Grand Bargain in 2019:

Annual Self Report – Narrative Summary

Name of Institution: UN OCHA

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(NB. Please limit your answer to no more than **3 pages in total** – anything over this word limit will not be considered by ODI in their analysis. Please respond to all of the questions below.)

Question 1: Reflecting on the information you have provided in the Excel spreadsheet, please highlight the 2 or 3 key outcomes or results relating to the Grand Bargain that your institution achieved in 2019?

1.   A number of activities undertaken as part of the workstream matured in 2019, resulting in a **package of tools and guidance which were released in June 2019.** The *Workstream 5: Tools and Guidance for Advancing Coordinated Needs Assessment and Analysis Through the Grand Bargain*: *Progress on technical tools and normative guidance* package includes:
- Grand Bargain Principles for Collaborative Needs Assessment Ethos
- Quality Criteria for multisectoral needs assessments
- Draft conceptual Joint Intersectoral Analysis Framework
- Data Entry and Exploration Platform (DEEP)
- Tools to ensure data is useful and usable

2.   Strengthened needs assessment and analysis, and confidence in the data and analysis put forward by humanitarian actors through the Humanitarian Programme Cycle (HPC), is one of the key outcomes towards which the GBNA is working. As such, field application of the tools and guidance was initiated through the 2020 enhanced HPC, which included revisions to guidance, templates and approaches to strengthen linkages between situation, multi-sectoral needs and response monitoring. With the significant attention and energy dedicated to rollout of the enhanced HPC across the humanitarian sector during the second half of 2019, the GBNA sought to leverage this and **'roll out' the elements of its package by emphasizing its utility in support of the HPC.** For example, information on the work undertaken to improve data use and usability was disseminated, and agencies and sectors were encouraged to apply the quality criteria for multi-sectoral needs assessments.

The two most significant elements were the Joint Intersectoral Analysis Framework (JIAF) and the DEEP.   Provisional elements of the JIAF were introduced and applied in virtually all HNOs, leading to improvement in joint intersectoral analysis.

The DEEP is now being used in 35 countries, and 25 crises. While its main use is to support strategic planning, it is also being used by OHCHR for human rights violation monitoring and IFRC for other purposes (historical databank, situation analysis, operational review). Throughout 2019 additional features were added, including strengthened security, situation analysis features, user guides and tutorials, and translation into Spanish.

3.   Advocacy with donors, senior management and the IASC continued while efforts to increase engagement with NGOs further intensified.

OCHA and ECHO continued its efforts to translate the increased attention generated last year through the Grand Bargain annual meeting into concrete action by senior management, IASC and donors with the aim of securing the requisite resources, incentivization and priority status with agency workplans. Several donor meetings and fora were organized in 2019 with a specific focus on providing coordinated support to humanitarian agencies on the GBNA.

As a follow up to an action point from the Annual Meeting 2019, Save the Children, InterAction and OCHA conducted a workshop in early October aimed at enabling senior technical and humanitarian experts from NGOs to review the work of the workstream on needs assessments to date, and its application through the enhanced HPC. The workshop engaged NGO experts in identifying barriers and opportunities to directly share the rollout of these new tools and approaches in field-level operations. Emphasis was also placed on community engagement and gender mainstreaming within the needs assessments workstream and HPC.

In 2019, OCHA renewed the Humanitarian Programme Cycle, contributed to the development of the UN Sustainable Development Cooperation Framework (UNSDCF) and developed guidance for the implementation for closer humanitarian, development collaboration, through collective outcomes. The guidance documents strengthen humanitarian-development collaboration through the use of joint analysis and planning. Joint analysis among humanitarian, development and peace actors is increasingly being rolled out in contexts of protracted crisis including governments, donors, IFIs and other external partners to generate a common understanding of the situation. Joint analysis has led to the articulation of collective outcomes and the development of multi-year plans to address humanitarian needs, while at the same time addressing risks and vulnerabilities.

In May 2019, the Joint Steering Committee to Advance Humanitarian and Development Collaboration (JSC) has undertaken a review of the progress on closer collaboration in the seven priority countries (Burkina Faso, Cameroon, Chad, Ethiopia, Niger, Nigeria and Somalia). The review highlighted the importance of (I) leadership and capacity, (II) joint analysis and information management, (III) articulation and implementation of collective outcomes, (IV) harmonisation of financing in support of collective outcomes, (V) monitoring of results and accountability. While progress has been achieved in the areas of joint analysis (all seven priority countries undertook joint analysis) and the articulation of collective outcomes (5 out 7 countries articulated collective outcomes), additional efforts are required to effectively programme for collective outcomes through different humanitarian and development plans and to secure flexible and

multi-year funding to support the implementation of joint priorities and collective outcomes. It is expected that the new guidance package developed in 2019 will assist country teams in the implementation. The implementation of the OECD DAC recommendation on humanitarian and development collaboration, adopted in February 2019, will assist further in the financing of collective outcomes moving forward.

AAP: On common standards and a coordinated approach to community engagement and participation, OCHA supported humanitarian operations with guidance, tools, and technical support on response-wide collective approaches to accountability and inclusion, enabling the meaningful participation of all community members in all stages of the humanitarian programme cycle. This included supporting the initial design of a Collective AAP Framework through the Peer-2-Peer Project for consideration of the IASC to adapt globally.

Cash: OCHA supported the strengthened integration of cash into the 2020 HNO/HRP guidance, allowing cash to be more routinely considered throughout the programme cycle. Capacity building and technical support was provided in support of the roll-out. OCHA also supported the roll-out of the UN Common Cash Statement in six focus countries, contributing to stronger operational collaboration on cash and voucher programming, building on existing coordination structures in country and involving additional partners where possible. Stronger operational collaboration at global and country levels around the pillars of engagement (joint programming, data interoperability and joint procurement), including through engagement with external partners. All CERF and CBPF projects contracted in 2019 includes CASH based information and reported at regular intervals. In 2019, 91 CERF projects included a cash component ($48 million). OCHA continued to engage in the GB workstream on Cost Efficiency for Humanitarian Effectiveness. Analysis of modalities for delivery such as cash were integrated into the response analysis of the enhanced 2020 HPC.

Localisation: OCHA ensures responsive and predictable financing of humanitarian action through its management of CERF and CBPFs for the humanitarian system. While these funds aim principally to ensure the delivery of life-saving assistance to affected people, they also can serve to empower leadership, improve coordination, and strengthen national and local actor capacity. CBPFS allocated a total of $994m in 2019; 25% or $246m was directly allocated to NNGOs. Of the $418.2 million CERF allocated in 2017, $95.4 million (23 per cent) was subgranted from UN agencies to 568 implementing partners in 33 countries based on agency reporting. NNGOs are included in CBPF governance, strategy and decision-making processes, including the CBPF-NGO Dialogue Platform and the PFWG. OCHA continues to ensure application of IASC policy underscores that international coordination mechanisms should be established when the national mechanisms are overwhelmed or unable to meet needs in a manner that respects humanitarian principles. NNGO across the board filled 8% of national cluster co-chair, subnational focal point, TWG chair roles in 2019. NNGOs consisted of 43% of cluster member rosters. More than half of clusters indicated a national/local language was spoken at meetings, with the use of multilingual staff to translate as needed. NNGOs held the 4th highest number of

HCT seats (7%), serving on 21 of 28 HCTs surveyed. The ERC asked HCs to improve NNGO access to CBPF funding, especially women-led NGOs. This could be accomplished through adjusted scoring of project applications; facilitating access to CBPF trainings; and including progress in CBPF annual reports. To support putting this into practice, a dedicated session on supporting women-led organizations was conducted during the 2019 GPFMW. The CBPF Global Evaluation and NRC/OCHA commissioned study were conducted in 2019; they served to better understand the role of CBPFs on localization and the challenges NNGOs facing in accessing CBPF funding. In addition, new BI was launched which provides more information about CBPF.

Management costs: CERF reduced its management costs by one third (from 3 to 2 per cent) as of June 2016. In 2019, this reduction in management costs freed up approximately $8.2 million in additional funding available for programming.

Enhanced quality funding: OCHA provides detailed reporting on the use and results of unearmarked and softly earmarked funding given to its Programme, the CERF and all Country-Based Pooled Funds. Annual reports' contents are regularly revised depending on donor feedback. The IATI has assessed the transparency of OCHA's work along its three main strands of funding. For OCHA's Programme activities, the IATI transparency score is 98%. For OCHA's pooled funds, CBPFs have reached a score of 97% and CERF 95%.

Question 2: Please explain how the outcomes/results have or will lead to long-term institutional changes in policy and/or practice.

These are expected to contribute to long-term system-wide change. in 2017/2018 the GBNA articulated a Theory of Change to highlight the complexity and multiplicity of elements, which would affect our ability to achieve the Grand Bargain Commitments.

The critical outcomes identified as central to affecting positive, long-term change were identified as:

- **Motivation and Leadership**: At each level - organization, county and individual - this translates into the resolve to move beyond competing mandates, with strength of leadership to make needs assessment and analysis a priority in crisis situations and ensuring staff are accountable for this work.
- **Availability of financial and human resources**, inclusive of donor contributions as well as making needs assessment and analysis a priority within organizations to which resources are dedicated.
- **Knowledge and capacity** throughout the humanitarian sector: among leaders and decision-makers, staff within Donor entities, UN Agencies, NGOs, and local entities (both Government and non-Government)

- **Norms/standards, guidance, tools and methods**, which must be developed, agreed upon, widely available, and jointly utilized in crises situations. This includes a code of conduct for how we operate, quality standards and criteria against which needs assessment and analysis will be evaluated, data quality and usability, and an agreed-upon joint inter-sectoral analysis framework, among others.[1]

As noted above, efforts during 2019 (and previously) specifically targeted these pathways, namely through advocacy with donors and senior leadership, capacity development (see 2018 report which cites work of OCHA and ACAPS), and the development or revision of existing norms, standards, tools and methods. Most of these achievements essentially addressed the normative challenges. Much remains to be done to influence positive changes in the other critical outcomes identified.

In 2019, OCHA collected lessons learned and best practices from the field on closer humanitarian-development collaboration. These examples, together with observations from a range of regional and global workshops as well as interviews with experts, Resident Coordinators and in-country leadership, informed a draft guidance document on how to operationalise humanitarian-development collaboration. This constituted an important achievement as it helped translate policy discussions into practice. The guidance proposes seven steps to help actors - in particular OCHA staff - build the groundwork necessary to articulate and operationalize specific, measurable and meaningful collective outcomes, while leaving room for modification and adaptation to the specific country context. Ultimately, these collective outcomes are aimed at reducing vulnerability and risk, thereby mitigating humanitarian need, and serve as instalments toward the achievement of the SDGs.

AAP: OCHA supported the initial design of a Collective AAP Framework through supporting a P2P workshop in 2019, where HCs, DHCs and OCHA Heads of Offices from ten operations came together to jointly strengthen how humanitarian leadership approaches coordinated approaches to community engagement and participation. Joined by colleagues from the IASC Results Group 2, they developed a draft Collective AAP Framework to be further refined by HCTs as a precursor to establishing or further supporting existing country-specific adaptations. This framework will also be presented during the 2020 HC Retreat to be discussed and endorsed as a global Collective AAP Framework for consideration by the IASC Principals, subject to agreement by the EDG and OPAG.

Cash: The integration of cash into the HNO/HRP guidance, agreed at the inter-agency level, will promote long-term institutionalisation across organisations of cash as part of

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1 Some of these normative tools and guidance already existing, including but not limited to the *IASC Operational Guidance on Coordinated Assessments in Crises*; and *Operational Guidance on Responsibilities of Cluster/Sector Leads & OCHA in Information Management.*

the humanitarian programme cycle. While the implementation of the UNCCS is in its early stages, lessons from roll-out will be drawn and applied to inter-agency collaboration going forward, with a view to institutionalising successful aspects.

Question 3: How has your institution contributed to the advancement of gender equality and women's empowerment [2] in humanitarian settings through its implementation of the Grand Bargain? What results/outcomes have been achieved in this regard? (please outline specific initiatives or changes in practice and their outcomes/results). Please refer to the Guidelines for definitions of Gender Equality and Women's Empowerment, which are included in this self-report template package.

Gender has been mainstreamed within the various activities co-implemented with partners, ensuring that data disaggregation and appropriate analysis is duly considered. This includes reference to these aspects in the Ethos principles, in the JIAF, and in training packages.

Emphasis on the analysis of how crises affects women and girls and both their shared and unique needs was a key focus in the development and rollout of the 2020 enhanced HPC and the elements of the JIAF that were applied to HNOs.

The HPC and collective outcomes guidance, developed by OCHA and the IASC are mainstreaming gender consideration throughout humanitarian response efforts. Gender sensitive data collection and analysis as well as planning are integral parts of the planning cycles.

Gender with Age Marker (GAM) was integrated into CERF applications and CBPF project proposals and reporting templates. Promotion of gender equality and women's empowerment through CERF and CBPF funding was strengthened through the introduction of strategic focus on ERC's priority areas. CERF continued to track GBV assessments across all CERF-funded projects.

Question 4: How has the humanitarian-development nexus been strategically mainstreamed in your institutional implementation of the Grand Bargain commitments? Please explain how your institution has linked commitments 10.1 - 10.5 with other commitments from other workstreams.

Co-Conveners ECHO and OCHA, in collaboration with the World Bank, convened a Workshop on 21-22 May 2019 with the workstream partners to discuss experiences with joint humanitarian-development-peace needs assessments and analysis, identify factors enabling success, challenges, and steps that could be taken to strengthen joint analysis. The event resulted in an agreed set of *Key Messages for Senior Management on Joint Humanitarian Development Analysis* which were released in connection with the Grand Bargain Annual Meeting in June 2019 and are envisaged to serve as a foundation for further thinking and efforts in the coming year.

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[2] Refer to the IASC definitions of gender equality and women empowerment, available here.

The enhanced 2020 HPC package, further, has been constructed in a way to look at underlying vulnerabilities and risks which contribute to chronic needs, direct link to development interventions. It also includes a section specifically dedicated to risk analysis and projections, again looking to identify how humanitarian action and development assistance can be better linked over time.

Through the development of the guidance material, OCHA mainstreams humanitarian-development collaboration considerations into its work on needs analysis, (multi-year) planning and funding (GB workstreams 5, 7&8).