often absorbed by the UN and NGOs as national staff;
- To ensure that the affected population maintains a sense of empowerment and control. This avoids forcing them into a state of dependency. A process of information-sharing from the grass roots level up is therefore important.

It is also important to sample views from a cross-section of the community and to be aware of the agendas and perspectives at work.

Often, those claiming leadership may be self-appointed or designated by a particular group, and may have a heavily political or personal agenda. Even more seriously, as in Eastern Zaire and Rwanda in 1994, mass murderers or other criminals may hide among the affected population in refugee and IDP camps.

International relief workers often get a high percentage of their information from local staff. However, such staff tend to be young, educated and able to speak the expatriate language, and thus not necessarily representative of the wider population. These limitations can be balanced to some extent by consulting with traditional leaders.

In many ways, women and teenage girls in conflict zones are most affected by conflict, through rape and torture and because they are often the sole providers and protectors for their families once their husbands, brothers, sons and fathers are exiled, killed or sent away to fight. In order to better address the needs of women in war, the UN and other humanitarian and development actors aim to reach out to local women's organisations that support peace and reconciliation, consult local women's NGOs during the strategy-setting process and consider them as implementing partners for UN projects listed in the CAP. In support of this, the IASC Sub-Working Group on Gender developed an electronic resource package to help staff integrate gender issues into their consolidated appeals. The package is available in the Humanitarian Library section on ReliefWeb (**www.reliefweb.int**).

Case Study: Working With Civil Society in the DRC

At the heart of the tension in the Ituri province in north-eastern DRC is a conflict between the Lendu and Hema eth-

nic groups. Though these two communities lived together in relative peace for generations, recent disputes over land and power have escalated into violence.

The conflict began in June 1999, triggered by unscrupulous individuals from both communities who took advantage of the local political vacuum to appropriate resource-rich land and manipulate tensions in the surrounding communities in order to maintain control.

The fighting that ensued caused 10,000 deaths and displaced more than 140,000 people. Many villages were razed, crops rotted and the area became ravaged by various epidemics including measles, the plague and cholera. OCHA -- together with Agoair, Agroaction, ICRC, MSF Holland and OXFAM — quickly mobilised to respond.

By December, however, both populations distrusted the humanitarian community and accused aid organisations of choosing sides. In January, the Hema community blamed MSF Holland for only treating the Lendu. This led to an attack on an MSF team at a roadblock and ultimately MSF pulled out.

To convince both groups of the humanitarian community's neutrality, an OCHA negotiator met with leaders from both communities and toured the areas affected by the violence. "We were able to demonstrate that there was equal need and equal treatment," said the OCHA senior humanitarian adviser on the ground at the time. "We gave them a reason to go back to their communities and explain why we were there helping both sides." OCHA then organized several humanitarian liaison committees made up of local Hema and Lendu community leaders and asked them to guide the international community response. This served to re-empower local leaders and restore their position within their communities.

By focusing its response on inter-community collaboration, OCHA and other international humanitarian actors were able to contribute to periodic reductions in the violence. The establishment of these local-level committees, on which members from the main ethnic groups were represented, allowed for the immediate clarification of misunderstandings that were frequently fabricated or exacerbated by individuals.

DONORS

Donor involvement in humanitarian programming during all phases of disasters and emergencies is critical to the timely mobilisation of funds and the coordination of any crises response.

At headquarters, this involves:

- Improving the analysis, quality and timing of the CAP;
- Conducting regular meetings and briefings with donors on OCHA's activities and priorities;
- Publishing an annual planning and fundraising appeal document;
- Tracking the funding of relief activities and promoting those that are under funded; and
- Systematically visiting donor capitals to promote OCHA's funding needs and to identify new funding sources.

In a natural disaster, donor response, whether financial or in-kind, is largely bilateral between the affected country and the donor government. OCHA helps this process by including information on the estimated need and level of response in its daily situation reports and may, at times, act as a donor channel.

Donor response in complex emergencies often involves a host of agencies. In addition to working through the CAP, OCHA consults on a regular basis with both core and less traditional donors to advocate for under-funded crises and attract a more generous and balanced response.

To achieve its funding goals, OCHA takes a joint headquarters/field approach to donors, interacting with donors through a number of formal and informal channels and working groups designed to keep donors informed of its activities and to highlight priorities and shortfalls in funding.

At the headquarters level, OCHA works within two mechanisms, The Humanitarian Liaison Working Group (HLWG) and the Working Group on OCHA, to draw attention to its own financial needs as well as the funding requirements of the CAP. Operating from both New York and Geneva, the HLWG is composed of 25 Member States plus the European Union with an annual rotating chair. The HLWG meets regularly to discuss humanitarian issues and invites frequent input from HCs to review particular crises. OCHA shares funding and other responses to the CAP with the members of the HLWG on a monthly basis and engages in regular bilateral, informal consultations with HLWG members to encourage response and draw donors' attention to needs that may fall within their own strategic objectives.

The Working Group on OCHA is a group of seven major contributors to OCHA's extra-budgetary funds. The group meets twice a year at the capital level and more frequently in Geneva at an ambassadorial or technical level. While the main focus of the group is the functioning and capacity of OCHA, it is often used as a smaller forum to discuss humanitarian issues of general concern.

In the field, donor governments to international relief efforts typically have embassy representation in-country or in the region. Though funding decisions are generally made at the capital level, local embassies often have the ability to influence their capital on funding priorities. Most of the larger donors have specialists within their embassies that focus on relief efforts and with whom OCHA field staff generally work. Below are some guidelines on how field staff might approach donor embassies in countries of operation:

- Promote the appeal or country programme with donor embassies. Cover the broad range of the country team's activities and highlight the role and costs of the OCHA field office, using the numbers generated in OCHA's annual funding document;
- Promote only approved office and project budgets. Promoting funding for non-approved projects causes problems with donors and depletes funding for approved programmes;
- Exercise caution when drawing on local donor embassy discretionary funds. If such funds are available, promote them for an approved office activity and contact RCB in Geneva for advice on how to proceed. Keep in mind that OCHA is part of the UN Secretariat whose financial regulations are stricter than those of the agencies;
- Develop local donor promotion techniques. Develop information-sharing mechanisms such as frequent information bulletins, regular briefings of donor embassies and field visits. Such initiatives will generate good will in donor capitals;
- Communicate with donors transparently and honestly. Recognise problems and be open to donors on the constraints of the UN system. Local donor embassies will better understand these problems and can communicate them to their capital; and
- Maintain close contact with RCB. Feed information gleaned from donor briefings and field visits to RCB, which can follow up and potentially translate these efforts into contributions.

In emergencies, donors try to achieve a level of coordination in their funding regimes. In certain situations, these may include the formation of ad hoc donor coordination bodies. Usually, these bodies are created at the height of an emergency when donors need to collaborate quickly to get access to reliable information and the coordinating bodies may be sustained through the rehabilitation and reconstruction phase.

OCHA staff member Rosa Malango in Angola coordinating the launch of the national disarmament, demobilization and reintegration programme in 1997 in cooperation with UNITA representatives.

PART IV:

BEYOND THE HANDBOOK

HARD CHOICES

The OCHA Orientation Handbook attempts to provide a general overview of what is required for OCHA staff to be effective. However, each field location is unique, with its own set of opportunities and constraints. When confronted with a problem or crisis in the field, OCHA staff must rely on their own judgement to resolve particular situations – sometimes without having time to consult others for policy advice or guidance.

It is therefor important to continue the orientation process after arrival at your duty station. To that end, it may be useful to review the table of contents of this handbook with more senior colleagues to identify and discuss those issues that are most relevant to your particular location.

To stimulate thinking on practical applications of the material presented in this handbook, here are some examples of the kinds of real-life situations that new field staff might consider and discuss with more senior colleagues:

- You head the OCHA office in the capital of country X and are negotiating access to a secessionist zone. The government has given you the go-ahead to visit the zone and you are about to have your first meeting with the secessionist zone's leader. The day before you travel, an embassy with good intelligence tells you that your mission has been targeted and that going to the secessionist zone "could be bad for your health." *What do you do*?
- The local "secret service" arrests your radio operator. You know where he is being held. *What do you do?*
- UN peacekeepers are starting to distribute aid to populations in areas they patrol because they "look hungry and ask us to help." Aid agencies have just carried out extensive assessments in the same areas that showed no signs of food insecurity. The peacekeepers acknowledge that they have no humanitarian mandate but believe that their mission would be in peril if they do not continue with their distributions. *As the OCHA field adviser, how do you address the situation?*
- A rebel group tells you that an aid worker is in fact a spy from a prominent country. *What do you do?*
- The SRSG has asked the humanitarian coordinator to "get agencies to provide aid in zone X" because it will help the peace process. You are the field representative in zone X and know that there are no humanitarian needs in zone X; in fact there are no civilians living there. *What is your recommendation to the humanitarian coordinator?*

- You are accompanying a NGO to a village on the frontline and you reach a checkpoint. Very young soldiers point their AK-47s at you and demand 500kg of wheat (500kg are half a ton, or put another way, "only ten bags.") *What should you do?*
- You work in a rebel-held area as the OCHA representative. You have spent months convincing a rebel group that aid is provided for humane reasons, based on need. Aid agencies, you have asserted, are not involved in politics. They are interested only in getting emergency relief to civilians in need. An aircraft arrives with supplies for an aid agency. One of the boxes breaks open while being unloaded and bedding for the aid agency's staff spills out. The sheets and pillowcases have images of the country's president (who is the rebel group's arch-enemy) on them. The rebel leader happens to be at the airport and one of his cohorts sees the bedding and confiscates it. The rebel group calls you (because you are the "coordinator") to explain the situation. *What do you do?*
- The government in the country where you work agrees to your request for access to a "grey area near the frontline" but insists on providing an armed convoy. *What do you do?*
- Bullet-proof vests, similar to the ones worn by the government's opponent, arrive in a WFP truck convoy. The drivers tell you that they are for you. You know nothing about this. In your office, the local police chief, who is visiting you on a different matter, sees them and recognizes them as "enemy equipment." *What do you say?*
- You are the OCHA representative in a town where malnutrition is extremely serious: 20 percent of the children under five years old are below 70 percent of the average weight for their height. Six NGOs are distributing food to 200,000 civilians and three other NGOs are running feeding centres for children. An international NGO involved in food distribution tells you that "local thugs" visited 38 households the night after a food distribution and "taxed" the food. The head of one household refused to pay the "tax" and was shot dead. The NGO wants your advice on what to do. It is especially urgent, because more food is supposed to be distributed today. *What possible courses of action could you recommend that agency or agencies take?*
- The HC at your duty station is also the UNDP Resident Representative. This individual believes that OCHA is merely a "technical arm" of UNDP rather than a separate coordinating body, and effectively excludes OCHA from various inter-agency meetings in-country. *How do you go about clarifying OCHA's role, and building trust and respect for OCHA?*
- You are on an inter-agency assessment mission to the interior of the country, travelling in a convoy of UN vehicles in an area that it is normally considered to be safe. The convoy is caught in an ambush by an armed militia. You are unhurt, but your driver is seriously injured, as are several UN agency staff. When you reach the nearest town, journalists ask you to comment on what happened. You are the most senior OCHA staff member there. *What do you say?*

FREQUENTLY ASKED QUESTIONS; ADMINISTRATIVE AND FINANCIAL

Below is a list of frequently asked questions posed by OCHA staff members in the field. A more detailed and definitive description of administrative and financial policies and procedures can be found in the UN Human Resources Manual (**www.un.org/hr_handbook**; username: handbook; password: handbook) or on the Field Guidelines CD-ROM.

While these resources cannot answer all of your questions you can refer more specific administrative and financial questions to your desk officer.

In particular, on 1 May 2002 a new staff selection system for the UN Secretariat was launched. It is designed to streamline recruitment procedures, give managers more flexibility and accountability in hiring and improve the mobility and career development of staff. OCHA is now exploring the application of the new system to its staff, as part of its efforts to increase mobility and career development opportunities at headquarters and in the field. For further information on the new system, please consult ST/AI/2002/4 and/or your Desk Officer.

Whom do I talk to about administrative matters?

Field staff's first point of contact should be the RCB desk officer in Geneva assigned to the country or region. Should there be a problem, desk officers will consult with OCHA's Administrative Office in Geneva.

Questions about contract issues should be directed to Human Resources Management Services (HRMS) at the United Nations Office at Geneva (UNOG), which can help field staff interpret staff rules based on their particular situation.

Who issues my contract?

Contracts are issued on behalf of OCHA by HRMS at UNOG.

How is my grade determined?

OCHA provides the HRMS at UNOG with your personal history form (P11), the terms of reference (TOR) or job responsibilities required of the post, and a recommendation for the grading. HRMS independently reviews your qualifications against the TOR and against the grade and salary standards set forth by the UN Common System of Salaries, Allowances and Benefits based on similar positions throughout the world, and then extends an offer to you. The grade of the post that you apply for does not necessarily mean that you will be given the same grade.

For more information on grade determination, consult the recruitment pages on the Web site of the United Nations Educational Scientific and Cultural Organisation (UNESCO) (**www.unesco.org/per/**). For information on the accompanying salary scales, please consult the UN Human Resources Manual or the OCHA Field Guidelines CD-ROM.

What are the different types of contracts?

Once you have accepted your offer of appointment you will be given a contract. New field staff are generally given short-term contracts under the 200 Series of the Staff Rules and Regulations. However, to rapidly deploy staff in the event of a sudden onset crisis, staff may be given 300 Series Appointment of Limited Duration (ALD) contracts. Staff members are eligible for intermediate-term contracts after one year of service, and long-term contracts after five years of service. Different benefits and entitlements apply to each type of contract. For more information about these benefits, please consult the Staff Rules and Regulations section of the UN Human Resources Manual, available online or on the OCHA Field Guidelines CD-ROM.

Why didn't I get a longer contract?

OCHA field expenses are extra-budgetary, therefore your contract will cover the maximum length possible under the funds allocated. If you are recruited in the second half of the year, the contract will normally only be issued through 31 December. Your contract may be renewed into the next year as funds become available.

Who pays my salary in the field?

Salaries are paid through the UNOG to the bank account you select. Your pay stubs are then forwarded through the pouch system to you at your duty station.

Can I split the payment of my salary?

You can split the payment of your salary so that a portion is paid into a bank account away from your duty station. The form is available on request.

How can I tell what I have been paid?

Unfortunately, the pay stubs provided often do not clearly indicate what payment has been made. Should you have problems with your pay stub, contact your desk officer in Geneva and they will seek clarification from the payroll unit.

I am a US citizen. What about my IRS return?

Once a year the payroll unit prepares a statement of payments made to each staff member. On the basis of this statement, the staff member prepares his/her own IRS return. Upon arrival at their duty station, US citizens should obtain the necessary authorization from the HRMS in Geneva and then contact the local American authorities at their duty station (for example, the embassy) to sign a tax waiver. A copy of this waiver should be sent back to HRMS. US citizens who do not sign the waiver will be liable for all US taxes. Detailed information on the procedure is available from the payroll unit.

How do I get to my duty station?

When you join OCHA, you will be given a letter of offer at your place of recruitment. This you will sign and return to Geneva. Once you have a signed offer, UNOG will issue a travel authorization, and a travel agent near your place of recruitment will contact you to provide you with a ticket to Geneva for your briefing, or directly to your duty station. A letter of appointment (LOA) will be ready for your signature either in Geneva or at your duty station. Do NOT travel without a letter of appointment.

What about my belongings?

The amount of luggage allowed depends upon the length and status of your contract. Staff under short-term contracts are entitled to a maximum of 100 kilograms (kg) of baggage. If you have a one-year contract, you are entitled to take with you up to 10 kg of belongings as excess baggage and up to 1,000 kg unaccompanied baggage shipped by surface. Another 500 kg is allowed for your first additional family member and 300 kg is provided for all other family members. This allowance is halved should you wish to have your belongings sent by air. With prior approval, staff may ship all of their belongings by air if their duty station is located in a land-locked country or in a location where there are proven delays in surface transport.

What allowances does the UN give?

The type of allowance paid by the UN depends upon your marital status and the length of your contract.

Short-term contract

If you have a short-term (200 series) contract, you will be paid a daily subsistence allowance (DSA) applicable to your duty station, which is deter-

mined by the UN and is subject to change without prior notice. This is paid locally.

For the first 60 days you will receive DSA at the full rate, after 60 days you will receive 75% of the DSA. After 120 days the amount is reduced to 60% of the DSA rate, which continues until your contract is changed to intermediate-term.

If you are posted to a hazardous duty station, you will receive a hazardous duty allowance (HDA) for every day that you spend there.

Your salary on a short-term (200 series) contract will be paid at the single rate, even if you are married. This will change when your contract is converted to an intermediate contract.

Intermediate-term contract

With an immediate-term contract, you are entitled to a salary at the dependents' rate if you are married and your spouse earns less than the gross salary of the lowest entry-level position of UN general services staff in place that year (see Staff Rule 203.7(b)(i) in the human resources manual for more detail) and/or if you have children.

Instead of a DSA, you are eligible for a post adjustment at the rate applicable at your duty station. In addition, you will receive an assignment grant that is equivalent to one month's salary including post adjustment, and one month's DSA at your duty station. You are also entitled to half of one month's DSA for each additional family member.

If you are posted to a hazardous duty station, you continue to receive HDA.

You may be eligible for home leave, family visit and education allowances.

What is home leave?

The UN will pay for you and the dependent members of your family to travel round-trip to the designated place of home leave (typically the country of your nationality), depending upon your contractual status and duty station.

You are entitled to one home leave for every two years of service. At a hazardous duty station, you are entitled to home leave every year. You must spend a minimum of one week in the home leave location and your contract must be valid for six months after your return.

If your duty station is in one country and your family is another, you are entitled to take them on home leave as well.

You should request advance approval for home leave through your desk officer. The desk officer will forward your request to UNOG to determine eligibility. If granted, UNOG will issue you a travel authorization.

What is a family visit?

Depending upon your contractual status and your duty station, the UN will pay for your return to your place of recruitment or home country to visit your immediate family (spouse and/or children) if they are not at your duty station. Alternatively you may request that your spouse visit you at your duty station. This rule does not apply to staff in hazardous duty stations.

Normally, you are entitled to one family visit for every two years of service. At a hazardous duty station you are entitled to one family visit every year. To be eligible, you should not have been on home leave during the previous nine months and your contract must be valid for six months after your visit.

You should request advance approval for a family visit through your desk officer. The desk officer will forward your request to UNOG to determine eligibility. If granted, UNOG will issue you a travel authorization.

What is an education allowance?

Under certain circumstances the UN will meet a proportion of the costs you incur towards the education of your children.

However, this is a complex area. You should complete the appropriate form and forward it to your desk officer at OCHA Geneva who will then forward it to UNOG for processing.

How do I arrange for official travel?

When travelling on official UN business to your duty station, on home leave or on a family visit, you will be issued a travel authorization (TA). You should not travel without a TA (or a copy), or at the least without written authorization quoting a TA number. It is in the interest of your safety that you have a TA with you.

For international travel, a TA is issued in Geneva and a copy transmitted to your duty station. The original is normally sent via the pouch and this should be returned with your travel claim.

After your travel you should always submit a travel claim (Form F10), to be reimbursed for terminal allowances and airport taxes. Terminal allowances cover costs relating to travel to and from the airport and to your destination. This is a lump sum payment.

Since the reimbursement process can take up to three months, we advise that you return the completed F10 and original TA (if you have it) forms to OCHA's Administration Office in Geneva as soon as possible after your travel for it to be forwarded for certification and processing by UNOG. You must submit these claims within 90 days of your travel to be reimbursed.

Do not forget to enter your bank details on the F10 form.

For travel inside the country of your duty station, a travel authorization will be issued and settled by the local UNDP office. The DSA and HDA payments will be adjusted depending upon your contractual status and duty station.

What is occasional recuperation break (ORB)?

It is an existing policy for UN staff members serving in duty stations under conditions of severe stress, danger, hardship and/or isolation to take some time-off away from their duty station. There are currently 15 duty stations eligible for ORB: Angola, Burundi, Democratic People's Republic of North Korea, Democratic Republic of Congo, East Timor, Gaza, Georgia, Guinea, Liberia, Northern Iraq, the Russian Federation, Sierra Leone, Somalia, Sudan and Tajikistan. Duty stations may be added to this list as requested on a case-by-case basis. Duty stations within the list are reviewed periodically to assess whether the conditions of service remain the same.

Internationally-recruited staff serving in one of the above duty stations who work for three continuous months without interruption are entitled to five days of ORB plus a maximum of two days for travel. Staff members can elect to go anywhere. ORB cannot be accumulated or carried forward from one 3-month block to the next and it must be taken shortly after it has been earned.

A task force comprising representatives of the operational agencies and the UN Secretariat is currently reviewing the divergent policies on rest and recuperation, with a view to agreeing on one common policy for all. Until such an agreement is reached, be aware that the entitlements you have regarding rest (or breaks) are the entitlements that all UN Secretariat staff have. Other operational agencies may have slightly different entitlements for their staff.

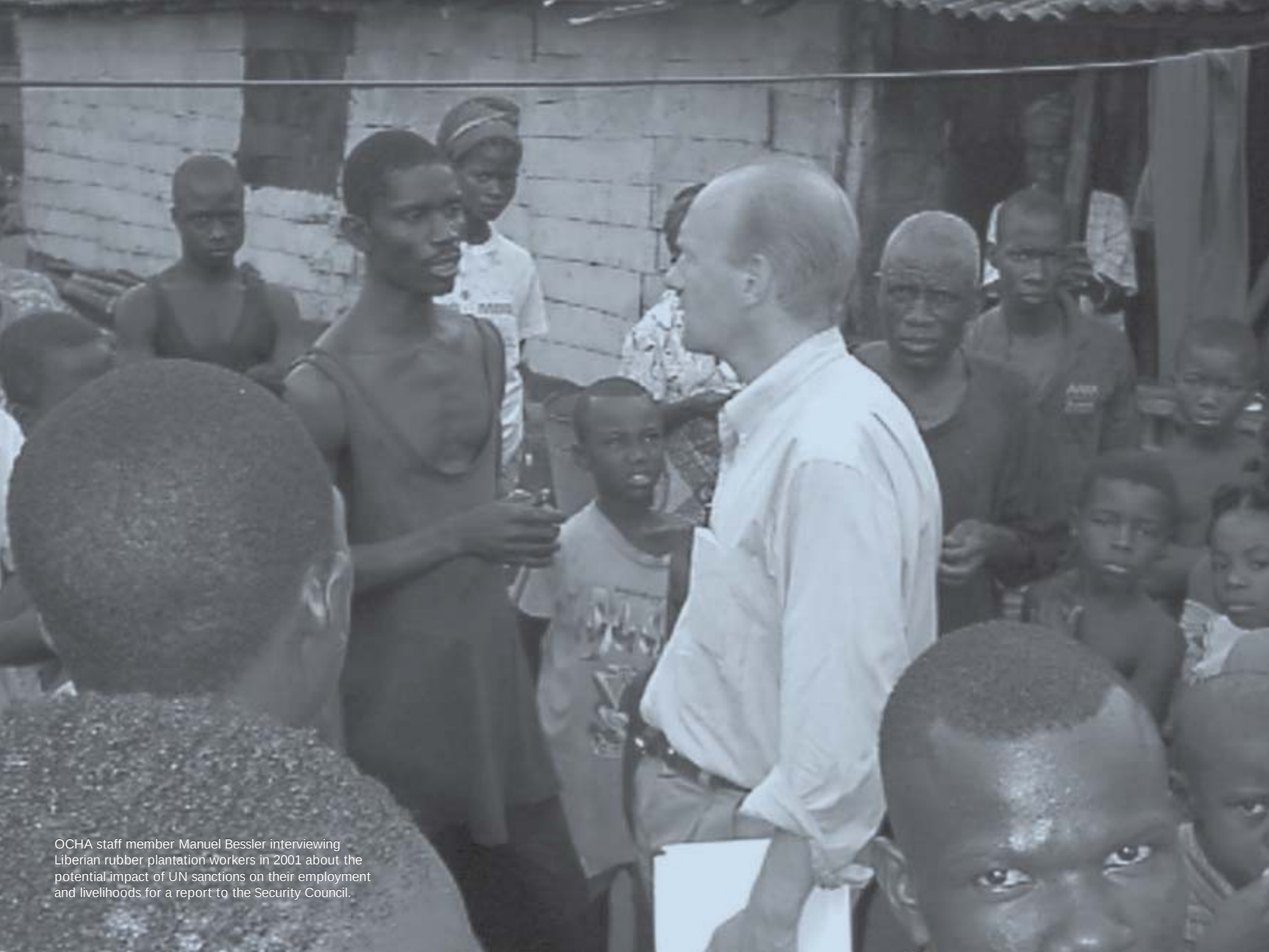
However, OCHA in 1 January 2002 launched an enhanced ORB pilot project that entitles OCHA staff in hardship duty stations where ORB is currently authorized to a round trip ticket to an approved ORB location. For more details, please contact your Desk Officer.

Field Guidelines CD-ROM: Administrative Toolkit

Field staff can also find an administrative field toolkit on the Field Guidelines CD-ROM containing useful information and forms on a range of administrative, financial and personnel matters including:

- Annual/sick leave requests
- Benefits
- Budgets
- Consolidated Appeals Process
- Consultants & contractors
- Correspondence templates
- Education allowances forms
- Expense forms
- Functional Directory: Geneva and New York
- Insurance at duty stations
- Lump sum travel allowances forms
- Mission application forms
- Performance appraisal system (PAS) forms
- Personal history (P11) forms
- Salary distribution requests
- Senior Management Team bios
- Staff rules & regulations
- Telephone Directories: Geneva and New York
- Travel authorization forms
- UNDAC Field Manual

Field staff may request updated CD-ROMs from OCHA's Information Management/Dissemination Unit via e-mail at **ochany@un.org** or by phone at +1 212.917.4029.



OCHA staff member Manuel Bessler interviewing Liberian rubber plantation workers in 2001 about the potential impact of UN sanctions on their employment and livelihoods for a report to the Security Council.

PART V:

RESOURCES

The following list offers a useful selection of UN documents and other reading material and resources to further your knowledge of the issues discussed in the Handbook. The documents listed here, as well as more recent additions, can be found on the Field Guidelines CD-ROM or by searching the "resources" section on ReliefWeb (**www.reliefweb.int**) or on OCHA's Web site (**www.reliefweb.int/ocha_ol**).

Note: All official UN documents are referenced here using their official document number consisting of capital letters and numbers.

GENERAL INFORMATION

Provisional Guidelines for Public Information Components in UN Peacekeeping and Other Field Missions, DPKO Office of Planning and Support, Training Unit, New York, 1997.

Piasecki, Jerry, *Marie In the Shadow of the Lion: A Novel of Humanitarian Issues for Children Ages 10-15*, Office for the Coordination of Humanitarian Affairs (OCHA), New York, 2001.

Handbook for Emergencies, Second Edition, United Nations High Commissioner for Refugees (UNHCR), 2001.

Permanent Missions to the United Nations, Executive Office of the Secretary-General Protocol and Liaison Service, 2002.

United Nations Handbook 2000, New Zealand Ministry of External Relations and Trade, Wellington, New Zealand, 2000.

United Nations Correspondence Manual, A Guide to the Drafting Processing and Dispatch of Official United Nations Communications, Department of General Assembly Affairs and Conference Services, New York, 2000.

The Handbook for Emergency Field Operations, World Health Organization (WHO), 1999.

THE NATURE OF WAR

> UN Documents

UN Millennium Declaration [A/RES/55/2], UN General Assembly 55th Session, September 2000.

Report of the Secretary-General's Panel on UN Peace Operations (Brahimi Report) [A/55/305-S/2000/809], UN Department of Peacekeeping Operations (DPKO), August 2000.

Report of the Independent Inquiry Into the Actions of the United Nations During the 1994 Genocide in Rwanda [A/54/549], 15 December 1999.

Causes of Conflict and the Promotion of Durable Peace and Sustainable Development in Africa [A/52/871], Report of the Secretary-General, 13 April 1998.

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IASC Working Paper on the Definition of Complex Emergencies, The Inter-Agency Standing Committee Secretariat (IASC), New York, 9 December 1994.

Cater, Charles K. and Jones, Bruce D. *Civilians in War: 100 Years after the Hague Peace Conference*, International Peace Academy & Carnegie Corporation, New York, September 1999.

HUMANITARIAN COORDINATION

> UN Documents

General Assembly Resolution 46/182 on Strengthening of the Coordination of Humanitarian Emergency Assistance of the United Nations [A/RES/46/182], 19 December 1991.

Security Council Presidential Statement on the Maintenance of Peace and Security and Post-Conflict Peace Building [S/PRST/1999/21], 8 July 1999.

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Reindorp, Nicola and Wiles, Peter, *Humanitarian Coordination: Lessons From Recent Field Experience, Overseas Development Institute*, June 2001.

MacFarlane, Neil, *Politics and Humanitarian Action Occasional Paper #41*, Thomas J. Watson Jr. Institute for Studies, Brown University, 2000. (www.brown.edu/Departments/Watson_Institute)

Inter-Agency Expert Consultation on Protected Areas, final report, OCHA/Harvard University, April 1999.

Strategic Coordination in the Great Lakes Region 1996-1977, an Independent Study for the IASC, March 1998.

Hansen, Greg, Humanitarian *Action in the Caucasus: A Guide for Practitioners*, Thomas J. Watson Jr. Institute for International Studies, 1998. (**www.brown.edu/Departments/Watson_Institute**)

Ball, Nicole and Campbell, Kathleen, *Complex Crisis and Complex Peace: Humanitarian Coordination in Angola*, Office for the Coordination of Humanitarian Affairs (OCHA), March 1998.

Seybolt, Taylor, *Coordination in Rwanda: the Humanitarian Response to Genocide and Civil War*, Conflict Management Group, February 1997.

Donini, Antonio, *The Policies of Mercy: UN Coordination in Afghanistan, Mozambique and Rwanda*, Thomas J. Watson Jr. Institute for International Studies, 1996. (**www.brown.edu/Departments/Watson_Institute**)

HUMAN RIGHTS, HUMANITARIAN LAW AND PROTECTION

> References

An Easy Reference to International Humanitarian and Human Rights Law, OCHA, 1999.

O'Neill, William, *A Humanitarian Practitioner's Guide to International Human Rights Law Occasional Paper #34*, The Thomas J. Watson Jr. Institute for International Studies, Brown University, 1999. (**www.brown.edu/Departments/Watson_Institute**)

Human Rights and International Legal Standards: What Relief Workers Need to Know, Relief and Rehabilitation Network, February 1997.

English, Katherine and Stapleton, Adam, *The Human Rights Handbook: A Practical Guide to Monitoring Human Rights*, University of Essex, October 1995.

Older People in Disasters and Humanitarian Crises: Guidelines for Best Practice, HelpAge International, April 2000.

Kenny, Karen, *When Needs Are Rights: An Overview of UN Efforts to Integrate Human Rights in Humanitarian Action Occasional Paper #38*, Thomas J. Watson Jr. Institute for International Studies, Brown University, February 2000. (**www.brown.edu/Departments/Watson_Institute**)

Stremlau, John, *People in Peril: Human Rights, Humanitarian Action and Preventing Deadly Conflict*, Carnegie Commission on Preventing Deadly Conflict, May 1998.

> Web sites

Human Rights: A compilation of International Legal Instruments
www.unhchr.ch

Human Rights Watch World Report
www.hrw.org/wr2k1/

International Institute of Humanitarian Law
tdm.dmw.it/iihl/profile.html

War-Torn Societies Project
www.unrisd.org/wsp/

Journal of Humanitarian Assistance
www.jha.ac/

INTERNALLY DISPLACED PERSONS

> UN Documents

Convention on the Status of Refugees & Protocol.

Report of the Secretary-General on Protection for Humanitarian Assistance to Refugees and Others in Conflict Situations [S/1998/883], September 2000.

Security Council Resolution on the Protection of Civilians in Armed Conflict [S/RES/1296], April 2000.

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Deng, Francis, *Guiding Principles on Internal Displacement*.

Field Practices on Internal Displacement, UN High Commissioner for Human Rights (UNHCHR), United Nations Children's Fund (UNICEF), UN Office for the Coordination of Humanitarian Affairs (OCHA) eds., April 1999.

Internal Displacement in Africa, The Brookings Institution, October 1998.

Women Displaced in the Southern Caucasus: An Examination of Humanitarian Assistance Needs in Azerbaijan, Armenia, Nagorno-Karabakh and Georgia, Women's Commission for Refugee Women and Children, April 1998.

The State of The World's Refugees 2000 - Fifty Years of Humanitarian Action, United Nations High Commissioner for Refugees (UNHCR), November 2000.

The Civilian Character of Asylum: Separating Armed Elements from Refugees Statement to the UNHCR Global Consultations on International Protection, International Committee for the Red Cross (ICRC), March 2001.

Senior Inter-Agency Network on Internal Displacement Mission to Afghanistan - Findings and Recommendations, UN IDP Network, May 2001.

Senior Inter-Agency Network on Internal Displacement Mission to Angola - Findings and Recommendations, UN IDP Network, March 2001.

Senior Inter-Agency Network on Internal Displacement Mission to Burundi, Findings and Recommendations, UN IDP Network, December 2000.

Handbook for Applying the Guiding Principles on Internal Displacement, Brookings Institution Project on Internal Displacement, November 1999.

Manual on Field Practice in Internal Displacement: Examples from UN Agencies and Partner Organisations of Field-based Initiatives Supporting Internally Displaced Persons, IASC Policy Paper Series No., 1 November 1999.

Kosovo: Protection and Peace-Building - Protection of Refugees, Returnees, Internally Displaced Persons and Minorities, Lawyers Committee for Human Rights.

Guidelines for Calculating Food Rations for Refugees, World Food Programme.

Life after Death: Suspicion and Reintegration in Post-Genocide Rwanda, US Committee for Refugees, February 1998.

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Global IDP Project
www.idpproject.org/

Brookings Institution Foreign Policy Studies IDP Project
brook.edu/fp/projects/idp/idp.htm

UN High Commissioner for Refugees (UNHCR)
www.unhcr.ch/

International Organisation for Migration (IOM)
www.iom.int/

American Refugee Committee
www.archq.org/

International Rescue Committee
www.archq.org/

Refugees International
www.refintl.org/

Norwegian People's Aid
www.npaid.org/

Norwegian Refugee Council
www.nrc.no/engindex.htm

Danish Refugee Council
www.english.drc.dk/

Soros Foundation Forced Migration Projects
www.english.drc.dk/

Refugee Studies Centre, University of Oxford
www.qeh.ox.ac.uk/rsp/indexrsp.html

University of Minnesota Human Rights Library
www1.umn.edu/humanrts/

Forced Migration Review
www.fmreview.org/

GENDER

> UN Documents

Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), 1979.

Security Council Resolution on Women and Peace and Security [S/RES/1325], October 2000.

Security Council Presidential Statement on International Women's Day, March 2001.

Presidential Statement on the Role of the Security Council in Conflict Prevention [S/PRST/2000/25], 20 July 2000.

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Benjamin, Judy, *The Gender Dimension of Internal Displacement* ,OEP Working Paper Series, United Nations Children's Fund (UNICEF), November 1998.

Internal Displacement and Gender, Humanitarian Principles Workshop: Focus on a Child Rights Approach to Complex Emergencies and Internal Displacement, October 1998.

The Human Rights of Women and Children, *Challenges and Opportunities*, The Report of a Consultation organised by UNICEF, UN Division for the Advancement of Women (DAW), Save the Children Alliance, International Women's Rights Action Watch, Commonwealth Medical Association, January 1998.

Gender-based Persecution, report of the Expert Group Meeting, UN Division for the Advancement of Women (DAW), November 1997.

Gender & Humanitarian Assistance Resource Kit, Inter-Agency Standing Committee, March 2001.

Bolton, Paul A., Dugan, Julie and Fowler, Carolyn J., *Assessing the Opportunity for Sexual Violence against Women and Children in Refugee Camps*, Johns Hopkins University, August 2000.

Women at Peace Table: Making a Difference, United Nations Development Fund for Women (UNIFEM), April 2001.

Mooney, Erin, *Focus on a Child Rights Approach to Complex Emergencies and Internal Displacement, Internal Displacement and Gender: Notes for Presentation to Humanitarian Principles Workshop*, Office of the UN High Commissioner for Human Rights (UNHCHR), October 1998.

Mainstreaming Gender in the Humanitarian Response to Emergencies, Policy Statement and Background Paper for the Integration of a Gender Perspective in Humanitarian Assistance, IASC Working Group, March 1999.

> Web sites

Women's Commission for Refugee Women and Children
www.womenscommission.org/

WomenWatch
www.un.org/womenwatch/

Women and War: An Overview (ICRC)
www.icrc.org/

Femmes Africa Solidarite
www.fasngo.org/

PROTECTION

> UN Documents

Security Council Presidential Statement on the Protection of Civilians in Armed Conflict (adopting the Aide-Memoire) [S/PRST/2002/6], 15 March 2002.

Report of the Secretary-General to the Security Council on the Protection of Civilians in Armed Conflict [S/2001/331], 30 March 2001.

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PART VI:

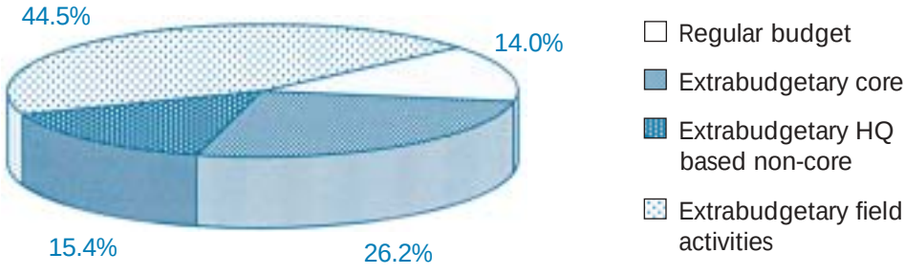
ANNEXES

ANNEX A

Summary of Financial Requirements for OCHA in 2002

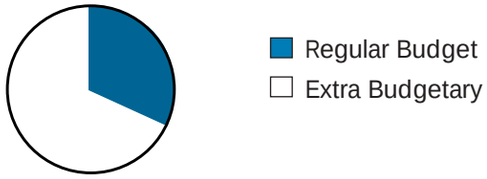
Regular budget	9,911,500	14.0%
Extrabudgetary core	18,549,769	26.2%
Extrabudgetary HQ based non-core	10,906,728	15.4%
Extrabudgetary field activities	31,503,455	44.5%
Total	70,871,452	100.0%

ANNEX B



OCHA's share of the UN Regular Budget for the biennium 2002-2003 totals $19,823,000. This amount includes a grant of US$2,310,000 for UNDP, due to the divestment in 1998 to UNDP of the previous DHA Disaster Mitigation Programme. In 2002, US$1.1 million will be transferred to UNDP for this purpose, leaving an amount of US$8,756,500 available for OCHA requirements.

Regular Budget	8,756,500
Extra Budgetary	18,549,769



ANNEX B

OCHA Priorities and Goals for 2001-2002

Guiding principles

- OCHA's objectives flow from its core mandated functions of emergency coordination, advocacy and policy development.
- To achieve them, OCHA will strengthen existing and establish new relationships when necessary. These will be based on service and added value to its stakeholders, including agencies, donors and recipient governments.

PRIORITY ONE: EMERGENCY RESPONSE COORDINATION

Rapid and effective emergency response in coordinating both complex emergencies and natural disasters.

Goal 1: An improved OCHA response to the consequences of war and conflict stressing emergency deployment; well managed field offices; and efficient headquarters back-up.

Goal 2: Improvement of institutional mobilisation and coordination capacity during the emergency phase following natural disasters, taking into consideration the findings of the Gujarat report and UNDAC Review.

Goal 3: Strengthening OCHA's role and capacity in preparedness, response and policy development on natural disasters and complex emergencies, including strengthening collaboration with external partners.

Goal 4: Generate greater "buy in" to the Consolidated Appeals Process by the stakeholders, including reviews of the role and impact of the CAP process.

PRIORITY TWO: POLICY DEVELOPMENT

Targeted policy development, implemented in close consultation with OCHA's major partners.

Goal 5: Strengthening of operational guidelines, as well as evaluation and monitoring mechanisms for humanitarian coordination in the field, in order to enhance in verifiable terms the effectiveness of coordination.

Goal 6: Further implementation of the SG's recommendations with regard to the protection of civilians (see also goal 11).

Goal 7: Strengthening of mechanisms and capacities to monitor, assess and report on the humanitarian impact of sanctions.

Goal 8: Design and implement a three-year strategic monitoring and evaluation plan in order to monitor OCHA's performance in the implementation of its core functions and to improve accountability internally and externally.

Goal 9: Strengthen support to the development and coordination of humanitarian policies with key stakeholders in the areas of peace building and the terms of engagement with armed groups.

PRIORITY THREE: ADVOCACY

Effective and integrated humanitarian advocacy for coordinated response to complex emergencies and natural disasters.

Goal 10: Strengthened commitment among OCHA's partners and supporters (UN system, donors, governments, regional and intergovernmental organisations, civil society and the media) for a coordinated response to complex emergencies and natural disasters.

Goal 11: Enhanced institutional framework and practical arrangements for advocacy efforts in support of humanitarian operations in the field.

Goal 12: Assertive, professional and focused campaigns on selected humanitarian advocacy topics, using mass media and focused public relations strategies.

PRIORITY FOUR: INFORMATION MANAGEMENT

Strengthen OCHA's capacity for information management and communication technologies in support of humanitarian coordination and response, both at headquarters and in the field.

Goal 13: Strengthened information management in the field to facilitate the sharing and coordination of cross-sectoral and geographic data among humanitarian s actors.

Goal 14: Further development of OCHA's web-based information tools and improved collection and dissemination of information, including:

- Expanding of the substantive and geographic scope of ReliefWeb and strengthening of its resource base; and

> Developing and strengthening OCHA Online, field web sites, CD ROMs and documentation repositories.

Goal 15: Improved analysis of information for early warning and contingency planning for complex emergencies and natural disasters.

Goal 16: Systematic information and communication technology support to HQ and field operations.

PRIORITY FIVE: MANAGEMENT SUPPORT

Further development of OCHA into an efficient, well-funded department guided by consistently strong leadership and vision, toward the implementation of strategic priorities, which clearly demonstrate a service-orientation that adds measurable value to the humanitarian agenda.

Goal 17: Further implementation of the Recommendations of the Change Managers Report, including closer collaboration of OCHA's senior managers with OCHA staff, IASC/ECHA principals, New York and Geneva fora, and governments.

Goal 18: Consolidate critical management tools that are key to OCHA's smooth operations. These include:

> Two annual Management Retreats to set OCHA's strategic priorities and goals for the coming year, and to review compliance; and an annual Global Retreat to elaborate Branch and other workplans based on the outcome of the Management Retreat.

> Establish and implement a strategic planning process to ensure coherence, including in the annual workplanning, budgetary, human resources and evaluation cycle. Establish a management approval process for new activities and major expenditures.

> Clarifying the role of the senior management team, through the implementation of the 17 May "Guidelines on the Responsibilities of the OCHA Senior Management Team and Functional Management"; and through weekly teleconferences and quarterly meetings.

> Develop OCHA's policies and implement procedures in the area of human resources management covering recruitment, postings rotation, promotion and career development.

> Create urgently "real-time" consolidated, internal OCHA financial data, covering income and expenditure for OCHA's main (active) programmes and projects, including a review of OCHA's trust fund situation.

ANNEX C

Terms of Reference of the Humanitarian Coordinator

[As approved by the IASC-WG on 30 November 1994]

The primary function of the Humanitarian Coordinator is to facilitate and ensure the quick, effective, and well-coordinated provision of humanitarian assistance to those seriously affected by the complex emergency in question.

Within this context, the Terms of Reference of the Humanitarian Coordinator include:

Humanitarian Assistance Coordination Mechanisms and Agreements

1. Convening and serving as the Chair for meetings of the DMT in-country to deal with matters relating to the complex emergency in question, and providing the necessary secretariat support to the DMT. For purposes of dealing with the complex emergency in question, the regular DMT will usually be expanded to include other relevant entities, such as NGOs involved in related relief efforts.
2. Reaching agreement on the basic division of responsibilities among the UN agencies, in accordance with their respective mandates and capacities, as well as working with the other relief entities to facilitate such agreements within the larger relief community.
3. Developing and maintaining a central registry of locally represented humanitarian assistance agencies and organizations, including information on their respective activities and expertise.
4. Ensuring that effective inter-agency coordination within specific sector areas is undertaken by the relevant agencies, and that coordination of the overall logistics needs of the relief operation is effectively undertaken.
5. Obtaining guidance from the Designated Official regarding the implementation of security procedures in support of humanitarian assistance activities, ensuring that this is effectively communicated to the concerned agencies in the field, and facilitating their coordinated implementation.
6. Acting as a focal point for discussion within the relief community regarding policy issues of inter-agency concern (e.g., wage levels for local staff, difficulties with customs procedures and policies, government clearances for travel and passes, etc.) and as an interlocutor with the relevant parties (e.g., the host Government) for resolution of such matters.
7. Facilitating the provision of key support services for the larger relief community, such as telecommunications, transportation (e.g., via vehicle or light aircraft operation), etc.
8. Ensuring consultation with Government and national authorities on matters regarding the planning and implementation of humanitarian assistance.
9. Facilitating communications, and ensuring overall coordination, between the UN and other humanitarian aid agencies on the one hand and the relevant components of bilateral military forces and/or those of UN Department of Peacekeeping Operations when such forces are present, including promoting resolution of matters of joint concern to the humanitarian aid agencies.

Assessing and Addressing Humanitarian Needs

10. Ensuring that the overall coordination of inter-agency, multisectoral assessments of needs, including identification of priority needs, and ensuring that such assessments are quickly initiated, adequately supported, and effectively carried out.
11. Coordinating the preparation of an overall humanitarian assistance strategy and Plan of Action of UN agencies, including the establishing of priorities for assistance and agreed collaborative approaches, and coordinating revisions and modifications as required by changing conditions and needs. The preparation and revision of this Plan should be done in close collaboration with the other relevant humanitarian assistance entities, including reflecting their activities and future plans in the Plan.
12. Coordinating the preparation of inter-agency consolidated appeals for humanitarian assistance for the complex emergency in question, including working with the agencies both in-country and at the headquarters level to ensure that the actions described in the IASC Consolidated Appeal Guidelines (currently being finalized) are implemented.
13. Monitoring the provision of resources against such appeals, bringing donor attention to important outstanding gaps, and facilitating inter-agency resource mobilization efforts both in-country as well as at the headquarters level (e.g., via local donor meetings and briefings, convening donor conferences if appropriate, etc.).
14. Monitoring humanitarian needs and identifying specific gaps in the provision of humanitarian assistance. Working with UN and other entities to ensure that such gaps are addressed before they reach the crisis point.

15. Facilitating ongoing strategic planning for the relief effort, including the provision of early warning of major changes in needs or delivery capacities, and contingency planning for such eventualities.

16. Monitoring and facilitating UN humanitarian assistance to special population groups e.g., internally displaced persons, demobilized soldiers, etc.) to ensure that it is provided in an adequate and timely manner, and coordinating such UN efforts (unless such coordination has been delegated by the Emergency Relief Coordinator to a specific agency).

17. Ensuring that the necessary support is provided to field staff assisting in local coordination of humanitarian assistance and in situation monitoring.

18. Ensuring that effective evaluations of the overall relief efforts, especially the coordination aspects, are undertaken, the lesson to be learned clearly identified, and appropriate follow-up actions taken.

19 Cooperating with entities responsible for planning and implementation of rehabilitation and development activities to ensure that rehabilitation actions begin as soon as they become feasible (which will often be simultaneous with relief efforts), and that relief actions are planned and undertaken with the perspective of their longer-term impacts.

Humanitarian Advocacy

20 Serving as a focal point for the humanitarian community for ensuring the protection of humanitarian mandates in conflict situations, including by:

a. seeking acceptance by all parties to the civil conflict in question on the key principles that must underlie UN humanitarian aid efforts e.g., neutrality, impartiality, access to those in need, accountability to donors for aid provided, etc.), and

b. promoting, assisting, and if necessary, leading negotiations to obtain free, safe and unimpeded access for humanitarian assistance to those in need.

Information Dissemination

21. Collecting, analyzing, and disseminating information regarding humanitarian needs and operations to the wider community (e.g., through the production of regular Situation Reports).

22. Ensuring the provision of timely, accurate and relevant information to media, and of briefing information to assist new agencies and NGOs, visiting missions and delegations, etc.

ANNEX D

UN Security Phases

The primary management tool for security preparedness at any duty station is the country-specific security plan. Written in conformity with established procedures and subject to the approval of the United Nations Security Coordinator, it defines the various relevant responsibilities at the duty station, the actions to be taken and the sequence to be followed in response to a security crisis. The plan is updated as necessary (and at least annually) to reflect changing security conditions and it may contain several options for various contingencies.

Under the current arrangements, the response by the organisations of the United Nations system to threats to the safety of personnel has been divided into five phases, as follows:

(*a*) In *phase one*, which is precautionary, travel to the area requires prior clearance by the designated official;

(*b*) In *phase two*, all personnel and their dependants are restricted to their homes unless otherwise instructed. All movement is severely restricted and has to be specifically authorized by the designated official;

(*c*) In *phase three*, the following measures may be taken: concentration of personnel and their dependants at sites that are deemed safe; relocation to other parts of the country; relocation of dependants and non-essential personnel outside the country;

(*d*) In *phase four*, programmes are suspended and personnel not directly concerned with emergency or humanitarian relief operations or security matters are relocated;

(*e*) In *phase five*, all personnel are evacuated except those required for Security Council-mandated activities related to the maintenance of international peace and security.

Phases one and two may be declared by the designated official. The subsequent phases and measures will normally only be implemented after authorization has been obtained from the Secretary-General. Security phases may be implemented in sequential order or as the situation dictates. Situations may occur where one part of the country is under a different phase from the remainder of the country.

Security arrangements are intended to cover all personnel, except that locally recruited personnel and their dependants are not normally evacuated unless their security is endangered as a direct consequence of their employment by a United Nations organisation. Each security plan must make provisions for the internal relocation of locally recruited staff and their dependants to a safe area and for the payment of three months' salary advance.

ANNEX E

Speaking to the Press

It is in OCHA's interest to provide the media with accurate and timely information. Slow or unhelpful response can be damaging to the organisation. While the R/HC is the principal spokesperson for the ERC in the field, all OCHA field officers should be familiar with the UN policies and standard practice that guide OCHA's dealings with the press, as follows.

Who should speak to the press?

- The principal voice of OCHA in the field is the humanitarian coordinator based in the capital city or main duty station.
- Most OCHA field offices also have a designated information officer who speaks on behalf of the R/ HC.
- The HC may authorize other OCHA field officers to speak on his/ her behalf on specific issues.
- In high profile or sensitive scenarios, the R/HC may refer more sensitive questions to the Advocacy and External Relations Section at headquarters in New York or Geneva.
- In countries or regions where there is an SRSG, there should be a clear division between the spokesperson on peacekeeping/ political affairs and the spokesperson on humanitarian affairs. The SRSG and R/HC often hold joint press conferences, sometimes in collaboration with key heads of agency in a country.
- Information regarding the safety of UN staff – for example in an emergency situation – should be handled by the UN Designated Official for Security.

How should you speak to the press?

Those OCHA field staff authorized to speak to the press should:

- Speak only on humanitarian issues, not political or security issues;
- Speak only within their area of competence and responsibility;
- Provide facts, not opinions or comment; and
- Leave sensitive issues to officials who are specifically authorized to speak on them.

OCHA field staff speaking to the press should not feel that they have to answer every question, in particular any hypothetical ones. As part of its coordination role, OCHA should – where appropriate – refer journalists to other sources of information, such as the operational UN agencies or NGOs in relation to specific programs.

It may sometimes be necessary for OCHA to keep certain issues confidential – for example to protect a diplomatic process – in which case it is important to clarify at the outset the parameters of issues that may be discussed.

When OCHA field staff do speak to journalists, it should normally be done on the record - that is, for attribution. Sometimes, though, officials specifically authorized to address sensitive issues can give a journalist a deeper understanding of an issue by speaking on background. However, it is very important that the journalist know the basis of the conversation.

- On the record: "everything I say can be attributed to me by name"
- On background: "don't attribute this to me by name, but rather to a UN official"
- On deep background: "use my ideas but not my words; don't attribute to anyone"

ANNEX F

Overview of CAP Contributions 1998-2001

UN Consolidated Inter-Agency Humanitarian Assistance Appeals List of Appeals Launched or Ongoing for 2001

Compiled by OCHA on the basis of information provided by the respective Appealing Organisations

UN Consolidated Inter-Agency Appeals	Appeal Time Frame (*inclusive dates*)	Revised Requirements (US$)	Income (*includes carryover*) (US$)	% of Needs Covered
2001				
Afghanistan	*Jan 01 - Sep 01*	332,602,358	149,965,436	45%
Angola	*Jan 01 - Dec 01*	233,190,355	116,609,636	50%
Burundi	*Jan 01 - Dec 01*	111,497,461	53,033,014	48%
DR Congo	*Jan 01 - Dec 01*	122,856,090	81,993,540	67%
D.P.R. Korea	*Jan 01 - Dec 01*	383,984,914	247,579,939	64%
Eritrea	*Jan 01 - Dec 01*	133,195,034	79,865,957	60%
Ethiopia	*Jan 01 - Dec 01*	250,845,095	101,996,219	41%
Great Lakes Region and Central Africa	*Mar 01 - Sep 01*	28,122,473	9,848,583	35%
Maluku Crisis	*Jan 01 - Dec 01*	10,796,977	3,327,637	31%
Northern Caucasus	*Jan 01 - Dec 01*	42,540,280	37,985,824	89%
Republic of the Congo	*Jan 01 - Dec 01*	32,513,544	12,085,560	37%
Sierra Leone	*Jan 01 - Dec 01*	74,200,544	59,504,801	80%
Somalia	*Jan 01 - Dec 01*	140,442,999	30,403,727	22%
Southeastern Europe	*Jan 01 - Dec 01*	413,171,669	220,153,319	53%
Sudan	*Jan 01 - Dec 01*	251,970,846	155,737,624	62%
Tajikistan	*Jan 01 - Dec 01*	77,989,949	58,506,938	75%
Uganda	*Jan 01 - Dec 01*	79,814,162	34,451,595	43%
United Republic of Tanzania	*Jan 01 - Dec 01*	110,440,557	90,739,758	82%
West Africa	*Jan 01 - Dec 01*	61,715,294	19,749,243	32%
TOTAL FOR APPEALS LAUNCHED IN 2001 (#19)		2,891,890,601	1,563,538,350	54%

UN Consolidated Inter-Agency Humanitarian Assistance Appeals List of Appeals Launched or Ongoing for 2000

Compiled by OCHA on the basis of information provided by the respective Appealing Organisations

UN Consolidated Inter-Agency Appeals	Appeal Time Frame (*inclusive dates*)	Revised Requirements (US$)	Income (*includes carryover*) (US$)	% of Needs Covered
2000				
Afghanistan	*Jan 00 - Dec 00*	220,768,327	119,228,414	54%
Angola	*Jan 00 - Dec 00*	262,338,124	141,527,669	54%
Burundi	*Jan 00 - Dec 00*	36,630,784	9,954,591	27%
DR Congo	*Jan 00 - Dec 00*	37,039,207	11,772,710	32%
D.P.R. Korea	*Jan 00 - Dec 00*	313,757,503	153,103,893	49%
Great Lakes Region	*Jan 00 - Dec 00*	292,116,049	223,644,444	77%
Maluku Crisis	*Mar 00 - Sep 00*	14,121,580	8,155,538	58%
Republic of the Congo	*Jan 00 - Dec 00*	20,840,352	3,591,217	17%
Sierra Leone	*Jan 00 - Dec 00*	64,338,048	43,476,798	68%
Somalia	*Jan 00 - Dec 00*	50,552,783	36,168,801	72%
Southeastern Europe	*Jan 00 - Dec 00*	628,500,525	351,505,045	56%
Sudan	*Jan 00 - Dec 00*	131,511,144	107,254,563	82%
Tajikistan	*Jan 00 - Dec 00*	34,841,820	27,025,498	78%
Uganda	*Jan 00 - Dec 00*	27,414,380	17,237,656	63%
United Republic of Tanzania	*Jan 00 - Dec 00*	7,945,000	4,110,275	52%
TOTAL FOR APPEALS LAUNCHED IN 2000 (#15)		2,142,715,626	1,257,757,112	59%

UN Consolidated Inter-Agency Humanitarian Assistance Appeals
List of Appeals Launched or Ongoing for 1999

Compiled by OCHA on the basis of information provided by the respective Appealing Organisations

UN Consolidated Inter-Agency Appeals	Appeal Time Frame (*inclusive dates*)	Revised Requirements (US$)	Income (*includes carryover*) (US$)	% of Needs Covered
1999				
Afghanistan	*Jan 99 - Dec 99*	112,963,742	46,598,849	41%
Angola	*Jan 99 - Dec 99*	110,840,321	97,332,669	88%
Burundi *	*Jan 99 - Dec 99*	38,111,327	15,033,204	39%
DR Congo	*Jan 99 - Jun 99*	17,383,831	3,315,105	19%
DR Congo *	*Jul 99 - Dec 99*	21,369,141	4,842,197	23%
D.P.R. Korea	*Jan 99 - Dec 99*	292,077,588	189,890,615	65%
East Timor Crisis	*Oct 99 - Jun 00*	179,660,556	125,586,657	70%
Great Lakes Region *	*Jan 99 - Dec 99*	277,936,549	236,325,490	85%
Guinea Bissau	*Jan 99 - Dec 99*	17,780,363	13,392,866	75%
Northern Caucasus (Russian Federation)	*Dec 99 - Dec 00*	51,596,756	45,391,464	88%
Republic of the Congo *	*Jul 99 - Dec 99*	7,647,070	1,810,432	24%
Sierra Leone	*Jan 99 - Dec 99*	25,128,690	13,556,518	54%
Somalia	*Jan 99 - Dec 99*	64,070,256	43,453,547	68%
Southeastern Europe	*Jan 99 - Dec 99*	928,952,405	786,720,698	85%
Sudan	*Jan 99 - Dec 99*	204,212,980	198,247,824	97%
Tajikistan	*Jan 99 - Dec 99*	30,244,165	21,234,486	70%
Uganda *	*Jan 99 - Dec 99*	8,146,600	1,263,094	16%
United Republic of Tanzania *	*Jan 99 - Dec 99*	9,504,800	3,502,080	37%
West Timor	*Oct 99 - Dec 00*	46,239,733	21,580,886	47%
TOTAL FOR APPEALS LAUNCHED IN 1999 (#19)		2,443,866,873	1,869,078,681	76%

* *Please note that the total requirements for and contributions to UNHCR and QFP for country specific appeal in the Great Lakes Region are reflected in the regional appeal.*

Represents an Appeal which was launched in 1999 and which is still current in 2000.

UN Consolidated Inter-Agency Humanitarian Assistance Appeals
List of Appeals Launched or Ongoing for 1998

Compiled by OCHA on the basis of information provided by the respective Appealing Organisations

UN Consolidated Inter-Agency Appeals	Appeal Time Frame (*inclusive dates*)	Revised Requirements (US$)	Income (*includes carryover*) (US$)	% of Needs Covered
1998				
Afghanistan *	*Jan 98 – Dec 98*	157,308,144	52,691,992	33%
Angola **	*Jan 98 – Dec 98*	80,965,142	63,791,764	71%
D.P.R. Korea **	*Jan 98 – Dec 98*	383,242,336	215,874,289	56%
Eritrea	*Sep 98 – Feb 99*	8,967,500	385,000	4%
Ethiopia	*Sep 98 – Feb 99*	2,054,000	0	0%
Former Yugoslavia	*Jan 98 – Dec 98*	459,339,488	254,224,657	55%
Great Lakes Region	*Jan 98 – Dec 98*	573,809,505	238,358,609	42%
Guinea Bissau **	*Jul 98 – Dec 98*	28,752,827	14,543,443	51%
Kosovo	*Jun 98 – Dec 98*	56,474,775	56,531,909	93%
Liberia	*Jan 98 – Dec 98*	61,989,195	29,950,288	48%
Sierra Leone (Flash Appeal)	*Mar 98 – May 98*	9,765,538	2,355,495	24%
Sierra Leone **	*Mar 98 – Dec 98*	20,253,640	13,986,941	64%
Somalia	*Jan 98 – Dec 98*	79,035,509	33,816,012	43%
Tajikistan	*Jan 98 – Dec 98*	34,640,614	10,325,024	30%
Sudan **	*Jan 98 – Dec 98*	205,996,153	313,824,506	93%
TOTAL FOR APPEALS LAUNCHED IN 1998 (#15)		2,162,594,366	1,300,659,929	54%

* *As reported by UNOCHA*

** *As one surplus in one project does not offset the shortfall of another, the percentage of needs covered reflects the actual coverage on the total requirements.*

Represents an Appeal which was launched in 1998 and which is still current in 1999.

ANNEX G

Acronyms and Abbreviations

ADPC	Asian Disaster Preparedness Centre
ADRC	Asian Disaster Reduction Centre
AERC	Assistant Emergency Relief Coordinator
AERIMB	Advocacy, External Relations and Information Management Branch (OCHA)
ALD	Appointment of Limited Duration
ALITE	Augmented Logistics Intervention Team for Emergencies (WFP)
AERIMB	Advocacy, External Relations and Information Management Branch (OCHA)
AO	Administrative Office (OCHA)
BCPR	Bureau for Crisis Prevention and Recovery (UNDP - formerly Emergency Response Division)
CAP	Consolidated Appeals Process
CERF	Central Emergency Revolving Fund
CHAP	Common Humanitarian Action Plan
CIMIC	Civil-Military Cooperation units
CMOC	Civil-Military Operations Centre
DEPHA	Data Platform for the Horn Of Africa
DERC	Deputy Emergency Relief Coordinator
DESA	Department of Economic and Social Affairs
DHA	Department of Humanitarian Affairs
DMT	Disaster Management Team
DO	Designated Official (for Security)
DPA	(UN) Department of Political Affairs
DPKO	(UN) Department of Peacekeeping Operations
DPRK	Democratic People's Republic of Korea
DRC	Democratic Republic of the Congo
DSA	Daily Subsistence Allowance
ECHA	Executive Committee on Humanitarian Affairs
ECHO	European Community Humanitarian Office
ECOSOC	(UN) Economic and Social Council
ECPS	(UN) Executive Committee on Peace and Security
EFCT	Emergency Field Coordination Training (OCHA)
EMEA	Extended Monthly Evacuation Allowance
EMOPS	Office of Emergency Programmes (UNICEF)
ERC	Emergency Relief Coordinator
ESB	Emergency Services Branch (OCHA)
ESBE	Environmental Stand-By Experts
EU	European Union
FACT	Federation Assessment and Coordination Team (IFRC)
FAO	Food and Agriculture Organisation
FCSS	Field Coordination Support Section (OCHA)
FIS	Field Information Support (OCHA)
FSO	Field Security Officer
FTS	Financial Tracking System (OCHA)
GA	(UN) General Assembly
GIS	Geographic Information Systems
GIST	Geographic Information Support Team
HACU	Humanitarian Assistance Coordination Unit (OCHA/UNDP)
HC	Humanitarian Coordinator
HDA	Hazardous Duty Allowance
HEB	Humanitarian Emergency Branch (OCHA)
HIC	Humanitarian Information Centre
HLWG	Humanitarian Liaison Working Group
HRMS	Human Resources Management Services (UNOG)
IASC	Inter-Agency Standing Committee
IASC-WG	Inter-Agency Standing Committee Working Group
ICRC	International Committee of the Red Cross

ICT	Information and Communications Technology
ICVA	International Council of Voluntary Agencies
IDP	Internally Displaced Person
IDP Unit	Internal Displacement Unit (OCHA)
IFRC	International Federation of Red Cross and Red Crescent Societies
IMTF	Integrated Mission Task Force
IMTN	Information Management Thematic Network
INSARAG	International Search and Rescue Advisory Group
IO	International Organisation
IOM	International Organisation for Migration
IRIN	Integrated Regional Information Network (OCHA)
ISDR	International Strategy for Disaster Reduction
LOA	Letter of Appointment
LSU	Logistics Support Unit
MCDLS	Military, Civil Defence and Logistics Section (OCHA)
MCDU	Military and Civil Defence Unit (OCHA)
MONUC	UN Organisation Mission in the DRC
MSF	Médecins Sans Frontières
NGO	Non-Governmental Organisation
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	(UN) Office of the High Commissioner for Human Rights
ORB	Occasional Recuperation Break
OSOCC	On-Site Operations Coordination Centre
OSRSG/CAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
PAS	Performance Appraisal System

PDSB	Policy Development and Studies Branch (OCHA)
RC	(UN) Resident Coordinator
RCB	Response Coordination Branch (OCHA)
RDRA	Regional Disaster Response Adviser (OCHA)
R/HC	Resident/Humanitarian Coordinator
RR	Resident Representative
RSG	Representative of the Secretary-General
RUF	Revolutionary United Front
SAR	Search and Rescue (teams)
SC	(UN) Security Council
SCHR	Steering Committee for Humanitarian Response
SG	(UN) Secretary-General
SITREP	Situation Report
SMT	Security Management Team
SRSG	Special Representative of the Secretary-General
TA	Travel Authorization
TOR	Terms of Reference
UN	United Nations
UNAMIR	United Nations Assistance Mission in Rwanda
UNAMSIL	United Nations Mission in Sierra Leone
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination (teams)
UNDP	United Nations Development Programme
UNDRO	United Nations Disaster Relief Coordinator
UNEP	United Nations Environmental Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNHCHR	United Nations High Commissioner for Human Rights

UNHCR	United Nations High Commissioner for Refugees
UNHRD	United Nations Humanitarian Response Depot
UNICEF	United Nations Children's Fund
UNJLC	United Nations Joint Logistics Centre
UNMIK	United Nations Interim Mission in Kosovo
UNOG	United Nations Office at Geneva
UNOMIG	UN Military Observer Mission in Georgia
UNRWA	United Nations Relief and Works Agency
UNSECOORD	United Nations Security Coordinator
USG	Under-Secretary-General
WFP	World Food Programme
WHO	World Health Organisation
WG	Working Group
WGET	(UN) Working Group on Emergency Telecommunications

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A congested IDP camp in the Democratic Republic of Congo.

NOTES