

This work was carried out between January and June 2010 under the direct supervision of the Information Services Section (ISS) of OCHA Geneva. Additional supervision was provided by the IASC Task Force on Information Management (IASC TF on IM) sub-group on the review (the steering committee).

The main findings of this review are derived from in-person interviews at selected country and regional offices, a global online survey and phone interviews at the global level. Given the unavoidably limited number of visits, survey respondents and phone interviews, the findings cannot be claimed to be generalized to all circumstances.

The author thanks members of the ISS of OCHA Geneva for their encouragement and support. Words of thanks are in place for the local OCHA staff that helped me tremendously during my country visits and made me feel welcome. Thank you also to Willem Muhren for his assistance during one of the country visits and with the survey analysis.

This work was funded by OCHA, UNICEF and UNHCR in support of the cluster approach.

The conclusions formulated here are the author's alone and do not necessarily reflect the policies and positions of the ISS, nor those of the members of the IASC TF on IM.

Dr. Bartel Van de Walle

Tilburg

June 21, 2010

[Report presented to the IASC Task Force on Information Management on 16 December 2010]

TABLE OF CONTENTS

Executive Summary.....	3
1 Introduction	8
2 Humanitarian Information Management	10
2.1 The IM Framework within the cluster approach	10
2.2 The IM Process and three IM Support Functions	10
2.3 OCHA’s Humanitarian Information Products, Sources and data collection methods	12
2.4 The IM responsibilities at the country level according to the OGN.....	15
3 Evaluation methodology.....	17
3.1 Overall Approach	17
3.2 Goal-based evaluation	17
3.3 Four key review questions	18
4 Data Gathering: Interviews and Survey	20
4.1 Approach and timeline.....	20
4.2 Interviews and interview summary	21
5 The level of implementation of the OGN on IM	23
5.1 Findings from the interviews	23
5.1.1 Clusters.....	23
5.1.2 OCHA.....	25
5.2 Findings from the survey	27
6 The contribution of the OGN on IM to informed Decision Making	33
7 Best practices and impediments in inter-agency/cluster/sector IM	35
8 Strategies and suggested ways forward: improving the OGN.....	37
9 Overall Conclusion	41

EXECUTIVE SUMMARY

Context

The cluster approach was instituted in 2006 as part of the Humanitarian Reform process. It was introduced to strengthen predictability, response capacity, coordination and accountability by enhancing partnerships in key sectors of humanitarian response, and by formalizing the lead role of particular agencies/organizations in each of these sectors.

Knowledge of the emergency situation must be generated for the cluster approach-induced coordination mechanisms to lead to informed decisions. This process involves using data collected from within the clusters, across the clusters and the greater humanitarian community in order to produce 'information' and ultimately a higher level of understanding or 'knowledge'. This knowledge-generating function leading to better-informed decisions is the overall objective of the information management (IM) function of the humanitarian operation.

The Operational Guidance Note (OGN) on IM, issued in 2007, is an aid for cluster leads and OCHA to understand and execute their increasingly complex responsibilities related to the effective and efficient management of information during humanitarian operations.

Review of the OGN on IM

The IASC Task Force on IM commissioned a review of the usability and actual use of the OGN on IM in order to assess whether it satisfies the envisioned goals of IM and to suggest adjustments to it if and where needed.

This document reports on the findings of the evaluation, resulting from three main data sources:

- A series of over 40 in-depth *face-to-face interviews* conducted with cluster leads, IM focal points and IM staff during in-country visits to Democratic Republic of the Congo (DRC), Chad, the occupied Palestinian territory, Egypt (Cairo) and Jordan (Amman);
- A *survey* distributed on-line to cluster leads and IM staff at the country and global level;
- A limited number of *phone interviews* with global cluster leads in the concluding phase of our evaluation.

Key Review Questions

The review focused on four key questions:

1. **Key Review Question 1:** What is the level of implementation of the OGN on IM?
2. **Key Review Question 2:** Is the OGN on IM meeting its objective of contributing to informed decision making?
3. **Key Review Question 3:** What are best practices and impediments in inter-agency/cluster/sector IM?
4. **Key Review Question 4:** What strategies can be identified and what are suggested ways forward?

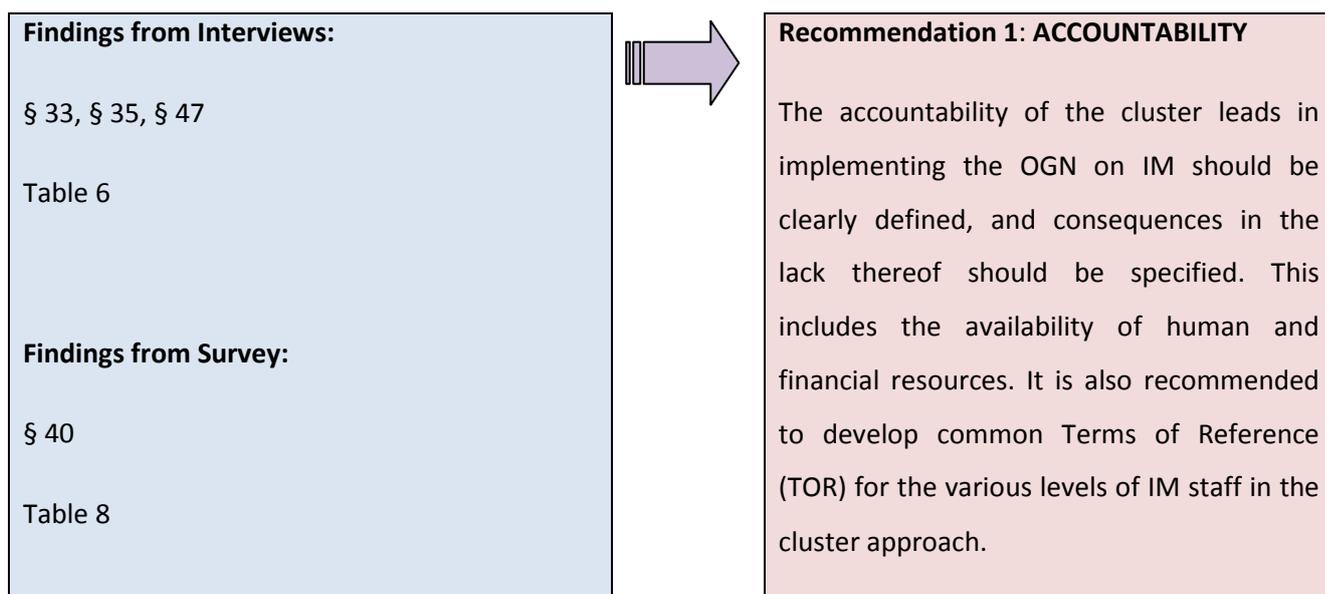
The first key question was evaluated in further detail with respect to three specific aspects: the level of implementation of IM governance, the level of implementation of IM services and products, and the level of implementation of IM norms, policies and standards.

Findings and Recommendations

The evaluation process produced a wealth of findings, leading to the formulation of five main recommendations on accountability, IM governance, analysis, regional and global support, and needs assessment, as shown below.

FINDINGS RELATED TO RECOMMENDATIONS

RECOMMENDATIONS



Findings from Interviews:

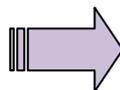
§ 30, §31, §37, § 41, § 42

Table 6, Table 7

Findings from Survey:

§ 44, §45

Table 8

**Recommendation 2: IM GOVERNANCE**

IM governance is the process by which organizations align their IM actions with their performance goals, and assign accountability for those actions and their outcomes. Because outcomes are often hard to measure, explicit responsibilities for desired outcomes must be assigned and it must be assessed how well they are achieved. OCHA should strive to develop such a coherent IM governance approach. This includes processes to avoid “information request overload” towards the clusters, as well as processes to close the “information-decision making” feedback gap.

Findings from Interviews:

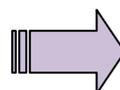
§36, § 48

Table 7

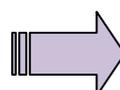
Findings from Survey:

§ 40, § 50

Table 8

**Recommendation 3: ANALYSIS**

In concert with the subject expertise which can be found in the clusters, OCHA should expand its responsibilities as secretariat to include information analysis and inter-cluster assessments and provide these to the cluster leads. This will bring added value to the information that the clusters have provided, and provide the cluster with a sense of genuine collaboration rather than a feeling of serving as an information provider.

Findings from Interviews:**Recommendation 4: REGIONAL AND GLOBAL SUPPORT**

§ 46, § 52

Table 6, Table 7

Findings from Survey:

§ 56

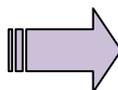
Table 8, Table 12

For both OCHA and the clusters, the supporting role of the global level to the country offices should be revised and further developed. This includes strengthening the role of the regional level as an intermediary to provide support to their respective countries. Joint OCHA-cluster training sessions should be organized, as well as “debrief” sessions from clusters following the ending of operations during sudden-onset disasters. At the global level, OCHA should envision to expand the current IASC TF on IM to include operational issues and make it a non time-bound entity

Findings from Interviews:

§ 38, § 51, § 52

Table 6



Recommendation 5: NEEDS ASSESSMENT

The role of IM in the Needs Assessment process must be urgently developed. This includes a well-defined and continuous IM involvement and flow from designing the Needs Assessment methodology (including Data Collection forms) through the execution and coordination of the Needs Assessment activities, and finally up to the Monitoring and Evaluation processes.

1 INTRODUCTION

- 1 Section 1 outlines Information Management in the humanitarian context as a complex socio-technical process, aiming to provide relevant information to the right person at the right time in a usable form, to enable a better understanding of the humanitarian emergency and achieve informed decision making in the humanitarian response. The Operational Guidance Note (OGN) on Information Management (IM), issued in 2007, is an instrumental aid for cluster leads and OCHA to understand and execute their increasingly complex responsibilities related to the effective and efficient management of information during humanitarian operations.
- 2 The review of the OGN on IM that is described in this document is the result from an intense interaction with OCHA and cluster staff at country, regional and HQ level. Through semi-structured in-person interviews, an online globally distributed survey and follow-up phone interviews, useful information and insights were gathered on how these key actors perceived, implemented and used the guidance provided in the OGN on IM.
- 3 The next Section, Section 2, outlines Humanitarian IM, with first providing a general framework of IM within the cluster approach and the IM process and support functions. We also provide a summary of the humanitarian information products and services provided by OCHA, and conclude this section with a summary of the responsibilities outlined in the OGN on IM for the cluster leads and OCHA.
- 4 Section 3 presents the methodology followed in this review, explaining the goal-based evaluation process as a means to measuring the extent to which the OGN on IM has attained its objectives. The focus is on the intended outcomes of the OGN for better IM in the humanitarian response. The key review questions are listed, defining the focus of the review. Section 4 presents the main findings of the interviews that have taken place during the field visits to DRC, Chad, oPt, Egypt and Jordan. A reflection on the interviews by means of some of the most relevant quotes by the interviewees is made as well as a systematic list of the key observations regarding the implementation of the OGN, the contribution to informed decision making, best practices and impediments, and the suggested ways forward.

- 5 In the following Section, Section 5, we provide a more detailed analysis of the online survey targeting country and global level staff of OCHA and clusters, with comparative findings for the country and global level. The survey also provided a wealth of suggestions for improving the OGN on IM, a summary of which is enumerated in Section 6. We conclude in Section 7 by providing an overall summary of the findings of this review, summarizing the key findings and providing some suggestions for further analysis.
- 6 Before presenting the findings however, we wish to conclude our introduction by pointing out two important caveats when taking note of our findings. First, we have deliberately chosen to present our findings in a rather ‘down to earth’ style, by simply enumerating or bullet-point listing our findings, while avoiding excessive wordings or lengthy explanations. Second, the findings we present in this report are based on a necessarily limited sample in the large set of all OCHA and cluster / agency offices. While we are well aware that our findings will, therefore, not do justice to the successful functioning of some cluster lead agencies or OCHA offices, we believe that they nevertheless provide a strong signal to those who are willing to listen.
- 7 With these caveats in mind, we begin with an exploration into the humanitarian information management domain in the following section.

2 HUMANITARIAN INFORMATION MANAGEMENT

2.1 THE IM FRAMEWORK WITHIN THE CLUSTER APPROACH

8 In an earlier study on the Information Management Framework in the Cluster Approach, Bauman (2007) describes the overall objective of the IM function of the humanitarian operation as follows:

“To generate knowledge of the emergency situation to allow coordination mechanisms to make informed strategic decisions. Process involves using data collected from within the clusters, across clusters, and the greater humanitarian community to first generate ‘information’, then, once information is collated across all sectors a higher level of understanding, or ‘knowledge’ can be realized.”

9 Bauman continues to describe the internal cluster information generation process as consisting of data collection, data storage, data analysis and information dissemination. The key inputs that feed into data collection are activity data sharing, assessment and survey data, and monitoring and impact data. Dissemination outputs are internal cluster information sharing and the external inter-cluster information sharing.

10 The functions that promote and facilitate lateral data and information sharing between clusters (and all stakeholders) are conceptualized and developed through multi-agency collaboration but facilitated by OCHA. This is intended to ensure that data, information and services that are common to all (or most) clusters is available and shared, and that some basic tools required to do IM are available to all clusters. Similarly, all clusters participate in the function of assembling the overall message and information synthesis from all clusters, yet the information sharing and collation is facilitated by OCHA.

2.2 THE IM PROCESS AND THREE IM SUPPORT FUNCTIONS

11 The IM Process consists of the collection, processing, interpretation and dissemination of information by and among the cluster/sector leads, OCHA, and humanitarian partners. The objective of IM is to ensure that relevant information related to a humanitarian emergency

is provided to the right person at the right time in a usable form to facilitate understanding and decision making. As such, Information Management has three main support functions.

- 12 **IM supports coordination.** Strong IM will ensure that actors are *working with* the same or complementary information and baseline data. Information is as relevant, accurate and timely as possible.
- 13 **IM supports needs assessment.** Information on humanitarian needs is collected through assessments and their subsequent analysis. Undertaking assessments is primarily the responsibility of clusters/sectors and individual operational organizations. However, clusters/sectors are encouraged to seek the support of an IM specialist (from within the cluster/sector or OCHA) who may support the process in a number of ways:
- a. Provide guidance on survey design and implementation including sampling, instrument development/adaptation, data collection, cleaning, storing, transformation, analysis and reporting (to ensure the quality, type and format of data collected meets the user's output needs and to advise on relevant existing data);
 - b. Provide technical advice on data ownership, processing, management and outputs for distribution.
- 14 Where they do not already exist, clusters/sectors should develop appropriate strategies and tools for data collection, interpretation and verification, with support from the cluster lead. Where possible, common, complementary or synchronized assessment arrangements should be put in place by OCHA and the cluster/sector leads to avoid over-assessment by multiple agencies. Cluster/sector leads should coordinate and share data collection efforts with the Information Management Network at the country level to ensure harmonization on data standards and avoid duplication of data collection.
- 15 **IM supports monitoring of humanitarian response.** Each cluster/sector lead should identify common standards and indicators for monitoring the progress and the effectiveness of humanitarian response within their cluster/sector. Standards and indicators should take into account existing globally-agreed standards such as SPHERE, ISO, IASC or other cluster/sector -specific norms as well as national standards or guidelines.

- 16 Once indicators have been agreed to by each cluster/sector, mechanisms for ongoing data collection and reporting should be harmonized with the Humanitarian Country Team and OCHA. Mechanisms should clearly indicate a.) **What** data are needed?; b.) **Who** will collect the data?; c) **Where** will data be aggregated and processed? d.) **How often** will data be updated? e.) **To whom** is information disseminated?

2.3 OCHA’S HUMANITARIAN INFORMATION PRODUCTS, SOURCES AND DATA COLLECTION METHODS

- 17 In a review of OCHA’s portfolio of Humanitarian Information Products, Rabinowitz (2009) explores the information processes of each product in the portfolio, defines the relationships and linkages between the products, and identifies areas of overlap and conflict between products. The portfolio of Humanitarian Information Products included in the Rabinowitz evaluation consists of Harmonized Needs Assessments, Humanitarian Dashboard, Situation Reports, CAP family (CAP, Flash Appeals, FTS), ReliefWeb Humanitarian profiles/Snapshots, UNDAC Situation Reports, 3W Database, from which a number of “personalized” products can be derived, and CERF Applications. As OCHA staff are rarely involved in collection of data from direct survey or assessment, OCHA’s products necessarily rely on data supplied by a range of sources as shown in the Table below.

TABLE 1 Information Sources (Rabinowitz 2009)

Information Sources	Information provided
Cluster leads	Increasingly, information for OCHA’s core products is (or should be) consolidated at the cluster level by the cluster lead agency before being shared with OCHA. OCHA makes its requests to the cluster lead rather than to individual agencies. This is the case for the CAP and Flash Appeals, and increasingly so for Situation Reports.

<p>Humanitarian Coordinator / Humanitarian Country Team</p>	<p>Some products require information that has been collaboratively agreed upon by the HC and/or the HCT, possibly with OCHA's support. As an example, the severity ratings of the Humanitarian Dashboard or the sections of CAP and Flash Appeals where humanitarian priorities are defined.</p>
<p>Humanitarian Agencies</p>	<p>The implementation of the cluster system has significantly reduced the direct information sharing contacts with humanitarian agencies, as most information is now consolidated at the cluster lead level. Individual agencies are primarily consulted when information is being collected on a per-agency basis, for example contacts for the 3W database or projects for FTS.</p>
<p>Donors</p>	<p>Donors are a formal information source for funding information in FTS, but not generally consulted for other products.</p>
<p>Published sources</p>	<p>OCHA products often rely in part on published sources, including reports from agencies, IFRC, media outlets, or local governments.</p>

Rabinowitz distinguishes among the following methods or ways in which data for OCHA products is collected, as listed in Table 2.

TABLE 2 Information Collection Methods (Rabinowitz 2009)

Information collection method	Description
<i>Structured information request</i>	An OCHA focal point proactively asks for specific data using a structured collection tool, for instance a Word template or an online form, or potentially just a list of specific questions to be answered.
<i>Structured self-reporting</i>	As the above method, but relies more on the initiative of the data providers. Less consistent therefore than the structured information request method.
<i>Collaborative process</i>	For some data, OCHA might engage in a collaborative process of collection, for instance an email discussion or a face-to-face workshop
<i>Unstructured requests</i>	When asking for a general category of data, for instance “your latest needs assessment”. Standardization is underway.
<i>Ad Hoc requests</i>	Are made for products with varied information needs, usually in conjunction with research on published sources, and generally involve a specific request to a single agency, e.g. a request to UNHCR to provide the latest IDP population figures.
<i>Research</i>	Information collection from published sources, internal reports, or personal interactions.

2.4 THE IM RESPONSIBILITIES AT THE COUNTRY LEVEL ACCORDING TO THE OGN

- 18 The OGN on IM outlines the responsibilities for cluster/sector leads and OCHA. We have aggregated these into three general categories: IM governance, IM products and services, and IM norms, standards and policies.

TABLE 3 IM RESPONSIBILITIES OF CLUSTER/SECTOR LEADS (OGN ON IM)

Cluster / Sector Responsibilities	Category
<p>Allocate the necessary human and financial resources for IM. Each cluster shall appoint an IM focal point, who should have sufficient expertise and an ability to work with different partners and clusters.</p> <p>Contribute to inter-cluster IM coordination led by OCHA, and support efforts to ensure coherence and coordination between <i>intra</i> and <i>inter</i> cluster information management initiatives. This implies active participation in the IM Network where in existence.</p> <p>Work with OCHA to establish the systems and processes needed for effective information sharing with cluster partners related to inter-cluster coordination and cross-cluster programming.</p>	<i>IM Governance</i>
<p>Generate up-to-date cluster specific information (e.g. contact lists, meeting minutes, standard forms, policy or technical guidance, datasets, needs/gap analysis, etc.) and share it with OCHA in order to support inter-cluster data sharing.</p>	<i>IM products and services</i>
<p>Ensuring adherence to global—and taking into account national—IM norms, policies and standards.</p> <p>Establish a data confidentiality and privacy policy within their cluster, which ensures that sensitive, personally identifiable datasets are suitably anonymized. Ensure all information is age</p>	<i>IM norms, policies and standards</i>

and sex disaggregated where appropriate.	
--	--

TABLE 4 IM RESPONSIBILITIES OF OCHA (OGN ON IM)

OCHA Responsibility	Category
<p>Establish an IM Network at the country level in order to coordinate IM activities and support sectors/clusters in their IM activities, including the promotion of best practices.</p> <p>Be cognizant of those organizations with in-country IM operational capacities willing to support <i>inter-cluster</i> humanitarian response throughout the emergency.</p>	<i>IM Governance</i>
<p>Provide information products and services to the humanitarian community. Allocate appropriate IM resources, according to the nature and scope of the emergency.</p> <p>Produce a minimum set of predictable standardized information products in collaboration with clusters/sectors and make them available to all.</p> <p>Provide or make available minimum services to clusters/sectors.</p> <p>Provide standardized cross-cluster needs/gap analysis based on information provided by the clusters.</p>	<i>IM products and services</i>
<p>Suggest standards that allow for datasets and databases to be compatible in order to support inter-operability of data.</p>	<i>IM norms, policies and standards</i>

3 EVALUATION METHODOLOGY

3.1 OVERALL APPROACH

19 This evaluation mainly adopts an inductive approach, using quantitative data where available and relying strongly on qualitative data. Data was derived from primary and secondary sources, direct observation in the field, key informant interviews and a survey with all stakeholder groups at the global level. The evaluation aimed as much as possible to collect empirical evidence.

20 The evaluation approach attempted to chronologically follow on the more extensive evaluation approach developed in the Cluster Approach Evaluation Phase 2 Framework. As mentioned earlier, the purpose of the cluster approach is to achieve greater gap filling and better coverage (both geographic and thematic), as well as ownership and connectedness, through stronger predictable leadership, partnership and cohesiveness, and accountability. The review of the OGN on IM focused on the level of implementation of the guidance and its ability to support coordination, needs assessment and monitoring of humanitarian response. It should be noted here that better coordination is not an end in itself, but serves to improve the humanitarian response. The focus of the evaluation, as with the Cluster Approach Evaluation Phase 2, should therefore be on outcomes and any short term effects that are possible at country level.

3.2 GOAL-BASED EVALUATION

21 In general, three types of evaluation strategies can be distinguished (Cronholm and Goldkuhl 2003): Goal-based evaluation, Goal-free evaluation, or Criteria-based evaluation. The differentiation is made in relation to what drives the evaluation. Goal-based evaluation implies that explicit goals from the organizational context drive the evaluation. These goals were used in this review to measure the Information Systems /IM performance. The goal-free evaluation means that no such explicit goals are used. Goal-free evaluation is an inductive and situational driven strategy. Criteria-based evaluation means that some explicit general criteria are used as an evaluation yardstick. The difference to goal-based evaluation is that the criteria are general and not restricted to a specific organizational context.

According to Patton (1990) goal-based evaluation is defined as measuring the extent to which a program or intervention has attained clear and specific objectives. The focus is on intended services and outcomes of a program – the goals. Good et al (1986) claim that evaluations should be measurable and that the evaluation should meet the requirements specification.

3.3 FOUR KEY REVIEW QUESTIONS

- 22 This review focuses on the following main and key review questions, derived from the Terms of Reference, the Cluster Approach Evaluation Phase 2 Framework and comments from the IASC TF on IM.

Key Review Question	Sub-questions
<p>Key Review Question 1: What is the level of implementation of the OGN on IM?</p>	<ul style="list-style-type: none"> • How are the guidelines utilized? • What are the impediments for implementation? • What resources are available? • What elements are needed for a successful implementation?
<p>Key Review Question 2: Is the OGN on IM meeting its objective of contributing to informed Decision Making?</p>	<ul style="list-style-type: none"> • What is relevant information (and who decides on this) and is it available? • How is that information provided and to whom is it provided – who is the right person? • What is a usable forum to facilitate understanding and decision making? • How is this process ensured

	(governance)?
Key Review Question 3: What are best practices and impediments in inter-agency/cluster/sector IM?	We are looking here to identify gaps in the Guidance Note on IM, such as transition and sustainability. We also look at human and financial resources needed to implement the guidance at both the Field and Global level.
Key Review Question 4: What strategies can be identified and what are suggested ways forward?	We are looking here to identify specific ways to move the implementation of the OGN on IM forward, and strategies to achieve this objective.

4 DATA GATHERING: INTERVIEWS AND SURVEY

4.1 APPROACH AND TIMELINE

- 23 An important source of information for this evaluation consisted of secondary data, created by others than the evaluator. Such data included documents (meeting notes, situation reports, monitoring data, evaluation results, existing statistics, appeal documents etc.) and relevant literature provided at country and global level. Data was collected from relevant stakeholders (e.g. through the Web Library) and through research. Primary data was created through semi-structured interviews and a survey. Due to the scope of the evaluation, limited resources and limited time spent in case study countries, it was impossible to create primary technical quantitative data. Most primary data generated was therefore qualitative.
- 24 The semi-structured interviews we conducted were guided by the review questions listed above. They aim to complement the information collected through the analysis of secondary data, to test hypotheses, to triangulate results and to create buy-in of the different stakeholders. Interviews were held at the global (Europe and New York), regional (Cairo and Amman) and country levels (DRC, Chad, and oPt). As much as possible, interviewees were selected to cover the appropriate clusters.
- 25 The survey was targeting towards organizations participating in the cluster approach, and working in countries with and without the rollout of the cluster approach. Data was used to complement data already collected at field level and at global cluster level. The questionnaire was drafted after the first round of field missions to fill identified gaps in data collection. Following the survey, a second round of interviews was conducted at the global cluster level to reflect on the feedback from the survey. The timeline of the review is shown in Table 5.

TABLE 5 TIMELINE OF THIS REVIEW

Timeframe	Activity	Focus
January – February 2010	Field visits and interviews	Country and regional level
March – April 2010	Analysis of field data	
May – June 2010	Survey	Country and global level
June 2010	Analysis of survey data	
June 2010	Concluding interviews	Global level

4.2 INTERVIEWS AND INTERVIEW SUMMARY

- 26 In total 46 interviews were conducted during country visits to DRC (January 12-13, Kinshasa and January 15, Goma), Chad (January 18-19, N’Djamena and January 20-21, Abéché), oPt (February 2-5, Jerusalem and Gaza), Egypt (February 7, Cairo), and Jordan (February 11, Amman). The following organizations were interviewed during these visits: OCHA Regional Office for Middle East, Near East and Central Asia (Cairo), OCHA Field Offices in DRC (Kinshasa) and Chad (N’Djamena), OCHA sub-offices in DRC (Goma) and Chad (Abéché), UNICEF (Kinshasa, Goma, Jerusalem, Amman), WHO (Kinshasa, Goma, N’Djamena, Gaza), WFP / logistics (Jerusalem), IMMAP, UNDP, OXFAM, NRC, FAO, UNRWA (oPt), ISDR, and IOM.
- 27 The agenda of a particular country visit resulted from input from the OCHA country office, with additional appointments resulting from ongoing interviews. The short duration of the visit did not allow to visit every UN agency active in that country. For example, a meeting with UNHCR in Goma did not occur, despite its strong local presence and large investment in its data center. The Agenda of the different country visits and the notes taken at these interviews are provided in Appendix 1.
- 28 While the interviews were in general conducted in a most supportive and constructive atmosphere, both at the OCHA offices and the various cluster lead agencies, it quickly became clear that both were offering significant – and at times rather direct - critique

towards one another. Remarkably, both the cluster lead agencies as well as the OCHA offices were often quite blunt in their self-critique.

- 29 The survey was directed towards the country and the global level, both for OCHA and for the clusters. As such, four dedicated versions of the survey were created, according to the regional/global and OCHA/cluster distinctive targets. The survey was developed as a Google form, and was administered online through the website of the International Association for the study of Information Systems for Crisis Response and Management (ISCRAM). The availability of the survey was announced through OCHA Geneva, and was sent to a comprehensive contact list. The survey has been completed by 137 respondents in total, with 60 cluster respondents (36 at the country level and 24 at the global level) and 77 OCHA respondents (42 country level and 35 at the global level). All clusters were represented at the country as well as the global level; more details are presented in the Annex. By and large, cluster and OCHA respondents were mainly dealing with complex or protracted emergencies.

5 THE LEVEL OF IMPLEMENTATION OF THE OGN ON IM

5.1 FINDINGS FROM THE INTERVIEWS

5.1.1 CLUSTERS

- 30 To the clusters, it was sometimes felt that OCHA did not really understand how clusters functioned internally: *“OCHA needs to be aware of cluster dynamics in terms of information management”*, one cluster lead agency stated. Several cluster leads also stressed that *“OCHA should be more transparent; OCHA takes a lot of information and does not give information. There is too much one way communication (...) Everyone is giving, but OCHA is not giving back”*. OCHA was even ironically described in one interview as behaving like *“paparazzi”* in their quest for information from the clusters. While this was intentionally put as an exaggeration during the interview, it does nevertheless hint at a frustration with *“information request”* overload that results from requests from OCHA offices.
- 31 It was indeed frustrating to some cluster leads to have to deal with different staff members at the same OCHA office almost simultaneously asking for similar or identical information, leading to their suggestion that *“information requests should be pooled or coordinated by OCHA and others who need info.”* One interviewee stated rather bluntly that *“I am doing the work for OCHA instead of for my own cluster”*. The feeling of stress and work overload was shared quite generally and reflected in several statements similar to the person who said *“I have constant stress – there is simply too much work, sometimes you feel you work for OCHA”*
- 32 The key findings on the level of implementation derived from the interviews are listed in Table 6 (for Clusters) and Table 7 (for OCHA). It was clearly observed that the level of implementation of the OGN on IM at the cluster level is overall perceived as rather weak by the interviewees (from OCHA as well as the clusters). While OCHA clearly also has several challenges that are waiting for urgent further action, of which the various offices are all too well aware, the interviews indicated that the overall performance of OCHA among the clusters is perceived as adequate.

- 33 Another critical issue that was repeatedly mentioned within the clusters was the lack of resources. For those responsibilities related to intra-cluster follow-up the necessary resources were considered insufficient: *“The cluster lead should follow up on all the partners in the cluster. But there are no resources to do this.”* A general concern was expressed with the inadequate human resources that were available to the cluster leads: *“More and more is demanded from the cluster leads. The resources are not there to deal with all this. We have meetings all of the time!”* and *“very few of the cluster leads have dedicated staff. It is very difficult to do the bare minimum at the cluster level.”*
- 34 The need for adequately trained IM focal points was generally expressed at every country office that was visited. More than one interviewee however cautioned that *“having full-time IM Focal Points is an illusion. We sometimes don’t even have full-time cluster leads”*. The lack of IM Focal Points at the clusters was perceived as a serious concern by more than one OCHA interviewee, one of whom stated that *“the lack of IM focal points... I don’t know, but perhaps clusters do not want to share information?”* The lack of trust on this issue was at occasion very visible, for instance when one interviewee in the Gaza stated *“OCHA has no dedicated IM person in Gaza... and we are expected to have one...?”* Also the lengthy process in hiring adequate IM staff has been deplored at almost every duty station.

TABLE 6 FINDINGS FROM COUNTRY VISIT INTERVIEWS - CLUSTERS

Category	Findings
IM Governance	<p>The necessary human and financial resources for IM are in general lacking or of secondary concern. IM focal points are often not appointed, or at best assigned as an additional task to a cluster member. The TORs of the IM focal point are often not defined. There is no agreed standard on the required level of expertise of the IM focal point. There is no evaluation of the ability of the IM focal point to work with different partners and clusters. The recruitment process to hire an IM person takes too long.</p> <p>Clusters have in general good intentions to work with OCHA to establish the systems and processes needed for effective information sharing with cluster partners related to inter-cluster coordination and cross-cluster</p>

	programming.
IM products and services	<p>The clusters do contribute mostly in an ad-hoc way to inter-cluster IM coordination, the lead of which is OCHA’s responsibility. Support is weak to efforts to ensure coherence and coordination between <i>intra</i> and <i>inter</i> cluster information management initiatives. There is no self-assessment at the cluster level on the performance of inter-cluster coordination.</p> <p>Clusters have in general good intentions to share cluster specific information (e.g. contact lists, meeting minutes, standard forms, policy or technical guidance, datasets, needs/gap analysis, etc.) with OCHA in order to support inter-cluster data sharing. There exists however a general feeling of discomfort among the clusters with the required formats of those information sets, and the lack of feedback that is received on the information that has been supplied.</p>
IM norms, policies and standards	<p>There is a general lack of effort to ensure adherence to global—and taking into account national—IM norms, policies and standards.</p> <p>Data confidentiality and privacy policies within the clusters are in general lacking. Evidence on age and sex disaggregation of information where appropriate was lacking.</p>

5.1.2 OCHA

35 The cluster approach in general was frequently the subject of critical observations by interviewees at OCHA offices. For instance, we were told on more than one occasion that *“clusters have become way too institutionalized”*, or that *“creating clusters has weakened OCHA and aggravated the difficulties of coordination”* or other similar such expressions of discontent with the cluster approach, with the concern specifically on the impact of the lack of cooperation from the clusters on Information Management. As one interviewee stated: *“OCHA often finds itself in a very vulnerable position. We got to obtain information from the*

clusters but have no guarantee in getting it". It was also felt by several interviewees that cluster accountability is lacking.

- 36 While OCHA's information products, and specifically its mapping products, were widely perceived as very beneficial – and OCHA maps could indeed be seen displayed in almost every single office that was visited for this review – the lack of additional analysis or reflection was often deplored: "OCHA should be offering more analysis, more reflection – not just serve as a secretary office." That view was shared widely even among the OCHA offices visited, where one IMO stated that *"we (OCHA, ed.) should be offering more analysis of our data. Our partners are really expecting this from us but we are not doing it"*.
- 37 In general, assessing the performance of an OCHA office was recognized by its own staff as being a very informal process: "our performance evaluation is based on indirect feedback: request for more maps, other formats,... but there is no formal evaluation of how we are performing." IMOs at the field level indicate that communication with Geneva can be further improved to (mutually) maximize their performance. What has to be avoided is the perception of being only at the receiving end of the communications, expressed as follows by one of the respondents: "We do not have contact with OCHA Geneva or New York. It is like they send us the bible and we have to say 'amen'. They do not consult with us."
- 38 Also in terms of needs assessment, a rather deep gap appeared between the OCHA and cluster perspective. As one OCHA interviewee stated: *"People go on assessment and do not check what OCHA could do for them"*, while one cluster lead concluded that *"OCHA should have grabbed the assessment issue from the beginning... but it didn't..."*. A survey respondent stated that *"Realizing that each context is different, OCHA currently lacks basic templates for performing even basic rapid needs assessments. There is also little understanding or guidance on how to conduct population estimates or to guide other agencies on how to do so"*.

TABLE 7 FINDINGS FROM COUNTRY VISIT INTERVIEWS - OCHA

Category	Findings
IM Governance	OCHA does <i>not consistently</i> establish a formal IM Network at the country level in order to coordinate IM activities and support sectors/clusters in

	<p>their IM activities, including the promotion of best practices.</p> <p>OCHA is in general cognizant of those organizations with in-country IM operational capacities willing to support <i>inter</i>-cluster humanitarian response throughout the emergency. However, formal agreements are lacking.</p>
IM products and services	<p>OCHA does provide a wide variety of information products and services to the humanitarian community. In general, the appropriate IM resources are assigned, with a few exceptions.</p> <p>OCHA has produced a minimum set of predictable standardized information products in collaboration with clusters/sectors and made available to all. The standardization however is often experienced as cumbersome and too restrictive by the clusters. However, this appears to be mainly due to the lack of IM expertise at the cluster level.</p> <p>OCHA does provide or make available minimum services to clusters/sectors.</p>
IM norms, policies and standards	<p>OCHA does suggest standards that allow for datasets and databases to be compatible in order to support inter-operability of data. However, the follow-up on compliance with standards (or the lack thereof) is often insufficient and difficult to correct.</p> <p>OCHA does <i>not consistently</i> provide standardized cross-cluster needs/gap analysis based on information provided by the clusters.</p>

5.2 FINDINGS FROM THE SURVEY

39 The opinions of the clusters and OCHA respondents at the country level on the feasibility of the division of labour as described in the OGN largely are aligned, with half of the respondents providing a neutral answer and the others being largely positive. A rather opposing view emerges on the level of implementation of the OGN at the field level: the

cluster respondents overall consider the level of implementation of the OGN to be low, while the OCHA respondents overall consider it to be high.

- 40 A key reason for a *low level of implementation of the OGN on IM* is the lack of human resources, with lacking financial resources closely but distinctly following as second cause. These factors are obviously not independent, as a lack of finances may prevent hiring additional people. The higher score for ‘lack of human resources’ indicates that this is the effect that is felt the most in day to day operations.

In case of a *high level of implementation*, the following reasons were indicated by the Clusters/Sectors:

- leadership of the HC and good coordination within clusters
- a good database (ideally available online)
- cluster meetings held every month at which partners and OCHA participate (the IM Network)
- dissemination of information via bulletins and website

OCHA respondents provided for a number of conditions for achieving such a *high level of implementation*:

- “Head of OCHA/RC/HC values IM and supports the implementation of OGN as routine practice”.
- “I would say the strongest buy-in to the OGN is actually from technical people entirely outside of the Cluster Focus system, for example IM NGOs, Openstreetmap and Ushahidi implementers”.
- “Have the IM Network report to the Cluster Coordinators (group). Thus Cluster Coordinators (as a group) would task the IM Network during a meeting.....resulting in all clusters seeing that decisions/work the IM Network would be responsible for (amongst others)”;
- “When a lead agency establishes IM capacity for their normal business operation.”
- “Priority to the OCHA office, products developed and refined over time, continue to develop and improve analysis, key staff have received structured training, including mentoring, regular constructive and positive input from a variety of partners to improve products (UN, NGOs, Donors)”

- “The most important driver is the successful implementation of the cluster system in the country. Low turnover of key IM focal points has also contributed.”

TABLE 8 FINDINGS FROM THE SURVEY - CLUSTERS AND OCHA

Category	Findings from Clusters and OCHA
IM Governance	<p><i>Awareness of the IM responsibilities:</i> OCHA at the global and country level has a higher degree of awareness of the IM responsibilities as described in the OGN, compared to that of the clusters at the corresponding levels. Clusters at the country level are significantly less aware of the IM responsibilities.</p> <p><i>Acceptance of IM responsibilities:</i> Cluster respondents at the country level indicate that the IM responsibilities for cluster/sector leads are moderately well accepted among their cluster partners, while they however agree more that the IM responsibilities as outlined in the OGN provide effective and efficient guidance.</p> <p><i>Strength of internal IM processes:</i> At the global level, a majority of cluster respondents have a rather more negative view on their internal IM processes, although 20% also consider these processes as strong. Close to half of all global OCHA respondents provide a neutral response, while the remaining respondents have a more positive view on the strength of their internal IM processes.</p> <p><i>Support provided by the global level:</i> Most respondents, both at the clusters and OCHA, do not have a clear opinion on the support for problems with the implementation of the OGN provided by the global level. The opinions are equally distributed from strongly agree to strongly disagree. For the OCHA respondents, most did not provide a (strong) agreement nor disagreement. The distribution of opinions by the clusters may reflect the different conditions in the various countries.</p> <p><i>Regional support:</i> A majority of OCHA and cluster respondents (strongly) agree with the need for the regional level to play a stronger role in IM capacity building and IM support to the country offices.</p> <p><i>IM Focal Point – IM Network:</i> The opinions on the existence of an IM focal point in the cluster vary widely among the clusters, and similarly OCHA respondents provide a wide range of opinions on the availability of an IM</p>

	<p>focal points contact list. This points at a rather significant lack of uniformity, both at the clusters and at OCHA. The same finding holds for the existence of IM network exists within their country.</p> <p><i>Accountability:</i> OCHA respondents overall strongly agree with the statement that the cluster/sector lead at the country level is ultimately accountable for the functioning of IM within the cluster/sector. However, this is not as strongly shared at the cluster level: while half of the cluster respondents still agree with the accountability, their opinions are less pronounced.</p> <p><i>Procedures for responding to requests from the country office:</i> Global cluster respondents show a varied response to the question whether at the global level procedures are well established for effectively and efficiently responding to requests from the country level for additional IM expertise, operational support, general guidance and training materials. OCHA respondents are more positive in their response.</p> <p><i>Allocation of additional resources:</i> More respondents at the clusters and OCHA (strongly) agree that in the absence of sufficient financial resources to support the Cluster/Sector Lead IM responsibilities at country level, additional resources should be allocated from the Global level, and this according to procedures that need to be established. We note that none of the cluster leads disagrees strongly with this statement, while still 17% of the OCHA respondents do.</p>
IM products and services	<p>About 20% of the OCHA and cluster respondents (strongly) disagree that effective and efficient processes for information sharing exist. More than half of the OCHA respondents and 37% of the cluster respondents (strongly) agree with this, while 44% of the cluster respondents are neutral.</p> <p>Cluster respondents mostly disagree with the statement that they are working with the same or complementary information and baseline data across different clusters/sectors. In stark contrast, OCHA however is largely agreeing with this.</p>

	<p><i>Analysis capacity:</i> OCHA respondents very clearly strongly agree on increasing the analysis capacity of OCHA to contribute to a better situational understanding, while the opinions of the clusters are more equivocal, although a majority agrees with this.</p>
<p>IM norms, policies and standards</p>	<p>Regarding the harmonization of data standards and avoiding duplication of data collection, OCHA respondents are equally divided in their agreement with this statement, while cluster respondents are overall more negative.</p> <p>OCHA respondents disagree significantly more that a data confidentiality and privacy policy which ensures that sensitive, personally identifiable datasets are suitably anonymized is well established at the global level. Cluster respondents are more in agreement with this.</p>

6 THE CONTRIBUTION OF THE OGN ON IM TO INFORMED DECISION MAKING

- 41 The overall sentiment of the interviewees at both cluster and OCHA level was the Guidance Note on IM contributes to informed decision making. However, it was impossible to provide an answer in a more quantitative way, but was often stated through a (logically false) counter-argument: “if this would *not* be the case, we would have received complaints”.
- 42 The decision making process is overall an informal process, based on the exchange of information during a face-to-face meeting. The impact of information provided by the cluster leads or by OCHA to the decisions made therefore cannot be clearly assessed. Feedback to the information provider is often lacking or mostly informal. It is therefore impossible for the provider to identify what information elements were relevant. The actual decision making process appeared out of scope of most information providers’ radius of involvement. Information is sent out, and gets possibly shared, but lack of feedback to the sender prevents the information loop to close.
- 43 As a consequence, OCHA typically *provides* “more of the same” (e.g. more maps) and *asks* for “more of the same” data. In one case, it was found that OCHA issues multiple and uncoordinated information requests from different parts of a single OCHA office. This “blind” IM process increasingly loses its acceptance among cluster leads and consequently the motivation to share information decreases. To avoid this, OCHA should develop an information collection plan at the office level.
- 44 The survey indicated that on the *existence of reporting processes within the cluster so that actionable information on the performance of IM* at the country level is available to the global level, the cluster respondents provide very fragmented opinions, ranging from disagree to strongly agree, while at OCHA respondents are slightly more in agreement with this. At the country level, OCHA respondents are overall in agreement that *the collection, processing, interpretation and dissemination of information* is strong between the clusters, while cluster respondents overall agree less with the statement.

- 45 The **decision making process is disconnected from the IM process**. There is no 'closed loop' from information gathered in the field to the decisions made on the basis of that information, and conversely the decisions made do not provide for revising or fine-tuning of the information gathering processes in the field. The decision making process should be clearly defined around the Information Management outputs. Appropriate mechanisms to incorporate this can be identified, with the CAP serving as a likely candidate.

7 BEST PRACTICES AND IMPEDIMENTS IN INTER-AGENCY/CLUSTER/SECTOR IM

- 46 IM at the inter-agency or cluster level is driven by individuals who are highly motivated to achieve high quality work. Often these individuals express feelings of insufficient understanding of their role from their local management, as well as being disconnected from the HQ level. The support function from global to local is often found to be missing. There is no clear linking between global and local cluster lead with respect to the IM function. IM information or instructions from HQ are often perceived as abstract, not applicable to the country or field situation. Moreover, it was mentioned that HQ visits sometimes are perceived as an additional burden and not providing solutions to the problems that are being experienced.
- 47 Due to short-term assignments, the turnover of IM staff in some locations is very high. This sometimes leads to an immediate and unrecoverable loss of specialized knowledge of the local humanitarian situation. The arrival of new staff is sometimes delayed, therefore no handover can take place between the departing and arriving IM staff, and training of new staff is considered inadequate. Lack of dedicated and experienced IM staff at the clusters is seen as hampering a full implementation of the OGN on IM. It is suggested that global cluster leads/sector leads influence country specific cluster/sector leads to provide IM focal points within their organization - which is not the case so far.
- 48 Inter-cluster meetings typically are “face-to-face” verbal meetings of which meeting notes are created by OCHA staff as a rule. However, it would be helpful if these notes would support the meeting in a more pro-active manner. In particular, a follow-up analysis based on the meeting notes would be considered as helpful in advancing the meeting process. Apart from this operational ‘secretariat’ implementation of IM, the role of OCHA in inter-cluster support is not clearly specified.
- 49 The Information Management products provided by OCHA are well-defined and have become the “de facto” information products used in humanitarian emergencies. While this situation has definite advantages, it may in some cases be a too rigorous and limitative approach, ignoring useful IM innovations that have been developed in the field. It is important that a strategy is developed for dealing with innovative solutions developed in the

field. As examples found during our visits, OCHA had developed an 'informal' mailing list or Google group which despite its effectiveness was not officially acknowledged as an information channel by OCHA HQ. A similar experience was shared in another case with respect to a similarly informal website that proved an effective means for inter-cluster communication.

- 50 Some participants regretted the lack of "analysis" by OCHA to the information they collected or received. Information is formatted (for example in a map) but does not provide (much) additional analysis. This analysis capacity was mentioned by several respondents to have been present at the HICs, but has since diminished or even disappeared - for reasons which are not entirely clear.
- 51 Needs assessments are currently often lacking a fundamental IM approach and appropriate methodological foundation. Some respondents reported missions in the field that were executed without a sound methodological basis. The role of IM in the Needs Assessment process is currently **critically underdeveloped**. There is a need for a well-defined and continuous IM involvement and flow from designing the Needs Assessment methodology, to the execution and coordination of the Needs Assessment activities, and up to the Monitoring and Evaluation processes.
- 52 Based on the interviews, we clearly observed that various ad-hoc impediments and best practices have been identified. It was suggested widely that OCHA should develop a strategy to capture these consistently at the country level and build up a regional or global knowledge base. This knowledge base should support the country offices in dealing with their day-to-day IM challenges. A major challenge is seen in the role of IM in the needs assessment process: the importance of IM is clear, yet a vision and implementation is lacking.

8 STRATEGIES AND SUGGESTED WAYS FORWARD: IMPROVING THE OGN

- 53 The survey provided ample suggestions to improve the OGN on IM. The findings of the survey indicate that the OGN would mostly benefit from a more targeted description of different types of emergencies, followed closely by more elaborate case descriptions of actual use and additional examples. Overall OCHA considers the document more clearly structured than the clusters, both at country and global level. Overall, the clusters at global level provide a slightly less positive evaluation of the structure of the OGN. In the following subsections, we will summarize the recommendations for the various categories of respondents, at country and global level, from the clusters and OCHA.
- 54 One survey respondent stated that *“overall the document is excellent and clear. What I most like is that it is emphatic on the division of responsibilities. What is unclear is that it seems to be directed to us in IM, but the HC/RC does not share directly in implementation, for which it becomes an “IM” thing, when it clearly is something to be implemented among all partners. All members of a local IASC structure must have buy in for success to occur”*.
- 55 It should also be noted that the OGN does not give indications on how to behave in a situation where there are sectors (e.g. after the clusters have been phased out). There is not officially an obligation to appoint sector IM focal points and no resources for IM within the sectors. How then can OCHA encourage the sectors to be active in IM? What kind of IM network can there be outside of the cluster system? As one survey respondent noted, *“The OGN makes no distinction and gives the impression that the situation is the same whether there are clusters or sectors.”* This is a critical issue that should be taken up in the refinement of the OGN.
- 56 One respondent rightfully noted that the OGN is more focused on and relevant to the requirements of the programmatic clusters rather than the service clusters (ETC and Logistics). The respondent states however that *“...this is appropriate because the programmatic clusters deal directly with the impacted populations; whereas the information needs of the service clusters tend to be more specialized and technical to support the internal cluster operations/activities which are generally not of relevance for the other clusters.”*

- 57 Tables 12 and 13 below list a number of concrete recommendations, from both clusters and OCHA at country and global levels, to move forward and improve the OGN on IM.

TABLE 9 RECOMMENDATIONS FROM THE CLUSTERS

Clusters at country level Recommendations
<p>The OGN on IM needs to be shared with all the other partners in the different clusters and also with the local government.</p> <p>There are various ways that IM can be implemented and adopted and it would be interesting to be able to see the 'menu' of what is available in terms of IM tools. Each cluster would then be able to choose the options most appropriate while at the same time being informed of what other clusters are implementing.</p> <p>Training of all cluster members for a better implementation of the OGN at the country and regional level. Dedicated orientation sessions for newly recruited Cluster lead personnel on the OGN and the different responsibilities</p>

Clusters at global level Recommendations
<p>There should be clearer accountabilities between Cluster/Sector leads and Agencies.</p> <p>There should be more emphasis on the responsibilities of national authorities and guidance to clusters on how to support and build on, rather than sideline, national IM systems.</p> <p>The challenge is the implementation of the provisions of the OGN, by providing the tools, standards and processes needed to achieve the objectives of the OGN. This can be achieved by the successful completion of the Terms of Reference of the IM Task Force and the associated working groups on Common Operational Datasets, OneResponse, IM Distance Learning program, standardization of tools, etc.</p> <p>More focus on responsibility of global to ensure country is functioning well on IM, providing</p>

systems for them, etc. Information should be focused on needs, not only what agencies are doing.

A Newsletter or regular updates to highlight good practices worldwide help to see other activities from different agencies and help facilitate the understanding of the practice as implemented by others (this is linked to the examples and case studies). Video material would be good as an introduction/overview/training/outreach, etc.

Commitment of lead Agencies is crucial, not only in IM but also to ensure dedicated cluster leads. Most of the time cluster leads and IM focal points are Lead Agency staff members, meaning that they first serve the agency and then the cluster. It is very difficult to get IM focal points and cluster leads to work together for the benefit of cluster members if they are not committed.

TABLE 10 RECOMMENDATIONS FROM OCHA

OCHA at the country level Recommendations

Address key steps to implement at country level. List the detail activities that individual cluster should follow. Collaboration with government agencies is not clearly mentioned in the operational guidance.

Given that human capacity could be a major impediment to making progress on the OGN, it could be beneficial to prioritize activities for offices with insufficient to sufficient capacity. Pointing out where potential synergies could be tapped for maximum benefit could also be useful. For example in countries where there are existing structures in place piggy-backing on these structures for IM initiatives could be a good tactic rather than creating whole new bodies.

In sudden onset emergencies, we often face the challenge of low levels of appreciation of the OGN, or even the Cluster system (often absence). Perhaps we need a different approach or set of guidelines for this type of emergency taking cognizance of the above.

It is time that a detail of IM best practices and resources available to country level Clusters is available. This could include IM background, instructions, key actions, best practices and references on key IM responsibilities if not each of the IM responsibilities for the clusters. A stocktaking

exercise of IM resources available across each of the clusters would benefit country level Clusters in understanding what resources they have at hand.

For the OGN to be more implementable I would suggest incorporating examples of how each of the bullets could be achieved and how they naturally fit in the overall operation. For example in my office "Monitoring of Humanitarian Response" is performed within the framework of the Consolidated Appeals Process and not as a stand-alone exercise. As the CAP is a strategic document on needs analysis, recommended action and performance monitoring by each Cluster, this is a natural fit for monitoring activities.

OCHA at the global level Recommendations

The OGN should contain a section on data preparedness and networking during the preparedness phase.

Additional examples could be how the OGN is implemented in different types of emergencies. Also, would like a generic timeframe of when products/services are expected to be delivered in a common emergency.

Change the format and make it more lively document by integrating stories/lessons learnt in a graphical approach. It would make the document more appealing to read and provide good experience to readers. With its current format, it is a bit dry and boring. The OGN document would benefit from specific examples of common challenges and how these challenges were addressed.

Include a section on how to monitor/assess IM and implementation of the guidance note. A set of indicators would be useful.

Include information on what support is available to cluster/sector leads at the global level to field staff, equipment and systems to meet their IM obligations. Explicitly state that cluster/sector leads are responsible for maintaining and sharing baseline data. In general, there needs to be a better communication strategy and supporting material around the guidance note.

9 OVERALL CONCLUSION

As stated earlier, the findings presented above stem from a variety of sources – phone interviews, survey results, in-person interviews and on-site observations during field visits – and are necessarily based on partial and fragmented observations of the complex and diverse humanitarian domain. All findings should therefore be taken with caution, and it must be acknowledged that no single cluster lead agency or OCHA offices will necessarily suffer from all of the challenges we have identified here. The picture we paint is broad-brush, and may not do justice to some of the fine IM practices that operate at the global, regional and country level.

Despite these obvious shortcomings, the findings of this review pointed out some overall trends and widely shared opinions, on which often times both cluster agencies and OCHA were in considerable agreement. These findings lead us to the formulation of five main recommendations:

1. The **accountability** of the cluster leads in implementing the OGN on IM should be clearly defined, and consequences in the lack thereof should be specified. This includes the availability of human and financial resources. It is also recommended to develop common Terms of Reference for the various levels of the IM staff in the cluster approach.
2. IM governance is the process by which organizations align their IM actions with their performance goals, and assign accountability for those actions and their outcomes. Because outcomes are often hard to measure, explicit responsibilities for desired outcomes must be assigned and it must be assessed how well they are achieved. OCHA should strive to develop such a **coherent IM governance approach**. This includes processes to avoid “information request overload” towards the clusters, as well as processes to close the “information-decision making” feedback gap.
3. OCHA should expand its responsibilities as secretariat to include **information analysis and assessments** and provide these to the cluster leads. This will bring added value to the information that the clusters have provided, and provide the cluster with a sense of genuine collaboration rather than a feeling of serving as an information provider. This should be done in close cooperation with the various entities of the OCHA office as well as with the subject experts present in the clusters.

4. For both OCHA and the clusters, the **supporting role of the global level** to the country offices should be revised and further developed. This includes strengthening the role of the regional level as an intermediary to provide support to their respective countries. Joint OCHA-cluster training sessions should be organized, as well as “debrief” sessions from clusters following the ending of operations during sudden-onset disasters. At the global level, OCHA should envision the creation of a global IM network by expanding the current IASC TF on IM, thereby including more operational issues and removing the existing time boundaries. There should be a clearly defined task description of the IM Network vis-à-vis the cluster coordinators, to increase awareness and involvement among the clusters in the decisions and work the IM Network would be responsible for.

5. The role of **IM in the Needs Assessment** process must be urgently developed. This includes a well-defined and continuous IM involvement and flow from designing the Needs Assessment methodology, to the execution and coordination of the Needs Assessment activities, and up to the Monitoring and Evaluation processes.

Report on the Review of the Operational Guidance Note on Information Management

Bartel Van de Walle, PhD

June 21, 2010

[Report presented to the IASC Task Force on Information Management on 16 December 2010]