

**Grand Bargain annual self-reporting exercise:**

**OCHA**

## Work stream 1 – Transparency

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

At the time of signature of the Grand Bargain in May 2016, the Central Emergency Response Fund (CERF) secretariat had already made considerable progress towards full transparency. All CERF allocations were published on its website, on the Financial Tracking Service (FTS) as well as according to the International Aid Transparency Initiative (IATI) standard.

By 2016 all **Country-Based Pooled Funds (CBPFs)** were operating on the Grants Management System (GMS) platform, enabling OCHA, stakeholders, and partners to manage the full CBPF program cycle online. Currently, the GMS registry includes more than 4,000 organisations around the globe that are able to submit their projects and reports (narrative and financial) online.

The Financial Tracking Service's (FTS) new website was released in beta in late 2015. Work on the technical capabilities of the platform had started in 2015 but was subsequently suspended for several months between Jan-May 2016 due to budget constraints. The work on the new suite of integrated information services, known as 'HPC.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

Since the May 2016, the **CERF** secretariat has completed its data migration from a legacy IT system to its current CERF Grant Management System (GMS) meaning that all 2006 to present data are now available for reporting in one place. In addition, the **CERF** secretariat has taken steps to making all of its contributions and allocations available on the Humanitarian Data Exchange (HDX). The CERF secretariat has also introduced a beta version of an allocations business intelligence (BI) module on its website.

In June 2016, OCHA launched the public **CBPF** Business Intelligence (BI) portal, available at <https://gms.unocha.org/content/cbpf-contributions>, which provides easy access to contribution and allocation data and trends for all Funds in real time, which can be retrieved by users for further analysis. The BI portal includes an overview of CBPF funding against each country's Humanitarian Response Plan (HRP), broken down by type of implementing partner, clusters, and number of targeted and reached project beneficiaries disaggregated by gender and age.

Subsequent to World Humanitarian Summit May 2016, work on the **FTS** platform resumed and the new version was launched in January 2017, which supports tracking of pass-through funding, IATI reporting, and greater visibility of un-earmarked donations, and is fully integrated into the HPC.tools service suite.

A private sector 'Data Quality Team' (DQT) is being established and the in-kind valuation guidelines have been finalised. Around the integrated HPC.tools services, the RPM tool has been expanded to cover periodic monitoring of planned outcomes, functions which were piloted in the field throughout 2016, and trainings have taken place both within and beyond OCHA to equip partners to make full use of these services.

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

OCHA has invested significantly in strengthening systems to provide accurate, reliable, up-to-date information to global stakeholders, including affected people. In support of advancing the Grand Bargain 'Transparency' components, OCHA defined following commitments:

- ***Improving the Financial Tracking Service (FTS) platform's technical capabilities and to continuously upgrade the FTS website.***
- ***Maintaining and improving the FTS data curation and aggregation service providing continuously updated information on humanitarian funding flows.***
- ***Integrating FTS into a new suite of information services, which will improve links between needs, planning, monitoring and funding information, to provide a stronger evidence base for strategic decision-making. This links financial transparency to greater transparency around the entire humanitarian programme cycle.***
- ***In addition to reflecting contribution and allocation data from CERF and country-based pooled funds (CBPFs) in FTS, OCHA will expand the availability of detailed real-time pooled fund data through dedicated public business intelligence interface.***

### 4. Efficiency gains (optional for year 1)

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*

OCHA, stakeholders (especially donors) and partners will be able to rely on the accuracy and relevance of CERF and CBPF data available on the BI portal and FTS, reducing reporting times and workloads in the field and at the global level, and enabling users to retrieve/download information for further analysis.

## Work stream 2 - Localization

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

#### **Coordination**

Prior to the signing of the Grand Bargain, OCHA-Inter Cluster Coordination Section (ICCS) provided remote and in field advice and support to field offices on coordination architecture in general, and, where appropriate, advocated for strengthened ties with local and national actors such as governments and NGOs in coordination settings.

In terms of coordination, National NGOs are on average the largest participant type in clusters. In 2014, 61% HCTs had national NGO representation – in 2016, over 72% of HCTs have national NGOs represented. With respect to coordination with national authorities, in 2016 53% of clusters are co-led with a government partner at national level

#### **Financing:**

20 per cent of 2013 CERF funding (\$97 million out of \$486 million) was sub-granted to agencies' implementing partners (IPs). Of this, \$28.6 million were implemented through national NGOs, \$19.7 million via host governments, and \$2.9 million through Red Cross/Red Crescent societies.

In 2016, CBPFs received \$706 million from 21 Member States, a record amount, which however represented only 5 per cent of the sum of HRP funding requirements for the 18 countries that had a CBPF (\$13.9 billion). In 2016, CBPFs allocated \$715 million, of which \$127.57 million (17.85%) were directly allocated to national NGOs; this is almost double the net amount recorded in the previous two years (CBPF allocations to national NGOs in 2014 totalled \$64.73, and in 2015 \$74.35 million).

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

Following the World Humanitarian Summit, OCHA identified a number of concrete action points moving forward:

- Development of mapping tool as part of preparedness to assess coordination and response capacity of local and national actors,
- Based on the mapping, establishing adaptable and fit for purpose coordination systems
- Support NGO efforts to identify national NGO advisors and ensure they are integrated into formal coordination systems.
- Reducing humanitarian terminology and reducing language barriers to ensure local actor contribution in coordination settings

Since May 2016, the **CERF** secretariat has completed an additional round of sub-grants analysis, this one covering grants made in 2014. This indicated that the proportion of CERF funds contracted to agencies' implementing partners increases year by year and reached close to 25 per cent in 2014, of which more than half were for local actors.

Under "More support and funding tools for local and national responders", signatories included a commitment to "Develop, with the Inter-Agency Standing Committee (IASC), and apply a '**localisation**'

**marker** to measure direct and indirect funding to local and national responders”. In July 2016, by recommendation of its members, the IASC Humanitarian Financing Task Team (HFTT) included this commitment as part of its 2016-2017 work plan.

Development Initiatives produced a draft definitions paper aiming to reach a common understanding of what a “local actor means” (types of local actors) and what we understand by funding “as directly as possible”.

### **3. Planned next steps**

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

**OCHA plans to strengthen capacities of national and local responders in coordination, humanitarian principles, standards, needs assessments, implementation, planning and monitoring, both in OCHA’s work on preparedness and in contexts that are transitioning from humanitarian to recovery and development. This will include providing advice and best practices on coordination mechanisms and functions, and conducting regular trainings at regional and country levels for national and local responders.**

Some of the future activities are outlined below:

- Provide in field assistance to country offices to establish context-specific coordination systems (through coordination architecture review missions to Sudan, DRC, Mali),
- Engage with the Global Cluster Coordination group to develop appropriate capacity mapping tools and processes,
- Work with partners to review and update, as required, the IASC Guidance on Engagement with Governments and Local Actors,
- Support the Global Cluster Coordination (GCC) and OCHA offices in developing capacity-building strategies, in particular as part of multi-year plans that seek to improve the ability of governments and national actors to lead coordination platforms,
- Roll out the Cluster Description Mapping exercise and collect and analyze data related to localization,
- Further work with the Global Cluster Coordination Group to improve clusters’ engagement with local actors, in particular at the sub-national level, through area-based coordination.

The **CERF** secretariat continue to work with UN agencies on improving the effectiveness and efficiency of partnership arrangements to ensure that funding and relief-items under CERF grants reach front-line responders in an efficient and timely way. In addition, achieving a \$1 billion CERF by 2018 will be a major focus of work for the CERF secretariat.

OCHA FCS – **CBPF** - will improve the BI portal (see transparency workstream) to reflect sub-granting and therefore provide a more complete picture in terms of funding allocated directly and as directly as possible to local and national actors.

## Work stream 3 - Cash

- **Baseline (only in year 1)**

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

Currently OCHA is leading or otherwise supporting cash coordination groups in at least ten country contexts. A key role for OCHA is to ensure integration of cash into all stages of the humanitarian program cycle and establish strong linkages between cash coordination groups and the inter-cluster coordination group and HCT.

OCHA has been participating in two significant inter-agency cash projects – a two-year DFID-funded preparedness project to develop joint cash feasibility criteria (together with WFP, UNICEF and UNHCR, starting in March 2015) and a two-year ECHO-funded project for the Cash Consortium (together with CALP, Save the Children, Mercy Corps and the Danish Refugee Council, since June 2016) aimed at increasing the uptake of multi-purpose cash.

To meet requests for more regular sharing of information on cash activities at the global level, OCHA is co-chairing, with CaLP, the Geneva Based Cash Working Group which has met on a quarterly basis since September 2015.

OCHA committed to “**Ensuring CERF and CBPFs are “cash-ready”** to facilitate the programming and delivery of multi-sector cash-based programs”. By design, **CBPFs** are cash-ready.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

Following the Grand Bargain commitments, OCHA set up a dedicated internal Grand Bargain Task Team on Cash to monitor and support the implementation of the commitments. By the end of January 2017, the Task Team had established a common work plan with detailed activities, targets and timelines; identified gaps where further activities are required to meet the commitments; and highlighted key areas where specific technical support or training on cash will be required to be able to implement the respective activities.

*In support of advancing the Grand Bargain ‘Cash’ components, OCHA commits to:*

- **Ensuring that cash transfer programming is fully integrated into coordination systems**, reducing fragmentation and allowing for all modalities of aid delivery to be considered equally and regularly throughout the course of any emergency response.
- **Supporting and facilitating joint/coordinated multi-sectoral assessments, that include market analysis, and joint response analysis by humanitarian agencies and other relevant stakeholders to systematically identify the appropriateness and feasibility of multi-purpose cash transfers.**
- **Supporting joint cash feasibility studies in all high-risk countries as part of wider preparedness efforts, and integrating these into standard needs assessment tools and services.** As part of this, OCHA will engage with government and private sector actors to ensure that cash transfer programming builds on existing systems where possible.

- **Coordinating cash-based humanitarian responses designed so that they can eventually become national social protection systems.** This includes working with national governments and MDBs to ensure that existing social safety nets can be scaled up in situations of crisis.
- **Ensuring CERF and CBPFs are “cash-ready” to facilitate the programming and delivery of multi-sector cash-based programs<sup>1</sup>.**

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

Over the coming two years, OCHA will continue to work through the internal OCHA Grand Bargain Task Team on Cash to implement OCHA’s commitments and maintain a collective overview of activities aimed at mainstreaming cash specific aspects into the organisation’s activities. In addition to ensuring continued progress and keeping relevant sections abreast of global level developments on cash, regular discussions through this forum will allow for consistent monitoring of progress, a common prioritisation of existing resources across the organisation’s activities, and the identification of appropriate technical support and guidance. In particular, immediate priorities will focus on the continued mainstreaming of cash throughout OCHA’s functions, to ensure that cash is not treated as a stand-alone issue but as one, integral, component of good coordination.

In terms of substantive areas of work, particular focus will be given to the integration of cash into all phases of the Humanitarian Programming Cycle, including:

- The reflection of cash and markets into needs assessment and analysis;
- The consistent integration of joint cash feasibility exercises into the response options analysis phase during preparedness and response planning (building on the work of the DFID preparedness project),
- Using common humanitarian pooled funds and the CERF to their full potential in terms of facilitating the appropriate use of cash; and
- Fully capturing and reflecting cash within OCHA’s information products.

The **CERF** aims to finalize its methodology for an improved analysis and tracking of cash-based programming to enable it to arrive at more precise estimates of the amount of CERF-funded aid delivered as cash. The CERF secretariat will also complete its revised guidance package to better reflect cash-based programming.

In consultation with partner agencies, OCHA will review existing guidance on coordinated assessments to strengthen market analysis as well as cash flows and transfer preferences of people affected by crises. This will encourage the more systematic consideration of these aspects in multi-sectoral needs assessments and better inform subsequent response options analysis.

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<sup>1</sup> CERF and CBPFs are already funding cash-programmes but not a great scale.

## Work stream 4 – Management costs

- **Baseline (only in year 1)**

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

A reduction of the UN Secretariat Programme Support Cost (PSC) from 3% to 2% for OCHA-managed pooled funds, granted on 24 February 2016 and taking effect on 1 June 2016, freed up approximately US\$6.5 million by CERF and CBPFs (based on funding levels at the time). This already translates into more funds allocated to humanitarian action, improved overall pooled funds' efficiency, and the potential to attract more donor funds and encourage reforms in other areas. For OCHA, PSC has already been reduced from 13 to 7 per cent.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

In 2016, based on best practices, OCHA harmonized and simplified the partner capacity assessment (PCA) methodology applied by CBPFs to NGO implementing partners, which includes a PCA module on GMS (CBPF global guidelines launched in 2015 included 3 different approaches to PCAs). Full implementation of the harmonized PCA approach is expected in 2017.

OCHA FCS (see localization workstream) is also engaged in broader PCA harmonization initiatives and will therefore continue to consider opportunities to further simplify or adjust the PCA process, as well as to contribute to collective efforts in this area that could reduce burden and duplication for donors, UN agencies, and NGO partners.

In 2016 OCHA (with support from CBPF donors) changed the arrangement to cover the management costs of CBPFs. Therefore, as of last year, Humanitarian Financing Units (HFUs) have a separate cost plan that is directly covered by the CBPF (instead of OCHA's budget). This change stabilized the capacity and resources necessary to manage all CBPFs according to operational and contextual needs.

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

In support of advancing the Grand Bargain 'Management Costs' components, OCHA further committed to:

- **Continuing support to initiatives that increase efficiency through expanding common services and procurement (common core pipelines, telecommunication, logistics, information management and monitoring) and ensuring full transparency in the management and collective prioritisation of such services, including through its leadership role in inter-cluster coordination.**
- **Continuing to invest in existing systems and tools such as the CBPF Grants Management System to ensure overall efficiency and transparency in pooled-fund management.**
- **To continually reduce management costs, OCHA will further streamline administrative business processes related to the management of CBPFs, including auditing modalities, PCAs, financial and services to ensure timely disbursement to implementing partners. The**



**GMS will be further improved to support business processes and offer management enhanced internal business intelligence.**

## Work stream 5 – Needs Assessment

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

When the Grand Bargain was signed, OCHA had already been working since several years towards achieving a comprehensive understanding of people's multiple needs through its coordination work at field level and its normative activities at global level. Since 2012, OCHA has based its coordination of assessments and analysis on the IASC Operational Guidance for Coordinated Assessments and on the Guidance on Multi-sectoral Initial Rapid Assessment (MIRA) updated in 2015.

In the past 3 years, OCHA also started to develop its own staff capacities and the capacities of partner staff by rolling out its Coordinated Assessment and Information Management (CAIM) training and delivering sessions in other trainings such as for Information Management Officers and UNDAC teams deployed in sudden-onset emergencies.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

OCHA has, jointly with ECHO, led the development of the collective commitments under the Grand Bargain work-stream on **Needs Assessments**.

#### Partnership for inter-sectoral analysis

In June 2016, OCHA launched a flexible partnership mechanism to strengthen joint inter-sectoral analysis. The participation is open to any UN and other organisation willing to share data and analysis capacities to help develop complementary tools and provide direct support to inter-sectoral analysis at field level.

To fine-tune the understanding of existing challenges and potential solutions, OCHA completed an independent Review of Coordinated Assessment and Joint Analysis in September 2016. The main findings and recommendations from **the Review of Coordinated Assessments and Joint Analysis** are in line with the Grand Bargain on Needs Assessments:

- While progress has been made on multi-sectoral coordinated assessments, most assessments remain sector or agency-driven.
- The yearly Humanitarian Needs Overview (HNO) also presents limits in dynamic situations that require more frequent monitoring of the situation and needs. Preparedness for coordinated assessments is mostly lacking.
- Among the factors supporting coordinated assessments, strong senior management support and commitment is important, as well as increased agency participation with adequate resources and sufficiently skilled staff. The increased involvement of non-operational third parties was found beneficial as they bring technical skills and more independent analysis, but their contribution to capacity building in-country and buy-in from agencies could be increased.
- OCHA's role in supporting coordinated assessments is highly valued, while facing limitations in terms of sufficient staff with the required experience and skills both at field and Headquarters' level.

The Review made a series of practical recommendations coherent with the Grand Bargain commitments, including:

- Increase and improve the harmonization of sectoral assessments.
- Shift to a regular monitoring and analysis of trends (and programs), instead of one-off assessments and analysis.
- OCHA to continue to build partnerships with a range of humanitarian and other actors to support coordinated assessments and analysis, and improve existing guidance and approaches.
- Increase OCHA staff capacities to facilitate coordinated assessments, by implementing a strategy to reinforce staff skills.
- Enhance preparedness for coordinated assessments, especially in countries at high risk of emergencies.
- Improve the quality of coordinated assessment outputs and inter-sectoral analysis, including transparency on methods, and development of analytical framework and indicators and thresholds to assess the severity of needs.

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

OCHA further **commits** to:

- **Continuing to support joint multi-sectoral humanitarian needs assessments in rapid response settings including a wide variety of local actors (including the private sector), and wherever else it is feasible.**
- **Encouraging and supporting Member States, regional organizations, the private sector and humanitarian agencies to make their databases on risks, vulnerabilities, capacities and needs of population groups open and accessible to all.**
- **Ensuring a Humanitarian Needs Overview which is comprehensive, unbiased and consolidated for each country, which includes an analysis of severity both within and across sectors and geographic locations.**
- **Advocating with donors (including UN entities) to eliminate requirements that foster duplication of needs assessments in their funding agreements.**
- **Advocating for agreement between donors and partners on criteria of acceptance regarding data collection methods and sources, as well as quantity of data and methodologies for estimates and projections, in contexts where in-person and comprehensive assessments may not be feasible and/or where key baseline datasets are absent.**
- **Strengthening OCHA capacity to support and coordinate people-centred pre-crisis assessments and analysis of risks, vulnerabilities and capacities.**
- **Strengthening the connectedness between assessments and analyses conducted by humanitarian actors and those conducted by development actors.**

As co-leads of the Grand Bargain work-stream on Needs Assessments, OCHA and ECHO will organise a workshop end February 2017 with operational and non-operational agencies, and donors to address the main issues that limit progress and the achievement of the commitments on needs assessments.

#### **4. Efficiency gains (optional for year 1)**

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*

The main objectives of ongoing and planned efforts are to:

- (i) Avoid the duplication of assessments and gaps to understand in a comprehensive manner the multiple needs that people are facing; and
- (ii) Improve the quality, credibility and relevance of assessments by strengthening the analysis and the transparency of methods and indicators that are used to determine the needs and their severity. Eventually, these efforts should contribute to decision-making for a response that is more appropriate to meet people's multiple needs.

#### **5. Good practices and lessons learned (optional for year 1)**

*Which concrete action(s) have had the most success (both internally and in cooperation with other signatories) to implement the commitments of the work stream? And why?*

The OCHA-led Joint Inter-sectoral Analysis in Partnership mechanism at global level already gave promising results thanks to its flexibility and open membership. Both operational agencies with an operational or sectoral mandate and non-operational agencies which are data or information providers can participate according to their capacities. The approach avoids sectoral biases while remaining inclusive.

## Work stream 6 – Participation Revolution

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

OCHA has a HQ-based Community Engagement Adviser that works closely with relevant OCHA branches and sections, ensuring that guidance and support on community engagement/accountability to affected people (AAP) is provided to field offices.

In November 2015, a guidance note on how to integrate community engagement/AAP in the HPC was provided to OCHA offices, and was integrated into relevant trainings. In 2016, more than half of HRPs included plans on how to integrate community engagement (information provision, feedback loops, participation) throughout the HPC (13 out of 23 HRPs).

Since 2015, OCHA has been working with UNICEF and the CDAC Network membership in establishing a ‘common service’ model for community engagement. The approach was initiated in Nepal in 2015, and plans are ongoing together with OCHA offices in CAR, South Sudan and Yemen.

At present, affected people’s engagement in **needs assessments** is more ‘extractive’ than genuinely participatory. A number of assessment techniques encourage people’s participation, for example in focus group discussions and in interviews, but the results of assessment analysis and conclusions made on priority needs and responses are rarely shared and discussed with affected people. Practical constraints linked to access (security, logistics) and time contributes significantly to this situation.

Most **country-based pooled funds (CBPF)** have simple complaints systems to report fraud. These however need to be strengthened (including outreach) and more thorough complaint mechanisms need to be put in place. CBPFs also have basic criteria on feedback mechanisms for each project it funds, but these needs to be better monitored and evaluated.

**CERF** promotes accountability to affected people by ensuring that AAP measures are considered in project proposals and visible throughout the CERF programme cycle. AAP is reflected in CERF proposals through a number of questions in the new CERF application template at different levels of the submission (i.e. at strategic, sectoral and project levels.)Progress to date

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

OCHA is currently working closely with UNICEF, IFRC and CDAC members in establishing a work plan for the coming year in order to elaborate the ‘common service’ approach and test it in a number of key countries. OCHA continues to support its offices in CAR and Yemen in implementing common services for community engagement.

Over the course of 2015, the updated CERF template started providing CERF with concrete examples of how agencies are strengthening AAP in CERF projects and how they involve communities in decision-making and implementation.

To further strengthen information on AAP in the CERF programme cycle AAP has been included as a separate project reporting item for recipient agencies in the new CERF narrative reporting template.

This provides the CERF secretariat with systematic feedback on how AAP commitments have been considered in CERF-funded projects (this information is publicly available through the RC/HC reports posted on CERF's website).

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

**OCHA commits to:**

- **Taking steps to support partners in ensuring community engagement is integrated throughout the humanitarian programme cycle.** This process will be guided by the principles of equity and equality of participation by women and men of different ages and backgrounds, and will include ensuring that the diverse information needs of affected people are factored and that lifesaving information is shared with communities in a timely and coordinated manner, throughout the humanitarian programme cycle.
- **Supporting, wherever feasible and appropriate, a 'common service' approach for community engagement.**
- **OCHA will further leverage the use of pooled funding mechanisms (CERF and CBPFs) to promote enhanced collective accountability and community engagement in the programming and delivery of humanitarian assistance.**

Common services approaches will be tested in at least three countries, with a special focus on preparedness. OCHA will provide technical support to its offices in these countries, to ensure that collective approaches are integrated into OCHA's functions, from Information Management to coordination structures.

In the revision of **CBPF** Global Guidelines, OCHA will reinforce the role and engagement of affected people in the programming, delivery and quality of aid. Options include promoting specific community engagement activities in project design, as well as mandatory community feedback mechanisms for CBPF-funded projects

Going forward, the **CERF** secretariat will ensure the availability of an improved analysis of the involvement of affected communities in CERF programming. To that end, the CERF secretariat will systematically analyse information on AAP as reported in RC/HC narrative CERF reports. The CERF secretariat will further ensure that information on AAP strengthened in CERF applications through additional template improvements.

## Work stream 7 - Multi-year planning and funding

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

At the time of signing the Grand Bargain commitments, there were 15 so-called multi-year humanitarian plans, including one transitional plan. In 2016, the Sahel countries had multi-year plans (2014-2016), and Somalia had a three-year strategy (2016-2018). Despite the important efforts to improve coherence and effectiveness of the humanitarian response, humanitarian multi-year plans did not always succeed in achieving their goals.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

In 2017, 7 countries have a multi-year humanitarian plan (MYP) or strategy (MYS) in place: Cameroon 2017-2020, Chad 2017-2019, CAR 2017-2019, DRC 2017-2019, Somalia 2016-2018, Haiti 2017-2018, and Sudan 2017-2019. Some countries decided to opt for a MYS as a stand-alone document, which is implemented through separate annual HRPs, while other countries developed full-fledged MYPs.

OCHA provided significant support to the countries embarking on multi-year planning processes. This included the development of a tip sheet on MYP to provide countries with some guidance and good examples of how to develop such plans, and on how they differ from annual HRPs.

OCHA also conducted an evaluation of multi-year planning at regional and national levels using selected case studies. The evaluation identified strengths, weaknesses and contextual/other influencing factors, explored to what extent and how multi-year planning has contributed to strengthening linkages and synergies with development actors; how it has contributed to more effective resource mobilization and provided actionable recommendations at both the policy and operational levels.

OCHA, in close collaboration with FAO and NRC, has initiated a study on multi-year financing. The study will analyse multi-year funding and its implications for humanitarian organisations, in particular how it affects budgeting, resource mobilisation, relationships with donors and implementing organisations, possibilities for innovative financing solutions, and operations in the field. This analysis will include MYF that is exclusively for humanitarian response, as well as MYF for humanitarian organisations working across the humanitarian – development – peacebuilding nexus.

OCHA has continuous engagement with donors, including through the Global Humanitarian Donorship (GHD) group, to discuss increasing multi-year humanitarian funding and to scale up or retargeting development support in crisis countries. A number of donors, such as Canada, the EC, the UK, Germany, Sweden, Australia, have shown interest in providing multi-year funding.

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

In support of advancing the Grand Bargain 'Multi-Year Funding and Planning' components, OCHA commits to:

- **Exploring opportunities where multi-year planning can add value and provide a significant contribution to facilitating transition towards sustainable development.**
- **Supporting countries that decide to undertake multi-year planning.** This will be done in close collaboration with all relevant stakeholders.
- **Where multi-year planning exists, issuing guidance and leading the operationalization of multiyear planning** to achieve collective humanitarian outcomes over multiple years.

**With the following activities:**

- Support new countries that embark on multi-year planning.
- Ensure meaningful engagement with the Grand Bargain work stream 10 on strengthening the humanitarian development nexus. Multi-year planning encourages the humanitarian community to collaborate more effectively with development and other partners at the analysis and planning stages, and to advocate for development partners' earlier or staggered engagement in crisis contexts, to address the structural and chronic causes of humanitarian needs.
- Integrate good practices and lessons learned from MYP experiences into existing guidance. Explore how to make the HNO/HRP template and process more appropriate for MY planning (including more flexible and risk-informed).
- Further engage with donors, including through the GHD, to ensure scaling up of multi-year funding in support of countries that embarked on MYP to strengthen synergies and alignment with development and peace work.
- Explore with OCHA colleagues the option of CBPFs managing multi-year funds.
- OCHA will gradually adapt the functioning of CBPFs as needed to support systemic changes toward multi-year planning and funding.

**4. Efficiency gains (optional for year 1)**

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*

While efficiency gains are yet to be demonstrated, as this would require more time, a number of positive elements have been triggered by the recent work on multi-year planning and funding under the Grand Bargain commitment. Among others, multi-year planning has contributed to a more joined-up approach among humanitarian, development and peace actors, which will eventually address the siloed and binary logic that currently prevails.

**5. Good practices and lessons learned (optional for year 1)**

*Which concrete action(s) have had the most success (both internally and in cooperation with other signatories) to implement the commitments of the work stream? And why?*

Good practices and lessons learned:



- The MYP has provided a concrete opportunity to bring the humanitarian, development and peace communities together to jointly discuss and plan how to respond to humanitarian needs while addressing underlying vulnerabilities. This has occurred at country, regional and global levels.
- Developing a MYP has required a strong and continuous involvement of the HCT throughout all phases of the process. The need to engage with a much broader number of stakeholders, as well the complexity of managing the multiple dimensions of the process have required HCT engagement and decisions throughout the whole process.
- By bringing the humanitarian, development and peace components together and by creating stronger synergies and complementarity, MYP may provide an opportunity to maximise the impact of donor funding. Thus, the high interest of a number of donors to support MYP.

## Work stream 8 - Earmarking/flexibility

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

Prior to the WHS, **CERF** was already a significant channel of un-earmarked funding with an annual funding target of \$450 million. In the run-up to the WHS, the Secretary-General put forward his vision of increasing the annual funding targets for CERF to \$1 billion per year to work towards channelling more un-earmarked funding through prioritization processes under the leadership of Humanitarian Coordinators at field level.

Net contributions to **CBPFs** have increased over the last 10 years, from \$280 million in 2006 to **\$706 million in 2016**. CBPFs enable donors to maximize the value, flexibility and reach of un-earmarked funding for humanitarian action.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

Since the WHS, the **CERF** secretariat has commenced initiatives to create momentum in 2017 and set CERF on a realistic course for approaching the new target of \$1 billion as called for by the Secretary-General by end 2018.

The full alignment of **CBPF** funding to the HRP, which was introduced in 2015 through new CBPF global guidelines, meant a need to determine an appropriate critical mass (fund size) to generate impact at the outcome level and, at the same time, maintain the cost-effectiveness of the mechanism. In 2016, as part of the WHS process, pooled funds emerged as an optimal instrument to channel un-earmarked (or “softly earmarked”) funding to prioritized humanitarian needs, and donors committed to support the target set by the Secretary-General’s Agenda for Humanity to increase to the portion of funding channelled through CBPFs to 15 per cent of the HRP funding requirements by 2018. In 2016, CBPFs mobilized 5 per cent of the combined HRP funding requirements in the 18 countries where CBPFs operate.

### 3. Planned next steps

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

In support of advancing the Grand Bargain ‘Less Earmarking’ components, OCHA commits to:

- **Increasing annual funding targets for CERF to \$1 billion per year, and for CBPFs to 15 per cent of HRP requirements, to work towards channelling more un-earmarked funding through prioritization processes under the leadership of Humanitarian Coordinators at field level.** Doubling of the CERF and increasing CBPFs to 15 per cent of HRP funding requirements will require mobilising donor support and advocacy for expansion. A General Assembly resolution is required for an official expansion of CERF’s annual target.

The **CERF** secretariat will aim to finalize a number of initiatives aimed at supporting the achievement of a \$1 billion CERF and, by extension, a corresponding increase in un-earmarked funding.

These include, notably:

- Mobilising political leadership and commitment required to promote the ownership towards contributing towards a \$1 billion CERF.
- Ensuring strategic and prioritized long-term focused partnership building with Member States, UN agencies and other actors including private sector and innovative finance.
- Strengthening the strategic analysis of the global resource mobilisation landscape including donor priorities and decision-making processes.

While the net contribution amount of 2016 reached an all-time record high, and was a significant increase compared to 2015, at current levels, reaching the SG's target would translate into some \$1.9 billion per year. Given the ambition of almost tripling current funding levels to **CBPFs**, OCHA recognizes the need to scale up its corporate-level advocacy efforts to support resource mobilization for the Funds. As such, OCHA identified two key resource mobilization challenges for CBPFs that it aims to address with improved advocacy in 2017:

- Narrow donor base: CBPF Income is heavily dependent on contributions from a small group of UN Member States.
- Lack of visibility: The value and success of CBPFs is largely unrecognized beyond immediate CBPF stakeholders at the country level.

In 2017, OCHA will implement a two-track strategy to complement the resource mobilization advocacy efforts of OCHA Country Offices that manage individual CBPFs. The first track focuses on establishing a corporate-level foundation for communications and advocacy dedicated to CBPF resource mobilization which includes development of advocacy messages, narratives, products and delivery channels and ensuring the requisite resources, procedures, tools and systems are in place for successful fundraising advocacy.

#### **4. Efficiency gains (optional for year 1)**

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*

#### **5. Good practices and lessons learned (optional for year 1)**

*Which concrete action(s) have had the most success (both internally and in cooperation with other signatories) to implement the commitments of the work stream? And why?*

## Work stream 9 – Reporting requirements

- **Baseline (only in year 1)**

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

Prior to the WHS, **CERF** already had a lean yet comprehensive reporting frameworks consisting of financial reports, a single end of project narrative report as well as an optional interim project report template.

Through the 2015 **CBPF** global guidelines, OCHA introduced a risk-based approach to the management of implementing partners of CBPF-funded projects, which adjusts reporting and monitoring requirements according to an assessment of risk in the operational environment (security/access, volume of funding, length of project, partner capacity).

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

Since the WHS, **CERF** has initiated efforts to minimize transaction costs related to reporting as much as possible while maintaining the necessary levels of accountability and quality of processes and operations. To this effect, CERF has convened an internal efficiency taskforce to review processes and procedures related to submissions and reporting to identify opportunities for reducing transaction costs and increase speed and efficiency.

In 2016, OCHA FCS, in consultation with donors and fund managers, developed a Common Performance Framework (CPF) for **CBPFs**. The CPF is a set of indicators to assess performance against the general objectives, principles, and management standards of CBPFs described in the global guidelines.

The practical benefits of a CPF include:

- Enhancing OCHA's corporate accountability in the management of CBPFs as instruments that optimize the ability of the humanitarian community at the country level to deliver principled and effective assistance;
- Enabling OCHA and donors to gauge the performance of individual Funds; to facilitate comparison between Funds and to allow the construction of a total picture of performance for all CBPFs (i.e. performance of the CBPF mechanism);
- Standardizing reporting and performance measurement to increase efficiency and reduce the need for individual logical frameworks and ad hoc country-level performance tools;
- Building on other management means of monitoring and supporting compliance with the CBPF Global Guidelines (e.g. compliance measurement), thereby 'closing the loop' in corporate policy (Policy Instruction), operational guidance (Operational Handbook) and performance measurement (CPF); and
- Providing a management tool to enable OCHA at the country level as well as globally to ensure systematic and continued evidence-based performance gains to ensure all Funds remain fit for context, fit for purpose, and fit for the future.

### **3. Planned next steps**

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

**In 2016, in its capacity as a Pooled Fund manager (CERF and CBPFs), OCHA committed “to minimize transaction costs related to reporting as much as possible while maintaining the necessary levels of accountability and quality of processes and operations. To this effect OCHA will review processes and procedures related to submissions and reporting to identify opportunities for reducing transaction costs and increase speed and efficiency”.**

Over the next two years, CERF’s efficiency taskforce will identify and implement concrete ways to make the CERF application, review and reporting processes more efficient. CERF will implement the recommendations of the CERF efficiency taskforce for more efficient CERF processes and procedures.

CERF will also continue to streamline processes to ensure that funds are allocated in the most quick, efficient way possible, while keeping them rigorous and ensuring accountability. Among other things, this will entail improving integrated information and knowledge management throughout the CERF programme cycle in support of informed strategy setting and grant decision making.

In 2017, OCHA will carry out a first review of the 2015 CBPF global guidelines, which opens up the possibility of revisiting reporting templates, requirements and modalities. OCHA FCS will coordinate internally with CERF, and externally with stakeholders and signatories involved in the work stream, to explore potential areas of further harmonization.

### **4. Efficiency gains (optional for year 1)**

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*

The rollout of the CPF for CBPFs will result in significant efficiency gains in terms of harmonized, performance-based reporting, lessening the burden on OCHA and donors, and providing enhanced data and evidence of the value CBPFs add to humanitarian response. As such, the CPF will also generate increased confidence among new and existing donors, in order to increase to 15 per cent the portion of funding channelled through CBPFs for the delivery of HRPs.

### **5. Good practices and lessons learned (optional for year 1)**

*Which concrete action(s) have had the most success (both internally and in cooperation with other signatories) to implement the commitments of the work stream? And why?*

## Work stream 10 – Humanitarian – Development engagement

### 1. Baseline (only in year 1)

*Where did your organisation stand on the work stream and its commitments when the Grand Bargain was signed?*

Humanitarian, development, and peace actors often operate based on different goals, timeframes, disjointed data and analysis, and resources. This has resulted in divisions, inefficiencies and even contradictions that have hindered optimum results for the most vulnerable. In terms of needs assessments and analysis, efforts to engage with development actors have mostly taken place within Post-Disaster Needs Assessments and Post-Conflict Needs Assessments.

Improving people's lives and well-being requires the commitment and contribution of all partners, including humanitarian, development, peacekeeping, peacebuilding and political actors. It is critical to overcome the humanitarian-development divide and the existing silos and ensure that all actors contribute to collectively agreed outcomes in a sustainable way.

### 2. Progress to date

*Which concrete actions have you taken (both internally and in cooperation with other signatories) to implement the commitments of the work stream?*

OCHA contributed to strengthened linkages and synergies with development and peace actors and frameworks in a number of countries. Several countries, in particular those that embarked on a multi-year plan (MYP) as of 2017, have engaged development partners throughout the humanitarian planning process and initiated programmatic area-based or crisis-based approaches to strengthen complementarity and coherence of humanitarian, development and peace and stabilization support.

Since June 2016, OCHA is part of a group of agencies that have revised the Post-Conflict Needs Assessment Guidance into a Recovery and Peace Building Assessment (RPBA) guidance. Efforts have been made to highlight the importance of compiling and linking humanitarian needs assessment data and analysis with data and analysis done by development and peace building actors. OCHA has collaborated in the RPBA done in the Central African Republic in September 2016 and is engaged in the forthcoming RPBA in Cameroon to be undertaken early 2017. The results of these exercises inform discussions between government, humanitarian and development actors on subsequent response planning and financing.

OCHA strengthened inter-agency efforts to adopt a collective and coherent approach to the Humanitarian-Development Nexus (HDN), through the establishment of a Task Team (TT) on the Humanitarian-Development Nexus (HDN) under the IASC Secretariat. OCHA has actively engaged in the work of the TT, which aims to establish a common understanding of what is required to strengthen the humanitarian development nexus in protracted crises and to ensure that IASC has normative and operational frameworks relevant to protracted emergencies. OCHA also actively contributed to a roadmap and a plan of action, which were developed at a joint retreat of the IASC TT on HDN and the Working Group on Transition in October 2016.

Implementation of the strategy to take forward the New Way of Working:

**The purpose of the strategy is to take forward OCHA’s commitments on the humanitarian-development nexus, as outlined in the Commitment to Action and the related commitments in the Grand Bargain, and to ensure consistency in approach and messaging across all of OCHA’s work on this issue. OCHA’s support will be articulated at the political, policy and operational levels.**

**OCHA prioritized a strengthened support to countries aiming at implementing the New Way of Working (NWOW) and its support to take forward the NWOW focused on four operational areas:**

- 1) Pooled and combined data, analysis and information,**
- 2) Better joined up planning and programming processes,**
- 3) Effective leadership and coordination for collective outcomes, and**
- 4) Financing modalities to support collective outcomes.**

OCHA organized a policy workshop in January 2017 in Dakar to exchange ideas and good practices on issues defined under the NWOW; as well as to increase understanding of how regional, national and local responders are pursuing these shifts in an operational context and contribute to the system’s wider strategy of translating these ideas into practice.

The workshop was successful in bringing together 70 participants including RC/HCs, UN agencies, international, regional and national NGOs, donors, and the African Development Bank and Islamic Development Bank, OECD, ECOWAS, the West and Central Africa Regional Steering Group for the WHS. It also contributed to identifying a number of specific opportunities, enablers, challenges and impediments to taking the New Way of Working forward.

OCHA also provided in-country and remote support to implement/operationalize the NWOW (e.g. CAR) to not only meet humanitarian needs but also reduce needs, risks and vulnerabilities.

OCHA further engaged with donors, including through the Global Humanitarian Donorship (GHD), as well as other partners (UN agencies, World Bank) to advocate for innovative ways to support humanitarian, development and peace work, and to overcome the siloed and binary logic that currently prevails. In terms of needs assessments and analysis, efforts to engage with development actors have mostly taken place within Post-Disaster Needs Assessments and Post-Conflict Needs Assessments.

Through its inter-governmental policy support, OCHA supported negotiations on the QCPR, which have operational implications for how the UN System as a whole will support the humanitarian – development nexus.

Engage the private sector holistically across disaster risk reduction, emergency preparedness, response and recovery in partnership with UNISDR, UNDP and other humanitarian partners through the Connecting Business initiative to build the resilience and response capacities of local and global businesses.

### **3. Planned next steps**

*What are the specific next steps which you plan to undertake to implement the commitments (with a focus on the next 2 years)?*

OCHA will support country offices to further operationalize the NWOW towards a more joined-up approach across humanitarian, development and peace actors at country level, both through in-country remote support.

At the global level, OCHA will further engage in the IASC TT to advance results on the HDN, through the implementation of the roadmap and plan of action. This will include, among other outputs, defining a shared narrative that will guide collaboration both within the humanitarian communities of practice and between development and peace actors, ensure that policies, guidance, tools and protocols endorsed by IASC and used in protracted emergencies are applicable to such contexts; outlining a policy framework based on agreed principles for collective multi-year engagement in protracted crises settings between IASC and UNDG in line with the Commitment to Action; and developing a compendium of good and promising practices

OCHA will continue to participating in RPBA exercises and related initiatives, including capacity building and support to Country Offices to facilitate joint analyses. It will also engage with other agencies and actors at global and national levels on operationalisation of the 'collective outcomes' and monitoring of their achievements.

Strengthen engagement with the donor humanitarian and development community, including the Good Humanitarian Donorship (GHD) to advocate for their support to strengthen the nexus.

In order to advance policy and operational aspects of the New Way of Working, OCHA will co-sponsor together with UNDP and the World Bank a high-level workshop hosted by the Government of Denmark on 13-14 March 2017 that will examine four context-specific cases of implementing the New Way of Working and identify common barriers and enablers, including a dedicated discussion on financing. Additional high-level engagements are planned such as a workshop in Istanbul with the Government of Turkey in the spring of 2017 and discussions with the World Bank at the 2017 Spring Meeting, as well as side events at the ECOSOC Humanitarian Affairs Segment in June 2017.

Women and girls will be at the heart of the transition from crisis to stability at the family, community and national levels. Investments in women's empowerment will be promoted, to develop their skills and employment opportunities that will be critical to support durable sources of income and livelihoods. Gender equality and women's empowerment has the potential to bind efforts at all points on the humanitarian-development nexus.

At the field level, ensuring adequate collective context analysis, particularly related to vulnerability, risks, and needs as the basis for agreeing on collective outcomes that can be pursued across humanitarian, development, peacebuilding and political frameworks.

OCHA will continue to participate in RPBA exercises and related initiatives, including capacity building and support to Country Offices to facilitate joint analyses. It will also engage with other agencies and actors at global and national levels on operationalisation of the 'collective outcomes' and monitoring of their achievements.

#### **4. Efficiency gains (optional for year 1)**

*Please indicate, qualitatively, efficiency gains associated with implementation of GB commitments and how they have benefitted your organisation and beneficiaries.*



While efficiency gains are yet to be seen, as they would require more time, the work undertaken so far under this Grand Bargain commitment has already fostered new and strengthened collaboration with development partners, including the establishment of the IASC TT on the HDN, and important progress in certain countries. Through greater coherence across humanitarian and development planning, programming and coordination, where appropriate, OCHA expects to see efficiency gains in consolidating programme results and investments that impact the same vulnerable populations particularly in protracted crises. This can only be tangibly measured over time.

#### **5. Good practices and lessons learned (optional for year 1)**

*Which concrete action(s) have had the most success (both internally and in cooperation with other signatories) to implement the commitments of the work stream? And why?*

Engagement with all relevant non-humanitarian partners, such as development, stabilization/peace and national and local authorities, throughout all phases of humanitarian planning is critical. The contribution of these stakeholders to shared analyses, joined-up planning, programming and monitoring is key to ensure alignment and synergies across the different support interventions.

The Grand Bargain and the WHS have provided a unique momentum to further boost country-level, regional and global efforts to provide more coherent, sustainable and predictable support, by adopting a more collaborative and forward-looking approach.

Efforts to reinforce the HDN have been closely linked to, and supported by other GB work streams, such as multi-year planning processes, which have created conducive conditions and provided tools to further the humanitarian, development and peace nexus.

OCHA field offices have played a critical role in strengthen humanitarian-development synergies. Good practices are seen in a number of countries, focused on different aspects (e.g. analysis, planning, coordination...).