Action Points adopted by the IASC Principals on 21-22 February and 19 April 2011
Progress update, 6 October 2011
Important notes: For brevity the table only includes summary recommendations and statements of progress

Explanatory Notes:
Action point numbers correspond to the numbering used in the summary records of the meetings.
PTT : Principals' Task Team, DTT: Directors' Task Team

Colour coding: **Making Progress?**   **Green** = Completed or Good progress,   **Orange** = Some progress,   **Blue**= Limited/no progress
                      Will meet deadline?   **Green** – Done/On track,   **Orange** = Delayed   **Blue** = Need to review/revive
                      Grey = no information

Mtg	No.	Abbreviated Action Point	Making Progress?	Will meet deadline?	Suggested actions
1. Humanitarian Leadership and Coordination					
Leadership					
Feb. Apr.	# 1 #16	Principals' Task Team will develop proposals for an inter-agency rapid response team, The first inter-agency rapid response team members to be ready for deployment by 1 November 2011.	Matrix of agency surge response capacity partially completed	Deadline was 1 November for first deployment	Complete mapping Undertake gap analysis Send to Principals
Feb.	#2	IASC organisations should boost their human resource capacity for humanitarian response (*'Action by' not decided at the meeting*)	No information		In effect, superseded by IA rapid response mechanism initiative.
Feb. Apr.	#3 #4	ERC to discuss appointment of RC/HCs with the UNDP Administrator, as the Chair of UNDG, preferably on joint recommendation – ERC to report back – Principals to consider outstanding challenges	ERC and UNDG Chair agreed to meet after each IAAP to discuss candidates to be put forward to the SG		New proposed procedures to be agreed by Principals then monitored. (Opportunity arises to test as several RCs to be appointed soon in countries of concern).
Feb.	#4	ERC to share OCHA's plans for improving performance and support of HCs in seven priority countries	OCHA plans were shared with the IASC. Since then OCHA has agreed plans for specific deployments for major emergencies OCHA will establish an HC Support Unit	Deadline of September was met	Further refinement of OCHA commitments on deployments to be explained at/before Dec. Principals meeting

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Apr.	#8	OCHA to propose actions to strengthen adherence to HCT guidance, including OCHA support to the HC in management of HCT. *Action by: OCHA by September 2011*	DTT discussions will propose strengthening of the accountability between HC and HCT	Deadline not met,	DTT will propose strategic framework for HC-HCT accountability. In 2012, inter-agency rapid response training will cover HCT relationships
Feb.	#5	Develop a guide on how international humanitarian response systems engage with national government and non government actors and explain principles governing humanitarian action.	OCHA in 2 regions (LAC/MENA) has drafted guideline for governments on international response coordination.	No deadline was set	A generic guide to be produced drawing on regional examples.
Feb. Apr. Apr	#6 #19 #10	IASC agencies to review own progress in integrating responsibility for collective results into job descriptions and staff appraisals of country reps and cluster coordinators,. IASC organizations report on steps to include engagement/support to the HCT in performance review of country/regional rep.	Before and since July WG – where discussed- all bar one organisation have provided information. DTT proposes the adoption of a 'strategic framework' at country level	Initial deadline of July 2011 Working Group was met with partial information	SWG on L+C to analyse obstacles and make proposals for further integrating collective results to key documents/processes. If agreed, strategic framework for mutual accountability of HC/HCT members to be developed.
Apr.	#7	Communication from heads of IASC organizations to Country Representatives/Directors on engagement and support of the HCT as the primary forum for strategy and decision-making	Letter drafted and awaiting comments from the SWG on L/C	Message was due July	To be finalised by mid-October, then consulted with Principals. Should be ready to send by end October.
Apr. Apr. Apr.	#1 #2 #3	Agreed that the HC Panel will be convened systematically to recommend to the ERC a coordination model (HC, RC/HC, DHC) and candidate(s). If HC Panel recommendations not followed ERC will report back to the IASC Principals on reasons why. IASC Organisations to propose candidates to the HC Panel 24	HC Panel may agree to disband in its current form, instead: 1. ERC to discuss RC appointments with Chair UNDG after IAAP, 2. RC assessment centre to be replaced by RCHC centre.	No deadline set	Principals to be sent a communication on these new developments. DTT proposes biennial meetings of HC Panel reviewing the performance of HCs.

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		hours in advance.			
Apr.	#6	IASC organisations on the IAAP to give full consideration to candidates recommended by the HC Panel	Uneven attention in practice		Need to resolve whether this recommendation is still relevant in the light of DTT proposals (see above)
Apr.	#5	Agreed to propose at least three candidates per IASC organisation, for the HC Pool	No information so far	Due date is December	Report of Principals nominations to be compiled in January 2012.
1.2 Cluster Coordination					
Feb. Apr.	#7 #12	Clarify and strengthen inter-cluster coordination - finalize guidance on inter-cluster coordination at the country level.	Draft guidance presented to the DTT – discussed but not agreed.	Deadline was end June	Underlying concepts still to be resolved by PTT/Principals
Feb.	#8a)	Define how organisations can 'opt-in' to a country-level cluster (NGOs to advise on the minimum requirements)	Three NGO consortia have proposed minimum commitments for cluster participation	Deadline 1 September met	Consultations with IASC organisations to be concluded
Feb	#8b)	Establishment of a limited strategic group of organizations with the most operational capacity. (*'Action by' not decided at the meeting*)	No one was tasked. The issue is still live but no progress		SWG on cluster approach to develop a proposal before Nov. PTT.
Apr. Apr Apr	#9 #14 #15	NGO participation in HCTs enhanced IASC NGO consortia to lead consultations to agree minimum commitments Work with other IASC organizations to agree country-level cluster participation criteria.	NGO consortia have just (5/10) submitted a proposal NGO participation in	Deadline Sept 1 was met	Minimum commitments to be reviewed and agreed by all IASC organisations. DTT supported NGO sharing cluster leadership, where feasible.
Feb. Apr.	#9 Ann ex	Retain but revise the responsibilities of the Provider of Last Resort; Suggest a more adequate definition for "provider of last resort",	DTT has a proposal based on modified 2008 POLR definition	No deadline was set	Agree new POLR guidance and send for Principals endorsement.

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Apr.	#18	Completion IASC Guidance on Cluster Coordination with national, sub-national structures and local governments.	Guidance note completed, endorsed by the IASC WG and shared.	No deadline was set	DTT retreat called for review
Feb.	#10	Clusters to support and be consciously integrated into national coordination structures	No analysis available		DTT proposes review of how well this is happening alongside a wider review of cluster activation and deactivation
Apr.	#17	Agreed that the ERC will convene an ad hoc Principals meeting within 48 hours of a major new emergency	Procedure tested with Libya	No deadline set	Prepare Standing Operating Procedure
2. Accountability for Performance					
Feb. Feb.	#11 #12	Agreed to establish a performance framework for humanitarian action, Agreed to strengthen inter-agency monitoring using the performance framework as a basis for assessment, and reporting to the ERC.	Idea of a performance framework was essentially superceded by the April specific decisions on accountability CAP, Peer Review, RTE etc.	No deadline set	
Apr.	#20	Clusters to develop clear strategies that lay out its collective results how results can be achieved. (PTT to propose pilot process)	CAP guidance was enhanced. Otherwise no progress on plans for pilot process	Deadline of end July not met	PTT to agree how/whether to proceed with the pilot process to develop cluster strategies for collective results
Apr.	#22	Agreed that CAPs and CHAPs need to be more strategic, with well-developed cluster strategies	2012 CAP Guidelines revamped with more guidance on being "strategic" and specifying clear deliverables	Deadline was for PTT to discuss in September	CAP SWG will do light review of 2012 CAPs for how strategic they are, against set criteria, before the December Principals meeting
Feb. Apr.	#13 #23	Agreed to establish a system for HCTs to undertake peer reviews. Agreed to pilot a peer review process.	DTT will recommend peer review not adopted at the moment- rather 360° review mechanism.	Target was 2 pilot countries before Dec Principals	Agree how/whether mutual performance review between HC and HCT members is to be instituted
Apr.	#21	OCHA to identify good practices in the	2012 CAP Guidelines include best	Completed	Suggest circulate more widely

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		development of strategic CHAPs and circulate these examples to all HCs	practices Guidance paper on "Role of the HC in the CAP." prepared.	before December deadline	document on Role of HC in CAPs to the Principals
Apr.	#24	RTEs to 1) provide practical and immediately implementable recommendations 2) focus on specific aspects of the humanitarian response 3) be undertaken for complex and conflict-related emergencies.	Procedures have been updated to include complex emergencies The guidelines require real-time feedback and at country level. Complex emergencies are included	Completed by September as planned	Note - Procedure has been modified as requested but DTT discussion implied need for further focus on coordination arrangements for quicker RTE results. Revised RTE procedures require WG endorsement
Apr.	#25	Implement the recommendations of Real Time Evaluations..	ERC shared compilation of 24 RTE global level recommendations with Principals in August	Completed by September as planned	No further response is expected from Principals Ensure global recommendations included in IA-RTE evaluator briefing
Apr.	#26	Clarify relationship and accountability between the cluster coordinators, agency country representatives, HCTs and the HCs and OCHA.	DTT will make a proposal on 360 degree accountability	Deadline was not set	DTT proposal to be considered by PTT on 10 Oct
3. Accountability to Affected People					
Feb.	#14	Organisations commit to build accountability affected people into internal procedures	See #29 below	No deadlines were set	
Apr.	#27	Include accountability to affected populations in all relevant statements/policies by the end of 2012. Reflect in agreements with operational partners.	No information	First progress report needed by mid November 2011	Allow 6 months after Operational Framework agreed for a first report, ie mid 2012 instead of .
Apr.	#28	Needs assessment as well as monitoring, review and evaluation processes (including IA-RTE); systematically include participation of	Multi-cluster/sector Initial and Rapid Assessment tool calls for affected persons' input into the designation of needs	Deadline of September	Evaluate after one year whether participation is taking place in these processes

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		affected population	IA RTE TOR state requirement for "*direct consultations with affected populations* "		
Apr.	#29	SWG on the Cluster Approach to propose inter-agency mechanisms for participation, information provision, feedback and complaints handling.	The sub-group of the SWG on the Cluster Approach has agreed an 'operational framework'. Active contributions from NGO accountability initiatives	Proposal to Principals on track for mid November	Principals review/agree framework in December. Meanwhile SWG sub-group will engage with NGO pilo
Apr.	#30	New information on the emergency situation, and humanitarian responses systematically communicated to affected populations.	Draft 'Operational Framework' includes communications, and opening information systems to affected communities, otherwise progress limited	No deadline assigned	Commitments in 'operational framework' to be agreed by Principals
4. Building National Capacity for Preparedness					
Apr.	#31	Requested UNDP; WB to redraft the background paper with specific actions points	Paper has been revised twice and is about to be submitted to the ERC for review.	Multiple consultations have caused delays	To be circulated to ERC and Principals for consideration/approval
Feb.	#15	Requested the preparation, by the IASC Sub-Working Group (SWG) on Preparedness, of 1) report mapping the current contribution of actors to preparedness and 2) a mapping of institutional DRR and preparedness capacities and activities	Part 1 completed and included in revised UNDP/WB preparedness paper. Part 2 completed Ghana, limited uptake in other countries	No deadline set	Possible mapping of capacity to be led by CADRI[1]. Possible new countries Mali and Philippines (not in line with Principals request to tackle countries in deep crisis)
Apr.	#32	Agreed to support the initiative on building capacity for emergency preparedness in Nepal, Ghana, Uganda and Haiti, as already initiated by the IASC Sub-	Good progress in Ghana but little in Nepal, Haiti, Uganda. CADRI is gaining more acceptance as a support mechanism.	Deadline not until 2012	Requires: greater engagement by RCs, and full time dedicated focal point in country (as per Ghana)

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[1] Capacity for Disaster Reduction Initiative

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		Working Group on Preparedness. *Action by: SWG on Preparedness.*	More emergency simulations are being done with governments eg Haiti		SWG to undertake lessons learnt exercise for 2011.
Feb.	#16	Welcomed the World Bank's offer of technical and financial support to the development and implementation of national preparedness and recovery plans,	WB has explained its conditions for funding – primarily to governments, only exceptionally via the UN	n/a	Explore potential for World Bank funding to governments to improve buy-in by country teams
Feb.	#17	Agreed to initiate a dialogue with development and humanitarian donors on funding 'divide' between preparedness, relief and recovery, with the ERC taking the lead to convene the relevant parties.	No progress - no action was assigned		Determine who is to carry this forward
Apr.	#33	Agreed that UNDP, as the Chair of the Early Recovery Working Group, will make recommendations to the IASC on how early recovery can be further strengthened.	Paper discussed between UNDP and IASC Sect - now being revised	Deadline was June 2011, not met	
5. Advocacy and Communications					
Feb. Apr	#18 #35	Communications directors 1) keep an overview of media messaging by IASC organisations and address communications gaps 2) determine 2-3 main themes per year, 3) agree common messages about challenges for the ERC Agreed that the Humanitarian Communication Group should continue as an informal group.	Humanitarian Communications Group (HCG) has been established but joint communications strategy for new emergencies not advancing	No deadline set	Principals to ensure fuller engagement senior communications officers. Reconcile inconsistent Aps 18/34 by having TF on Humanitarian Space/CivMil propose themes and messages and HCG devising comms strategy.
Apr.	#34	Humanitarian Space Core Group to propose 2-3 themes per year for agreement by the Principals then IASC organisations develop communications messages.	Humanitarian Space Core Group (now TF on HS and CivMil) provided messages on counter-terrorism.		
Feb	#19	Use 20th anniversary of 46/182, to hold a series of IASC Principals	Plans for commemoration are advancing well but the purpose	No deadline set	Organising group is requesting clarity on the exact goals of the

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		consultations/briefings with Member States to explain the humanitarian system and communicate joint messages.	remains unclear		commemoration
Feb	#20	Develop communications strategy on Principals reforms from December-February-April Principals meetings.	Statement of purpose for reforms disseminated. Otherwise no strategy as yet. IASC Secretariat is in discussion with CISB.	No deadline set	In 2012, build communications strategy for Principals reforms drawing practical achievements to date.
AOB					
Apr.	#36	ERC to draft a response to the letter from five donors and consult with Principals. *Action by: ERC by 28 April 2011*	Complete	28/04/2011	
Apr.	#37	ERC draft and consult with Principals on the text of a more general letter to Member States. *Action by: ERC by 11 May 2011*	Complete		
Apr.	#38	ERC to share concept paper for 'Making the IASC More Effective' with the IASC Principals before the July 2011 Working Group meeting. *Action by: ERC*	Complete		
Annex Summary Record, 19 April 2011 IASC Principals meeting					
Additional Issues for Future Consideration from the Theme 1 paper on Leadership and Coordination that the Principals agreed deserved further attention					
Apr.	Background Paper	Consider recruitment of highly qualified candidates to the HC Pool through other means such as open advertisements of posts and using head-hunting firms			
Apr.	Background Paper	Consider line management structure of HCs for tailored support and enhanced accountability. Consider contracting a reputable human resources /management firm to assess ways that the line management of HCs could be improved			

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Apr.	Background Paper	Consider undertaking an evaluation of the leadership pillar of humanitarian reform			
Apr.	Background Paper	Consider implications and consequences of major operational organizations "opting out" of cluster mechanisms in field operations.			
Apr.	Background Paper	Consider developing single terms of reference for clusters including roles and responsibilities for cluster partners, coordinators and lead agencies (and the relationship between these entities).			
Apr.	Background Paper	Consider de-activation of clusters and transition to alternative coordination arrangements.			

Prepared by the IASC Secretariat