

## Grand Bargain Self-Reporting Explanatory Guidance

1. All signatories to the Grand Bargain are expected to complete the self-report annually.
2. Self-reports must be returned to the Grand Bargain Secretariat [gbsecretariat@un.org] no later than **Thursday 15 March, 2018**. Any submissions after this date may not be considered by the 2018 Independent Grand Bargain Report.
3. Reporting should reflect activities and progress that has taken place between January 2017 and December 2017.
4. The self-report requests information by work stream, however, in order to best track progress, signatories are asked to provide as much specific and relevant detail on progress made against each of the 51 individual commitments as possible. A full list of commitments for each work stream is included in the self-report template for reference.
5. The questions contained in this self-report are the same as in 2017, however some work streams include additional question for signatories, at the request of the work stream co-conveners. If you are unable to provide this information, please note the reasons for this.
6. Signatories who have not previously completed a self-report are asked to answer question one for each work stream, to provide a baseline of where your organisation stood when it became a Grand Bargain signatory. Existing signatories can complete questions two to five for each work stream, as your 2017 self-report will have already provided the baseline information sought by question one.
7. Please type your answers immediately below each question asked.
8. Signatories are encouraged to report both on progress made, and where they may have experienced obstacles or challenges to realising their commitments.
9. Signatories are encouraged, where possible and relevant, to reflect on their contributions to the Grand Bargain both as recipients of humanitarian funds and donors of humanitarian funds. This will allow us to capture the transfer of benefits accrued at higher ends of the value chain down to the frontline.
10. Signatories are asked to limit their responses to a maximum of 500 words per work stream.
11. Self-reports are public documents, and will be published as submitted on the IASC-hosted Grand Bargain [website](#) from 3<sup>rd</sup> June, 2018.

12. Self-reports will be used to inform the 2018 Independent Annual Grand Bargain Report, which will provide a collective analysis of the progress for each work stream, and for the Grand Bargain as a whole. The Independent Annual Grand Bargain report will be published prior to the 2018 Annual Grand Bargain Meeting on 18 June 2018, in New York.
13. The 2018 Independent Annual Grand Bargain Report is being prepared by [ODI/HPG](#). Signatories may be contacted by ODI/HPG as part of their research and preparation of the Independent Report.
14. If you require support or advice to complete your self-report, you may direct enquiries to the Grand Bargain Secretariat [[gbsecretariat@un.org](mailto:gbsecretariat@un.org)].

### **Gender Inclusion**

Signatories are encouraged address to the gender dimensions of their Grand Bargain commitments. For reporting on each work stream, consideration should be given to the guidance provided by the [Aide-Memoire on Gender Mainstreaming in the Grand Bargain](#) that addresses the gender dimensions of resources, capacity, evidence and data, participation, leadership, accountability and communication within the Grand Bargain. Signatories are also welcome to provide additional detail on how they consider they have, at a macro level, ensured their Grand Bargain follow-up is gender-responsive, and to include any examples of good practice that they wish to share. This data will assist in the preparation of the 2018 Independent Grand Bargain report, which will assess the extent to which gender has been considered by Grand Bargain work streams.



## 2018 Grand Bargain Annual Self-Reporting – [UNHCR]

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## Work stream 1 - Transparency

*Aid organisations and donors commit to:*

1. *Publish timely, transparent, harmonised and open high-quality data on humanitarian funding within two years of the World Humanitarian Summit in Istanbul. We consider IATI to provide a basis for the purpose of a common standard.*
2. *Make use of appropriate data analysis, explaining the distinctiveness of activities, organisations, environments and circumstances (for example, protection, conflict-zones).*
3. *Improve the digital platform and engage with the open-data standard community to help ensure:*
  - *accountability of donors and responders with open data for retrieval and analysis;*
  - *improvements in decision-making, based upon the best possible information;*
  - *a reduced workload over time as a result of donors accepting common standard data for some reporting purposes; and*
  - *traceability of donors' funding throughout the transaction chain as far as the final responders and, where feasible, affected people.*
4. *Support the capacity of all partners to access and publish data.*

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**Transparency work stream co-conveners reporting request:** How will you use the data from IATI within your organization including, for example, for monitoring, reporting and vis-à-vis other Grand Bargain commitments?

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

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

The Global Focus website (<http://reporting.unhcr.org/>) is UNHCR's main transparency and reporting platform, providing in-depth and regularly updated information on programmes, operations, financial requirements, contributions, expenditures and donor profiles, along with key publications including the Global Appeal and Global Report. Global Focus will remain UNHCR's main transparency tool and UNHCR will continue improving its functionality, especially to further demonstrate the link between plans, results and expenditures. Although UNHCR is not yet a member of the International Aid Transparency Initiative (IATI), it has, together with other humanitarian organizations, carefully analyzed the IATI standard for fit and applicability against its budget and planning structure. UNHCR reports part of its funding information (mainly funding to its programmes including in Humanitarian Response Plans and Refugee Response Plans) to the OCHA-managed Financial Tracking System (FTS). As FTS reports all its funding information monthly to IATI, to the extent UNHCR is reporting to FTS, it is also reporting to IATI. (the text from last year)

## **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 June 2017, UNHCR, together with ICRC and IFRC, finalized a joint position paper on the IATI standard and shared it with the Development Initiatives (DI) consultants who have been leading the Grand Bargain IATI work. The paper highlighted that the IATI standard further needs to be adapted to allow for meaningful publishing of humanitarian data. The paper also set out the joint position that it would be more meaningful and cost-effective from the organisations' perspective to start publishing to IATI once the limitations in the current version of the Standard have been addressed. UNHCR also provided comments on the proposed Grand Bargain IATI dashboard prepared by the DI, stating that it was not in a position to sign up to a scoring system where it would never be able to attain 100% since the criteria regarding a 3-year forwarding looking budget could never be met given the fact that UNHCR has a biennial budget in accordance with its financial rules and regulations.

By December 2017, UNHCR had contracted an independent consultant to review the implications and requirements for UNHCR to become an IATI publisher. By end February 2018, this independent study was concluded and highlighted that UNHCR was already publishing high quality data through its Global Focus website and that publishing this data according to the IATI Standard should not present any significant challenges to UNHCR.

## **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)?

Based on the review conducted by the consultant, UNHCR will make a decision as to whether to become an IATI publisher. At the same time, UNHCR together with ICRC and IFRC will continue the dialogue with the workstream co-conveners (the World Bank and the NL) and DI on the issues highlighted in the joint position paper, the challenges which the IATI Standard, in its current format, poses when trying to make it fit for reporting by humanitarian organisations with a very different business model. The three agencies will also continue the dialogue with the co-conveners of the Workstream, highlighting the importance of improving the overall data quality in the IATI platform as well as the need to reduce multiple data reporting (IATI, FTS), with the ultimate goal of streamlining donor reporting.

## **4. Efficiency gains**

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**

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?

Working with ICRC and IFRC on IATI proved to be an extremely important exercise for UNHCR, highlighting the similar challenges faced due to the nature of their respective operational environments in high-risk humanitarian contexts and similarities in their business models. The Grand Bargain enabled UNHCR to work with non-UN organizations.

## Work stream 2 – Localization

Aid organisations and donors commit to:

1. *Increase and support multi-year investment in the institutional capacities of local and national responders, including preparedness, response and coordination capacities, especially in fragile contexts and where communities are vulnerable to armed conflicts, disasters, recurrent outbreaks and the effects of climate change. We should achieve this through collaboration with development partners and incorporate capacity strengthening in partnership agreements.*
2. *Understand better and work to remove or reduce barriers that prevent organisations and donors from partnering with local and national responders in order to lessen their administrative burden.*
3. *Support and complement national coordination mechanisms where they exist and include local and national responders in international coordination mechanisms as appropriate and in keeping with humanitarian principles.*
4. *Achieve by 2020 a global, aggregated target of at least 25 per cent of humanitarian funding to local and national responders as directly as possible to improve outcomes for affected people and reduce transactional costs.*
5. *Develop, with the Inter-Agency Standing Committee (IASC), and apply a 'localisation' marker to measure direct and indirect funding to local and national responders.*
6. *Make greater use of funding tools which increase and improve assistance delivered by local and national responders, such as UN-led country-based pooled funds (CBPF), IFRC Disaster Relief Emergency Fund (DREF) and NGO-led and other pooled funds.*

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**Localisation work stream co-conveners reporting request:** What percentage of your humanitarian funding in 2017 was provided to local and national responders (a) directly (b) through pooled funds, or (c) through a single intermediary?<sup>1</sup>

In 2017, a total of 1.5 billion was provided to 1,000 non-profit partners. Of which 46%/USD 699 million (USD 670 million in 2016) was allocated to 826 local and national partners, including \$524 million (\$491 million in 2016) to 648 local/national NGOs. This is the highest number of local and national partners recorded as well as the highest funding allocations made by UNHCR to them.

These figures are provisional pending closure of the 2017 accounts.

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<sup>1</sup> The "Identified Categories for Tracking Aid Flows" document agreed through silence procedure ([available here](#)) provides relevant definitions. The detailed data collection form ([available here](#)) may also assist you in responding to this question. Returning this form with your self report is optional, but encouraged.

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

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

In 2015, UNHCR transferred 15% of its total expenditures (18% of its programme expenditure) to the local partners (local NGOs and local/national governments combined). Amongst UN agencies, there were no harmonized arrangements in place for partner eligibility and partner agreements. High Alert List of Emergency Preparedness (HALEP) was launched internally to alert on situations and prioritize preparedness support at field level, which included regional and local stakeholders. [the text from last year]

## **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, UNHCR has actively pursued in exploring approaches to enhance partnership management processes, introducing user-friendly policies and promote the engagement of LNNGO partners. Consultations and participation of LNNGO partners in number of these initiatives are being sought. These efforts have led to the increased number of LNNGO participating in UNHCR operations and the funds entrusted to them, reaching 21% of UNHCR's annual Programme Expenditure.

IVCA and UNHCR have developed Operational Guidance on "enhancing complementary capacities strengthening" Workshops and webinars were held (in Bangkok and East African countries) with focus on improving capacity of national NGOs.

Furthermore, harmonisation of partnership management processes with other sister agencies, particularly UNICEF, WFP, and OCHA is proceeding. UNHCR Partner Portal was expanded to reach out to prospective partners, which enabled the pool of registered NGO partners to almost double from its 2015 level (1,500 NGOs). The portal has also inspired UNICEF, WFP and UNHCR to develop a common UN Partner Portal. Hence, converging their processes and providing a single gateway for partners, harmonized due diligence assessments, reducing burden on partners and improving efficiencies. The technical development of the common UN portal is being tested and roll-out of its use is being initiated with the aim of becoming fully functional in the fourth quarter of 2018 year.

UNHCR and UNICEF have harmonized the auditing approach for common partners, based on risk-based audit established by UNHCR. It also complements with that of UNICEF harmonisation with, UNDP and UNFPA audit engagement. It is in its second year of its application of the common audit in countries is being introduced in stages to ensure smooth integration into various aspects of audit management and aligning with the operation cycle of the respective UNHCR/UNICEF.

The Comprehensive Refugee Response Framework (CRRF) and UNHCR's revised policy on emergency preparedness and response issued in July 2017 highlight the key principle of partnership including with governments, civil society and local NGOs. This principles is activated at the early stages of emergency preparedness by engaging with local actors in

mapping emergency capacities, identifying potential gaps and ensuring support to build and strengthen local capacity.

Also in the context CRRF, UNHCR, the IFRC and ICVA have created a reference group with NGO networks from all regions. NGOs have been instrumental in implementing the CRRF at the grassroots level and in ensuring that the voices of refugees and local stakeholders are heard and that their views are reflected in all activities.

UNHCR's global guidelines on emergency preparedness and contingency planning require operations to develop refugee emergency preparedness action plans in conjunction with local, national and international partners and other stakeholders. To support that effort, UNHCR Emergency Preparedness Section fielded 10 advanced preparedness missions in 2017. All the missions included consultations at local level with authorities, communities and local partners and service providers. In 2017, UNHCR operations that benefitted from dedicated support included Venezuela, Colombia, Brazil, Trinidad and Tobago, Zambia, the Republic du Congo, Nigeria, Cote d'Ivoire, Cyprus, South Korea, Japan and China.

In 2017 UNHCR also facilitated 11 Situational Emergency Trainings (SET) that included substantive participation of local government and NGO partners, including in Honduras, Guatemala, El Salvador, Zambia, Colombia, Angola, Latvia, Lithuania, Mexico and twice in Uganda. During the SETs, apart from benefiting from training on emergency response standards, the local partners commit to contingency plans for specific risk scenarios.

UNHCR monitoring through the global preparedness tool, HALEP shows that out of 33 refugee contingency plans finalised by field operations in 2017, 27 (or 81%) include participation of local government and 23 (or 70%) include local or national NGOs as contingency partners and/or participating actors in preparedness.

### **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)?

UNHCR and ICVA have prepared a partner survey to identify additional areas of harmonization in the area of the partnership agreements. The survey will be sent out shortly and the outcomes will be used during the 2018 for further harmonization work. In April 2018, there will be a field workshop targeting NGOs that are not familiar with the UNHCR portal which the UN common partner portal has been built upon.

### **4. Efficiency gains**

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**

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 3 – Cash

Aid organisations and donors commit to:

1. *Increase the routine use of cash alongside other tools, including in-kind assistance, service delivery (such as health and nutrition) and vouchers. Employ markers to measure increase and outcomes.*
2. *Invest in new delivery models which can be increased in scale while identifying best practice and mitigating risks in each context. Employ markers to track their evolution.*
3. *Build an evidence base to assess the costs, benefits, impacts, and risks of cash (including on protection) relative to in-kind assistance, service delivery interventions and vouchers, and combinations thereof.*
4. *Collaborate, share information and develop standards and guidelines for cash programming in order to better understand its risks and benefits.*
5. *Ensure that coordination, delivery, and monitoring and evaluation mechanisms are put in place for cash transfers.*
6. *Aim to increase use of cash programming beyond current low levels, where appropriate. Some organisations and donors may wish to set targets.*

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

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

In 2015, UNHCR transferred US\$ 325 million directly to beneficiaries. UNHCR adopted and launched a five-year (2016–2020) *Policy on Cash-based Interventions* and the *UNHCR Strategy for the Institutionalisation of Cash-Based Interventions (CBI)*.

### 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, UNHCR delivered USD 502 million in cash assistance reaching some 8 million vulnerable people in 94 countries. 25 % of it was provided to meet specific protection objectives. While the net volume of cash has decreased from the 2016 figure of USD 688 million, mostly due to the reduction in the number of Afghan returnees, an increased number of operations have introduced and expanded the use of cash.

In line with the institutionalization strategy, UNHCR has integrated cash assistance in the existing guidance, skills, tools and processes. Over 3,000 UNHCR and partner staff have been trained. UNHCR's corporate tool for the management of cash assistance **CashAssist** has been strengthened and is now available for the tracking of cash by staff and partners. UNHCR's

financial management system has also been updated. UNHCR expanded evidence-building through studies in such areas as protection, health, education, WASH and basic needs.<sup>[2]</sup> UNHCR also developed cash tools and made them available to all stakeholders.<sup>[3]</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)?

UNHCR will increase efforts to use cash assistance to leverage financial inclusion and social protection, enhancing solutions and resilience of refugees and others of concern. The recognition of refugee ID to create individual accounts will be systematically explored as a means to create inclusion opportunities. UNHCR will leverage responses combining cash and digital ID by engaging with the World Bank, development partners, private sector and national institutions to pursue social protection for refugees and others.

Moreover, UNHCR will also scale up the implementation of its [basic needs approach](#) and cash for protection actions building evidence and good practices for child protection, persons with disabilities, education, SGBV and returnees. Strengthened partnerships with traditional and new partners, including humanitarian, development, institutional and private sector will continue to drive the efforts. UNHCR will also invest more in ensuring interoperable cash assistance systems as part of the Population Registration and Identity Management EcoSystem (PRIMES), enabling fit-for-future data, information and analytics. PRIMES encompasses all interoperable UNHCR registration, identity management and caseload management tools and applications including the existing ones such as ProGres and Biometric Identity Management System (BIMS) as well as those to be developed in future.

### 4. Efficiency gains

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

UNHCR's approach is to negotiate and establish cash transfer services that are managed by the private sector but are available to all partners on the same terms and conditions. UNHCR provided 95% of its total volume through cash transfers and 5% through vouchers. Over 60% was provided through multi-purpose cash. In large-scale and mature programme, up to 93 cents of a dollar goes directly to the beneficiary.

UNHCR also did joint procurement with WFP in Nigeria and joined already existing Financial Service Provider (FSP) contracts in Chad (UNDP), Rwanda (WFP) and Yemen (UNICEF). UNHCR and WFP signed a [Cash Addendum to the 2011 UNHCR-WFP Global MOU on cash assistance to refugees](#) with an aim to provide a predictable framework for collaboration. UNHCR also

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<sup>[2]</sup> Cash for Health: [Key learning from a cash for health intervention in Jordan](#); Education – [Cash for Education: A global review of UNHCR's programs in refugee situations](#); WASH: [Cash-Based Interventions and WASH](#); the "Basic Needs [Approach](#) in the refugee response".

<sup>[3]</sup> [UNHCR's innovative Cash Delivery Mechanism Assessment Tool \(CDMAT\)](#) helps humanitarians to assess the adequacy of cash delivery mechanisms; UNHCR Cash Feasibility and Response Analysis Toolkit, compiles new tools and knowledge on conducting cash feasibility assessments and response analysis; [UNHCR's multi-sectoral Market Assessment Companion Guide and Toolkit](#), provide guidance and tools for conducting market assessments and monitoring.

invested significantly in taking forward data-sharing and joint targeting with WFP, including finalising the *Joint UNHCR/ WFP Principles for Targeting* and developing a *Joint WFP/ UNHCR Addendum on Data-Sharing* to the 2011 MoU.

UNHCR has established key partnerships in Africa and the Middle East with development actors to include refugees and others of concern in their programs, technical assistance and lending operations. They include partnering with UNCDF, Financial Sector Deeping Africa (FSDA), Grameen Credit Agricole Foundation and Sida.

## 5. Good practices and lessons learned

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?

In **Jordan**, the [Common Cash Facility \(CCF\)](#) provides 90% of all cash to vulnerable refugees outside of camp. The CCF aims to provide humanitarian actors with direct/equal access to a common FSP. As more partners have joined (now 17), bank fees for cash transfers have fallen from 5% to 1.15%. [A review of the Common Cash Facility \(CCF\) in Jordan](#) concluded the CCF to be a secure, efficient and innovative cash transfer approach that has enabled predictable cash payments at scale while streamlining multiple organizations' cash transfer programmes.

Learning from Jordan, UNHCR put in place the [Greece Cash Alliance \(GCA\)](#) in partnership with 5 international NGOs.<sup>2</sup> The harmonised cash delivery is based on: standardized eligibility; a single database of refugees and asylum-seekers; a single FSP, a single bank card loaded with cash by UNHCR on a monthly basis following partners' validation; a standardized cash amount; a single M&E framework; A shared helpline in 8 languages to respond to refugees' inquiries; and joint communication materials and initiatives targeting refugees and asylum-seekers.

The programme is integrated with [UNHCR's corporate cash assistance management system, CashAssist](#), with a direct link between the registration system and the FSP, facilitating tracing of the cash delivered to refugees and asylum-seekers. *CashAssist* is integrated with the latest version of UNHCR's global registration and case management system, Profile Global Registration System for Partnerships (proGres v4). *CashAssist* improves accountability and complies with audit requirements while ensuring data protection. UNHCR is currently rolling out *CashAssist* in several countries, making it available to all partners.

In **Egypt**, UNICEF provided winterization funding through the UNHCR cash transfer, as a result, the operation was able to provide full minimum expenditure basket to vulnerable refugees. In **Lebanon**, UNHCR, WFP and the Lebanon Cash Consortium demonstrated that collaboration between the partners created unprecedented cost efficiency and effectiveness by eliminating duplication around assessment, targeting and monitoring. In **Somalia**, Returnee IDs issued by UNHCR was recognised as a basis for the "know your customer" requirements by the national authorities to create individual bank accounts.

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<sup>2</sup> Catholic Relief Services, the International Rescue Committee, Mercy Corps, the International Federation of the Red Cross and Samaritan's Purse.

## Work stream 4 – Management costs

*Aid organisations and donors commit to:*

1. *Reduce the costs and measure the gained efficiencies of delivering assistance with technology (including green) and innovation. Aid organisations will provide the detailed steps to be taken by the end of 2017.*

*Examples where use of technology can be expanded:*

- *Mobile technology for needs assessments/post-distribution monitoring;*
  - *Digital platforms and mobile devices for financial transactions;*
  - *Communication with affected people via call centres and other feedback mechanisms such as SMS text messaging;*
  - *Biometrics; and*
  - *Sustainable energy.*
2. *Harmonise partnership agreements and share partner assessment information as well as data about affected people, after data protection safeguards have been met by the end of 2017, in order to save time and avoid duplication in operations.*

*Aid organisations commit to:*

3. *Provide transparent and comparable cost structures by the end of 2017. We acknowledge that operational management of the Grand Bargain signatories - the United Nations, International Organization for Migration (IOM), the Red Cross and Red Crescent Movement and the NGO sector may require different approaches.*
4. *Reduce duplication of management and other costs through maximising efficiencies in procurement and logistics for commonly required goods and services. Shared procurement should leverage the comparative advantage of the aid organisations and promote innovation.*

*Suggested areas for initial focus:*

- *Transportation/Travel;*
- *Vehicles and fleet management;*
- *Insurance;*
- *Shipment tracking systems;*
- *Inter-agency/common procurement pipelines (non-food items, shelter, WASH, food);*
- *IT services and equipment;*
- *Commercial consultancies; and*
- *Common support services.*

*Donors commit to:*

5. *Make joint regular functional monitoring and performance reviews and reduce individual donor assessments, evaluations, verifications, risk management and oversight processes.*
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**Management costs work stream co-conveners reporting request:** What steps have you taken to reduce the number of individual donor assessments (if a donor) or partner assessments (if an agency) you conduct on humanitarian partners?

UNHCR and UNICEF have harmonized the auditing approach for common partners, based on risk-based audit established by UNHCR. It also complements with that of UNICEF harmonisation with, UNDP and UNFPA audit engagement. It is in its second year of its application of the common audit in countries is being introduced in stages to ensure smooth integration into various aspects of audit management and aligning with the operation cycle of the respective UNHCR/UNICEF.

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

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

UNHCR is part of the Global Humanitarian Lab that works to scale up collective innovation in humanitarian interventions. In 2016, biometrics were used in 63 countries for refugee protection. Of these, 34 were UNHCR operations for the purpose of identity management, focused in particular on registration, and for assistance distribution. UNHCR/UNICEF/WFP's joint work on harmonization of partnership agreements was ongoing. There was no harmonized costing structures amongst different donors and aid organizations, making cost performance comparison impossible. Fund recipients are obliged to adjust financial reports for different donors even when funds were allocated to the same project. UNHCR total procurement amounted to US\$ 1.017 billion in 2015, goods and services combined. During 2011 to 2016, UNHCR provided formal responses to a total of 106 individual donor assessments. [the text from last year]

### **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 March 2017, UNHCR and the Government of Japan conducted a workshop in Geneva to take stock of the status of the 5 commitments under the workstream.

#### Innovation

UNHCR's Innovation Service collaborates with a range of stakeholders, and works in partnership with around 25 partners globally. These range from UN partners, private sector – small and large organisations – academia, NGOs. The Global Humanitarian Lab (GHL), is a platform that UNHCR supports, both in terms of funding, but more importantly, in steering, and advising. The GHL, it is hoped, will provide an opportunity to amplify promising practices to organisations with fewer resources to invest in innovation, as well as the sharing of lessons learned, and sometimes to pool resources, or indeed to help to scale specific projects on a

wider scale, and with a wider scope. The Global Alliance on Humanitarian Innovation (GAHI), is another platform that UNHCR collaborates with. It seeks to solve system-wide blocks to innovation, whether these be political, policy, or other systemic challenges. Aside from these two platforms, there is a thriving innovation effort in the humanitarian system, which is extremely collaborative. MSF, ICRC, NRC, WHO, UNICEF, WFP, and more, including Global Pulse, exchange ideas, and approaches on a regular basis. It is a community that is committed to changing the culture, as well as introducing new approaches.

UNHCR's Biometric Identity Management System (BIMS) was deployed to 18 country operation in 2017, bringing the total UNHCR biometrics coverage to 50 operations, against the WHS commitment to use biometrics for refugee registration to a total of 75 country operations by 2020. UNHCR is on track to meet this target by 2020. UNHCR developed a mobile data collection tool which yielded invaluable needs-assessment data for the Rohingya refugee emergency response. Mobile technology allowed for data collection with GPS tagging of family shelters for the +700,000 individual refugees in Bangladesh resulting in more coordinated, targeted responses across organisations for the delivery of protection and life-saving assistance. The roll out of UNHCR's Global Distribution Tool in three operations (Kenya, Djibouti and Burundi) using BIMS biometrics streamlined the delivery of aid, and added further integrity to the processes.

#### Harmonized Partnership Arrangements

Please see the localization chapter

#### Harmonization of Cost Structure

NRC with the technical support from the Boston Consulting conducted a study "*Money Where it Counts*". The study captures how different financial reporting formats are required for different donors for the same project, as donors apply different costing structures.

UNHCR/GOJ initially planned to build upon the NRC study as a starting point to harmonize costing structures. However, it became apparent that the NRC study was done from an international NGO point of view, hence treating a donor government and a UN equally as "a donor". UN agencies pass-on funding to NGOs was not captured in the study.

Thus it was determined that it would be more appropriate for international NGOs and UN agencies to look into costing issues separately. In this regard, UNHCR is collaborating with the Secretariat of the Finance and Budget (FB) Network, Chief Executives Board for Coordination (CEB) in the context of the recently-launched "UN data cube" project. (CEB/2017/HLCM/18 provides the inception report). The UN data cube envisages –with the overall goal of harmonising reporting within the UN reform context - work related to the definition of functions, which will address, inter alia, support functions, operations, and administrative costs.

#### Joint Procurement

The second phase of the "Collaborative Procurement of High-Value Commodities" (completed in 2016) took place from May to July 2017 – UNHCR taking the lead on behalf of the UN Procurement Network which covers 95% of the overall UN procurement. In phase II, the prioritized categories identified for further analysis were; IT Hardware, Generators, Advisory

and Management Consultancy Services. Two other categories (Tents and Executive Search Services) were de-prioritized at this stage.

The Phase II concluded that arbitrage (i.e. use of the best contract rates) and volume discount would yield the greatest saving. For example a volume discount and savings from arbitrage opportunities of about USD 3.71 million on a baseline of around USD 90 million of IT hardware (annual procurement amount for UN agencies). The recommendation is therefore to undertake a collaborative procurement project for IT hardware under a clear opt-in/opt-out modality.

#### Donor Individual Assessments

The UN Joint Inspection Unit report “Donor-led assessments of the United Nations system organizations” [https://digitallibrary.un.org/record/1299379/files/A\\_72\\_298-EN.pdf](https://digitallibrary.un.org/record/1299379/files/A_72_298-EN.pdf) provides the number of individual donor assessments conducted between 2011 to 2016. The Workstream uses this as an independent baseline data. UNHCR and GOJ shared the data (draft that time) at the March workshop and highlighted the increasing number of individual assessments taking place. The workstream also made a request to the Government of Bulgaria who holds the EU Presidency (January – June 2018) to discuss the increasing number of individual donor assessments, referring the JIU report as the baseline.

### **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)?

#### Innovation

UNHCR will work towards its commitment made at the WHS to use biometrics for refugee registration to a total of 75 country operations by 2020, and will further increase distribution efficiencies through the use of biometrics and the Global Distribution Tool.

#### Harmonized Partnership Agreements

Please refer to the localization chapter

#### Cost Harmonization

As of February 2018 the position of project manager for the UN data cube initiative is being recruited. With this position filled, it is expected that the project will gain considerable momentum. As such, it is anticipated that by end March 2018, a roadmap will have been defined as to how to best leverage phase 1 of the UN data cube project in relation to the definition of functions and related costs which would identify areas for further improvement in providing transparent and comparable cost structures across the UN family and hence address the Grand Bargain commitment.

#### Joint Procurement

As per the recommendation of the Phase II of the study, a bilateral collaborative procurement between IOM and UNHCR on tents will be explored.

#### Donor Individual Assessments

Based on the contacts initiated in 2017, the workstream will work with MOPAN to see how MOPAN could assist in reducing the number of individual donor assessments, noting that the

MOPAN membership almost squarely match with the GB signatories. UNHCR and the GOJ have been invited to MOPAN annual meeting in April 2018 to discuss the Grand Bargain.

#### **4. Efficiency gains**

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

##### Innovation

Using biometrics for verification at the point of assistance distribution has reduced waiting times for refugees, and also allowed for more robust tracking of the distribution of assistance to individual refugee households to ensure that assistance is distributed fairly. UNHCR has shared the use of its tools and data with other UN Agencies and Partners to reduce duplication in data collection and increased the streamlining and efficiency gains in aid distributions. Family counting data generated in Bangladesh using UNHCR's mobile data collection tool was shared across agencies to help planning and programmatic responses.

##### Cost Harmonization

The coordination with the work already being undertaken in the context of the UN data cube project will avoid duplication of efforts and related costs in obtaining the baseline information required.

##### Joint Procurement

In MENA region more than 20 Long Term Agreements are established by UNHCR and made available to other UN agencies; e.g. for hotel services, financial service provision, translation, customs clearance, security, stationery; and our sister agencies reciprocate.

#### **5. Good practices and lessons learned**

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?

Overall, the workstream took the approach to firstly identify existing data and to build on the already planned activities (as opposed to contracting external consultancies to do the workstream activities) and used existing human resources. This approach, however not easy, proved to be more appropriate one in order to ensure that initiatives taken remain within the existing structure, therefore more sustainable.

## Work stream 5 – Needs Assessment

Aid organisations and donors commit to:

1. *Provide a single, comprehensive, cross-sectoral, methodologically sound and impartial overall assessment of needs for each crisis to inform strategic decisions on how to respond and fund thereby reducing the number of assessments and appeals produced by individual organisations.*
2. *Coordinate and streamline data collection to ensure compatibility, quality and comparability and minimising intrusion into the lives of affected people. Conduct the overall assessment in a transparent, collaborative process led by the Humanitarian Coordinator/Resident Coordinator with full involvement of the Humanitarian Country Team and the clusters/sectors and in the case of sudden onset disasters, where possible, by the government. Ensure sector-specific assessments for operational planning are undertaken under the umbrella of a coordinated plan of assessments at inter-cluster/sector level.*
3. *Share needs assessment data in a timely manner, with the appropriate mitigation of protection and privacy risks. Jointly decide on assumptions and analytical methods used for projections and estimates.*
4. *Dedicate resources and involve independent specialists within the clusters to strengthen data collection and analysis in a fully transparent, collaborative process, which includes a brief summary of the methodological and analytical limitations of the assessment.*
5. *Prioritise humanitarian response across sectors based on evidence established by the analysis. As part of the IASC Humanitarian Response Plan process on the ground, it is the responsibility of the empowered Humanitarian Coordinator/Resident Coordinator to ensure the development of the prioritised, evidence-based response plans.*
6. *Commission independent reviews and evaluations of the quality of needs assessment findings and their use in prioritisation to strengthen the confidence of all stakeholders in the needs assessment.*
7. *Conduct risk and vulnerability analysis with development partners and local authorities, in adherence to humanitarian principles, to ensure the alignment of humanitarian and development programming.*

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**Needs assessment work stream co-conveners reporting request:** What hurdles, if any, might be addressed to allow for more effective implementation of the GB commitment?

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## 1. Baseline (only in year 1)

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

Needs assessments for refugee operations are regularly published on UNHCR's data web portal (<http://data.unhcr.org>). UNHCR is one of the largest contributors of datasets to the Humanitarian Data Exchange (HDX). In addition, assessment reports from cluster needs assessments, which UNHCR leads or participates in, are shared on <https://www.humanitarianresponse.info>, <http://sheltercluster.org> and on other cluster websites.

## 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?

**UNHCR is actively taking part in the ECHO/OCHA led joint needs assessment workstream.** UNHCR is leading the development of “Collaborative Needs Assessment Commitments”; to be endorsed by broad range of organizations to commit to the “rules of engagement” in joint needs assessment. The document would point towards expected behaviours in data sharing, avoiding doing harm with needs assessments, engaging in joint analysis and fostering a positive environment for undertaking joint assessments.

**UNHCR is engaged in the inter-agency joint assessments and analysis activities.** UNHCR is part of the Joint Inter-Sectoral Analysis group (and Technical Advisory Group), working across sectors to develop and strengthen a holistic, systematic set of procedures to guide inter-sectoral analysis. This framework will require collective work as well as intra agency and Cluster linkages.

**Mobile-data collection Kobo is fully institutionalized** In 2017 UNHCR contributed USD 100,000 to the development additional features in Kobo (available to all users of Kobo), and Kobo users now number over 3,000 within UNHCR, and it has become the standard tool for mobile data collection in the organisation in mid-2017. UNHCR will also encourage use of Kobo with actors outside the humanitarian community; for example DPKO and the World Bank have shown interest in its use as well.

**UNHCR is sharing more data.** During the 3<sup>rd</sup> quarter of 2017, UNHCR opened its datasets in machine-readable formats (CSV and JSON) on <http://data2.unhcr.org>, including extracting data from graphs and pushing data out to other portals, such as the HDX. This movement towards open data will allow any humanitarian actor to recombine UNHCR datasets for new kinds of analysis. Through its work with Protection Information Management (<http://pim.guide/>), and the Crisis Information Management Group (CiMAG), UNHCR is participating in discussions with the UN Secretariat on the value of coordinated and harmonized assessment, and more predictable sharing of data and information within the UN as a whole. In addition to providing open-data, bilaterally and multilaterally, UNHCR is engaged in data sharing negotiations. These global bilateral and multilateral agreements

under discussion, including with WFP, UNICEF and IFRC, will allow the exchange of sensitive needs assessment microdata between humanitarian actors that cannot be publicly shared due to it being personally identifiable or due to other protection reasons.

**UNHCR is leading the development of standards for statistical reporting on refugees and IDPs through the Expert Group on Refugees and IDP Statistics (EGRIS).**

International Recommendations on Statistics for Refugees were adopted at the 49<sup>th</sup> Session of the UN Statistical Committee (5 – 9 March 2018), providing a comparable and structured foundation for reporting on the numbers and conditions of refugees globally. The recommendations also address issues of coordination and collaboration for States and others engaged with refugees. A similar set of recommendations for IDPs will be presented to the UN Statistical Commission in 2020, based on the content of the Technical Report on Statistics for IDPs presented and endorsed at the same session of the Commission.

**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)?

**Institutionalisation of joint assessment and analysis throughout the organisation.**

There remains a need to reinforce UNHCR's capacity to undertake and support coordinated assessment and analysis within the field, and a comprehensive organisation-wide strategy to support this will be a key feature within the organisation's newly formed Data Service and Integrated Programme Service. Both the data and analytical capacities of staff and decision makers will be shored up, and the deployment of assessment and analysis skilled staff in the early stages of an emergency will become a regular feature.

**UNHCR is leading a small inter-agency group in updating Needs Assessment**

**Tools.** This work started off as a way to update the Toolkit which accompanies the UNHCR Needs Assessment Handbook (<http://needsassessment.unhcr.org/>), but evolved into an inter-agency tool sharing community of practice to help build, harmonise and strengthen the various Toolkits within the community.

**UNHCR is continuing its work on the Raw Internal Data Library (RIDL)** which is a central data library for maintaining operational raw data from monitoring and needs assessments. This will ensure that knowledge is maintained over time, despite staff rotation. It will enable UNHCR to link needs assessments from multiple partners together, to cross-analyze data from multiple sources and to curate needs assessment microdata so that it can be shared more broadly including via OCHA's HDX.

**UNHCR is aligning needs assessments with development actors through the World Bank UNHCR Joint Data Centre** which will be opened in 2018. A priority activity will be the public release of additional microdata to support a variety of assessment and analysis, particularly of household poverty and other socio-economic indicators of refugees and other forcibly displaced populations.

**UNHCR is developing an Integrated Framework for Household Surveys.** Building upon experiences in MENA region, UNHCR will systemise the collection of data through household surveys, one of the most common tools for collecting assessment information. This will include guidance on indicators, sampling methodologies, analysis of results, and using survey results for programme design and monitoring. The aim is also provide cross border comparative data on conditions, and in a rigorous fashion to understand the changes over time, and contribute to the analysis of impact of responses.

#### **4. Efficiency gains**

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

Working collaboratively on the development software applications that support needs assessment – such as Kobo for data collection and DEEP (Data Entry and Exploration Platform) for unstructured and qualitative data analysis – both reduces the costs of software development and naturally aligns the practices of participating organizations. UNHCR is working with OCHA, ACAPS, IFRC, OHCHR and others on commonly used software applications.

#### **5. Good practices and lessons learned**

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 work with a diverse community of stakeholders, particularly outside of the traditional humanitarian community has proven beneficial, as with the EGRIS. Inclusion of data professionals, such as those in national statistical offices as well as within UN organisations such as UNFPA, UNICEF, World Bank, OCED and UN Statistics Division, has elevated the technical quality of the work on data collection and analysis. This has also helped to build the foundations to bridge the humanitarian and development gap, which is often a data gap as well.

## Work stream 6 – Participation Revolution

*Aid organisations and donors commit to:*

- 1. Improve leadership and governance mechanisms at the level of the humanitarian country team and cluster/sector mechanisms to ensure engagement with and accountability to people and communities affected by crises.*
- 2. Develop common standards and a coordinated approach for community engagement and participation, with the emphasis on inclusion of the most vulnerable, supported by a common platform for sharing and analysing data to strengthen decision-making, transparency, accountability and limit duplication.*
- 3. Strengthen local dialogue and harness technologies to support more agile, transparent but appropriately secure feedback.*
- 4. Build systematic links between feedback and corrective action to adjust programming.*

*Donors commit to:*

- 5. Fund flexibly to facilitate programme adaptation in response to community feedback.*
- 6. Invest time and resources to fund these activities.*

*Aid organisations commit to:*

- 7. Ensure that, by the end of 2017, all humanitarian response plans – and strategic monitoring of them - demonstrate analysis and consideration of inputs from affected communities.*

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

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

Out of 65 refugee and IDP situations reporting on the indicator, 48 were in the acceptable range of 35% female participation or above. UNHCR 2015 end of year reporting (91%) of operations collected inputs and feedback from persons of concern through participatory assessments.

### **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?

UNHCR has been co-chairing the IASC Accountability to Affected Populations (AAP) Task Team meeting since 2014, but will hand over the role of co-chair as of the end of March 2018. UNHCR has endorsed the revised AAP commitments. The task team has focused on field support through a revitalization of the AAP help desk, integration of AAP/Prevention of Sexual Exploitation and Abuse (PSEA) into the Humanitarian Programme Cycle and support

to issues raised from the field during the roll-out phase of the Inter-Agency Community-Based Complaints Mechanisms.

The Task Team has continued to develop synergies with other IASC Subsidiary bodies and inter-agency initiatives such as the Grand Bargain Participation Revolution, the Communication and Community Engagement Initiative and the UN Sexual Exploitation and Abuse Working Group

UNHCR's efforts on collective approaches have incorporated interagency communication systems (<https://www.refugees-lebanon.org/>; <http://help.unhcr.org/>), participation in local level working groups and contributing to learning and best practice guidance (such as the **Cox's Bazar** Communication with Communities (CwC) Working Group and the interagency PSEA Networks **Chad**).

An e-learning on AAP is under development for delivery at the end of 2018 that will form part of a UNHCR staff certification for protection programme.

Initial discussions have begun with HR to embed AAP responsibilities into field roles and work is ongoing to revise UNHCR's Results-Based (RBM) Framework to include strategic benchmarks for the monitoring and reporting of AAP activities. The AAP framework is now part of a revised UNHCR Age Gender and Diversity policy to be issued in 2018.

UNHCR's internal instructions on planning, implementation and reporting in 2017 included specific actions on AAP and stronger emphasis on the early engagement of local and national actors.

UNHCR operations improved the participation of women in leadership/management structures in 29 refugee situations and three IDP situations, and maintained the existing level of participation in four refugee situations.

In line with UNHCR's Age, Gender and Diversity Policy, UNHCR operations followed a community-based approach to encourage women's participation in decision-making activities, which included setting up community-based protection networks to promote community participation. To strengthen the quality of engagement, UNHCR operations also provided various trainings to elected representatives and community volunteers on issues such as child protection, forced/early marriages and the prevention of sexual and gender-based violence (SGBV).

UNHCR continues to participate in the IASC Gender Reference Group, and is a member of the Gender Standby Capacity Project (GenCap) Steering Committee.

### **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)?

UNHCR's AAP Officer has been engaged for 2018 to support operationalising AAP commitments in the field, and in organisational processes. The AAP Officer was on emergency mission to Bangladesh and contributed to the Accountability Strategy for the CwC working group in Cox's Bazar. UNHCR also engaged a CwC deployment from NORCAP resources with the same portfolio, for Bangladesh. They were both embedded in the UNHCR

community-based protection team, which leads the operational efforts on community engagement, participation, and inclusion of all age, gender and diversity groups. UNHCR will issue an updated Age, Gender and Diversity (AGD) Policy in 2018 incorporating AAP framework. It will include mandatory core actions, including on AAP, participation, and gender equality.

#### **4. Efficiency gains**

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**

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?

UNHCR **Malaysia** encouraged female leadership by including female leaders in UNHCR's regular monthly leaders' meetings, workshops and trainings on leadership and gender awareness. These efforts resulted in a 43.2 per cent increase in the participation of female leaders, with 199 female refugees participating in management and decision-making roles.

In **Turkey**, UNHCR supported existing and newly established women's committees by providing them with training on advocating for the elimination of child marriages within their communities. A refugee outreach volunteer programme was developed to increase community mobilization and empowerment; 45 per cent of the selected ROVs were women.

In **Lebanon**, UNHCR supported the formation of 230 community groups linked to community centres and collective sites. These groups included approximately 3,000 persons of concern, including youth, Lesbian, Gay, Bi-Sexual, Transgender and Intersex (LGBTI) persons and older persons etc. Of the members, 65 per cent were women of differing ages. The groups share information about available services and mobilize individuals to participate in centre and outreach activities.

In **Kenya**, UNHCR provided trainings to 77 community leaders on addressing the prevalence of SGBV within their communities; 74 per cent of those trained were women. A key outcome of the trainings was the identification of 200 female leaders (aged 24 to 35 years) from all camps to work as mentors to girls living in the camps.

Operations, such as **Cameroon**, attempted to overcome social barriers by conducting community awareness-raising campaigns on key protection issues such as the importance of girls' education, civil documentation, and the risk of early marriage. Operations, such as **Uganda**, have also identified that gender sensitization activities often focus on women and do not include men, which can inhibit efforts to promote gender equality.

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

Aid organisations and donors commit to:

1. *Increase multi-year, collaborative and flexible planning and multi-year funding instruments and document the impacts on programme efficiency and effectiveness, ensuring that recipients apply the same funding arrangements with their implementing partners.*
2. *Support in at least five countries by the end of 2017 multi-year collaborative planning and response plans through multi-year funding and monitor and evaluate the outcomes of these responses.*
3. *Strengthen existing coordination efforts to share analysis of needs and risks between the humanitarian and development sectors and to better align humanitarian and development planning tools and interventions while respecting the principles of both.*

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**Multi-year planning and funding work stream co-conveners reporting request:** Please report the percentage and total value of multi-year agreements<sup>3</sup> you have provided (as a donor) or received and provided to humanitarian partners (as an agency) in 2017, and any earmarking conditions.<sup>4</sup> When reporting on efficiency gains, please try to provide quantitative examples.

Based on its financial rules and regulations, UNHCR has biannual budget. While the budget presentation is biannual, funding allocation system is on annual basis. As such, UNHCR did not provide multi-year agreements to its partners.

In 2017, of the USD 3.9 billion voluntary contribution that UNHCR received some 12% came from multi-year funding (funding longer than 2 years). The majority, 52%, of these funding came earmarked to specific operations with the Syria situation (Syria, Jordan, Turkey, Lebanon, Egypt and Iraq) receiving the majority funding. The MY funding received for the Syria situation amounted to some 25% of its total (provisional) expenditure in 2017. Only 1.4% of the total voluntary contribution came in unearmarked and in multi-year form.

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

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

UNHCR had in place multi-year planning in six operations (Ghana, Senegal, Tanzania, Uganda, Costa Rica and Ecuador). [the text from last year]

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<sup>3</sup> Multiyear funding is funding provided for two or more years based on a firm commitment at the outset

<sup>4</sup> For the Grand Bargain definitions of earmarking, please see Annex I. Earmarking modalities, as contained with the final agreement, available [here](#).

## **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?

Progress on UNHCR's commitment to move to multi-year multi-partner planning built on the lessons learned from the six pilot operations. In 2017, 16 additional operations (Algeria, Brazil, Cameroon, Chad, Colombia, Djibouti, Ethiopia, Kenya, Malawi, Mali, Mauritania, Mexico, Niger, Rwanda, the Regional Office for Northern Europe and Ukraine) developed multi-year, multi-partner protection and solutions strategies for the next three to five years, bringing the total number of operations with longer-term strategies to 22 across four regions.

The strategies will support field operations in maintaining a longer-term focus on achieving solutions, while ensuring that immediate needs are addressed and that the rights of people of concern are protected. They build planning upon an inclusive and consultative process with a wide range of actors, ensuring that all people of concern to UNHCR and their hosts are at the centre of planning and priority-setting in the areas where they live and focusing support on national systems, institutions and civil society. The strategies will also help to establish and strengthen important linkages between UNHCR's work and that of development and peace-building actors.

The 22 operations engaging in the multi-year, multi-partner approach received support on strategic planning, stakeholder assessment and analysis, formulation of a multi-year, multi-partner vision and strategic objectives, as well as in thematic areas such as alternative stay arrangements for refugees, self-reliance, rule of law and governance. Support has been provided through workshops and support missions, thematic webinars as well as guidance and tools.

## **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)?

The expansion and institutionalization of UNHCR's multi-year multi-partner approach will be informed by the experiences of and lessons learned from the 22 operations, with the aim of supporting the inclusion and comprehensive solutions for people of concern, in collaboration with a wider range of partners, including development actors. This will also facilitate the implementation of the full range of UNHCR's Strategic Directions as well as the application of the Comprehensive Refugee Response Framework (CRRF) in major operations. It will enable the Office to be a more predictable partner on longer-term and coordinated strategy development to improve protection and advance solutions for all populations of concern, as well as support hosting communities, and support UNHCR's inputs to multi-year planning conducted by other partners, including multi-year Humanitarian Response Plans (HRPs) and UNDAFs.

The experience gained to date indicates that institutionalization of multi-year multi-partner perspectives in UNHCR's planning and budgetary processes will require a broad set of changes to existing systems and business processes, as well as structured support to field operations over a number of years. The ongoing revision of UNHCR's results-based

management system will incorporate several key changes, and introduce multi-year multi-partner planning to the full set of field operations in 2022, while UNHCR's results framework will be revised for optimal alignment with inter-agency frameworks.

#### **4. Efficiency gains**

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

Initial lessons learned gathered from the experiences of the six pilot operations indicates that these six operations found the development of multi-year multi-partner strategies to foster strategic and impact thinking, allowed for more comprehensive approach to planning for protection and solutions, that was more inclusive to a broader range of partners as well as to the longer-term concerns and capacities of people of concern and local communities.

#### **5. Good practice and lessons learned**

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?

Building on the lessons learned from the six pilots and following the expansion of the multi-year multi-partner approach to 22 operation, UNHCR has engaged in a process of documenting and gathering the experiences of the 22 operations. The process aims to collect lessons for the institutionalization process, as well as challenges that need to be addressed. The process will also document operational adjustments and mind-set shifts. Experience to date, including initial lessons learned from the 2016 pilot, shows that the approach needs to balance flexibility with predictability and that this balance is informed by the findings of a comprehensive situational analysis. Institutionalizing a multi-year, multi-partner approach requires a reform of systems and tools, and will inform the revision of the Organization's results-based management system. Real-time learning from UNHCR's roll out of the CRRF, will also assist UNHCR in adjusting its systems and policies.

## Work stream 8 - Earmarking/flexibility

*Aid organisations and donors commit to:*

- 1. Jointly determine, on an annual basis, the most effective and efficient way of reporting on unearmarked and softly earmarked funding and to initiate this reporting by the end of 2017.*
- 2. Reduce the degree of earmarking of funds contributed by governments and regional groups who currently provide low levels of flexible finance. Aid organisations in turn commit to do the same with their funding when channelling it through partners.*

*Aid organisations commit to:*

- 3. Be transparent and regularly share information with donors outlining the criteria for how core and unearmarked funding is allocated (for example, urgent needs, emergency preparedness, forgotten contexts, improved management)*
- 4. Increase the visibility of unearmarked and softly earmarked funding, thereby recognising the contribution made by donors.*

*Donors commit to:*

- 5. Progressively reduce the earmarking of their humanitarian contributions. The aim is to aspire to achieve a global target of 30 per cent of humanitarian contributions that is non earmarked or softly earmarked by 2020<sup>5</sup>.*

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**Earmarking/flexibility work stream co-conveners reporting request:** Please specify if possible the percentages of 2017 vs 2016 of:

2017 figures are provisional pending closure of accounts

- Unearmarked contributions (received)  
2017 – 15%, 2016 – 14%
- Softly earmarked contributions (received)  
2017 – 20%, 2016 – 20%
- Country earmarked contributions (received)  
2017 – 49%, 2016 – 43%
- Tightly earmarked contributions (received)  
2017 – 16%, 2016 – 22%

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

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

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<sup>5</sup> For the Grand Bargain definitions of earmarking, please see Annex I. Earmarking modalities, as contained with the final agreement, available [here](#).

UNHCR relies more than ever on early, predictable and unrestricted donor funding to provide uninterrupted protection and assistance to populations of concern. The Office encourages donors to consider the use of unearmarked funding, which allows UNHCR to respond quickly to emerging challenges and also to invest in innovation. Receipt of unearmarked funding is a reflection of donor confidence in the organization, and UNHCR is fully cognisant of the accountability that comes with this. Since 2013, UNHCR has published an annual aide-memoire on how unearmarked funding was used. (the text from last year)

## **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, UNHCR received \$589 million in unearmarked funding, of which \$382 million was from governmental donors, and \$207 from the private sector. This compares favourably to 2016's level of \$562.6 million, of which \$389.9 million came from governmental donors, and \$172.6 million from the private sector. It is notable that the governmental portion of UNHCR's unearmarked funding was slightly down, and that of the private sector quite significantly up. Moreover, just over half of all private sector funding contributed to UNHCR (some \$400 million) was unearmarked. In percentage terms of UNHCR's total voluntary contributions in 2017, the percentage of unearmarked funding was 15%, up from 14% in 2016.

Regarding reporting, all weekly funding updates for operations or situations published on Global Focus include information on all donors providing unearmarked funding (information is made available both for UNHCR operations and external audiences).

UNHCR also produced an expanded report on the use of its unearmarked funding in 2016. This was issued in mid-2017, and gave much greater detail on the use of unearmarked funding. Expanded visibility was given to donors, and greater analysis included the key role of donors from the private sector who give significant amounts of unearmarked funding. The information provided in the annual 2016 Global Report also included expanded analysis of unearmarked funding, including greater acknowledgment of unearmarked funding coming from the private sector.

UNHCR continued to provide acknowledgement and visibility for donors of unearmarked funding on its Global Focus website (<http://reporting.unhcr.org/>); through its annual Global Report on activities for the previous year; in its regular funding updates (circulated electronically and on Global Focus); and in briefings, position papers and presentations to donors at events such as Standing Committee, ExCom and the end-of-year pledging conference. As well, UNHCR visibility guidelines prescribe that donors providing unearmarked funding be given visibility in all UNHCR operations.

UNHCR's regional representation for Stockholm has produced short videos for the Northern Europe donors thanking them for their unearmarked contributions to UNHCR. These videos feature a range of key messages on the impact of unearmarked funding, and also bespoke content focusing on the specific contribution from each country. The videos will be promoted through a range of communication channels and shared with Government donors,

Parliamentarians and other appropriate stakeholders to ensure wide dissemination and advocacy for the critical importance of unearmarked core support.

### **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)?

The Office will produce a report on the use of unearmarked funding in 2017, with an intention to link the publication of that report more closely to the issuance of the 2017 Global Report. The intent will be to build on achievements in 2017 regarding the presentation of information, including experience gained in providing simulations of allocations of unearmarked funding, and as well video-based acknowledgment and visibility.

UNHCR will also continue improving the Global Focus portal to provide greater visibility to donors providing unearmarked funding, and the 2017 Global Report will contain relevant analysis and visibility. UNHCR's funding updates also systematically contain references to, and acknowledgment for, donors providing unearmarked funding. These updates are circulated regularly to donors, and posted on Global Focus.

### **4. Efficiency gains**

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

Given the specific nature of unearmarked funding, it is difficult to attribute qualitative efficiency gains to the use of unearmarked funding. In its advocacy for unearmarked funding, UNHCR identifies unearmarked funding as the priority for resource mobilization, allowing it to kickstart operations; bolster underfunded operations; and enable operations to implement programmes as fully as possible. Contributed without restrictions on its use, unearmarked funding allows UNHCR the critical flexibility in how best to reach refugees and other populations of concern in the greatest need and at the greatest risk.

The flexibility of unearmarked contributions enables UNHCR to plan strategically across the breadth of its activities. Allied to predictability—with most unearmarked contributions being received in the first half of the year—unearmarked contributions give UNHCR unparalleled ability to channel resources to where they were most needed to meet the needs of people of concern—refugees, asylum-seekers, stateless people, and internally displaced—more efficiently and effectively. Predictability is essential to help UNHCR engage in more stable relationships with partners, such as host governments and NGOs, and allows for better planning. Importantly, it also helps ensure a robust and more secure commitment to, and relationship with, the people UNHCR serves.

### **5. Good practices and lessons learned**

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 report on use of unearmarked funding in 2016 received very good feedback, including very positive and appreciative feedback from UNHCR's six National Partners that conduct private sector fundraising. Most recently, an interagency meeting in December 2017,

involving colleagues involved in corporate reporting in a number of UN agencies, highlighted the UNHCR report as an example of good practice.

Simulation of allocation of unearmarked funding in 2017, given as part of UNHCR's presentation to its Pledging Conference in December 2017. This showed how unearmarked funding was used in the second half of the year, with a focus on allocations in Africa. This presentation received on the spot positive feedback from donors, particularly from donors providing unearmarked funding such as Sweden.

## Work stream 9 – Reporting requirements

Aid organisations and donors commit to:

1. *Simplify and harmonise reporting requirements by the end of 2018 by reducing its volume, jointly deciding on common terminology, identifying core requirements and developing a common report structure.*
2. *Invest in technology and reporting systems to enable better access to information.*
3. *Enhance the quality of reporting to better capture results, enable learning and increase the efficiency of reporting.*

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

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

UNHCR used a standard template for its partners to report on [the text from last year].

UNHCR produces annual Global Report as its main corporate reporting tool, it includes both narrative and financial information. Global Report is accepted for approximately 50% of voluntary contributions to UNHCR. However, most donors require extra information or reports in addition to the Global Report. In addition, Global Focus <http://reporting.unhcr.org> provides detailed narrative and financial information by country.

In 2016, UNHCR submitted 1,301 donor reports, including all categories: financial, narrative, interim (quarterly, semi-annual, annual) and final reports. The reporting templates and degree of information required varies significantly from donor to donor and also depend on the type of contribution. Generally, the more contributions are tightly earmarked, the more detailed is the reporting. [additional text provided for the 2017 reporting]

### 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?

UNHCR is piloting the 8+3 template for partner reporting in Somalia, Iraq and Myanmar. All UNHCR partners in these countries have been requested to use the template to report on 2017 activities. UNHCR adapted the template and provided training and guidance to the partners on the adoption and application of the template. At the time of reporting, UNHCR started to receive the reports in 8+3 templates together with the feedback from partners. In addition, UNHCR is currently piloting the template with Germany for its contribution to Iraq.

UNHCR has been expanding information that is provided on its Global Focus <http://reporting.unhcr.org> with regular operational updates for major operations and emergency situations and informing donors about new publications and reports through weekly emails. The audience and reach of UNHCR's Global Focus reporting platform has seen a significant growth with 200,913 sessions in 2017 (48% growth from 2016) and 416,242 page

views globally (40% increase), half of these were returning visitors. There were 110,000 document downloads in 2017 (compared to 40,500 in 2016), of which 14,800 Global Report 2016 (full report and specific chapters). Although this has not yet materialized in reduction of reporting requirements, we see a number of positive developments, most notably that information is easily accessible and available to all donors as well as general public at any time and from any place, both in donor capitals and in the field. The 2017 user survey produced following results on the Global Focus.

- 67% find the website very or extremely useful;
- 93% would recommend the website to a colleague/friend;
- 80% trust the information on the website;
- 79% find the information easy to understand;

### **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)?

UNHCR will analyse the feedback from partners and lessons learnt from the 3 pilot countries and will provide consolidated response to GPPi and to the Grand Bargain workstream co-conveners Germany and ICVA. In 2018, UNHCR will expand the pilot with Germany on donor reporting for its contributions to the remaining pilot countries (Somalia and Myanmar, in addition to Iraq).

UNHCR is currently undertaking the revision of its results-based management system, which will include adopting the new RBM software. One of the key priorities of the RBM revision is to improve donor reporting.

UNHCR is planning to further update and upgrade its transparency and reporting platform Global Focus <http://reporting.unhcr.org> with improved visualization and user experience.

### **4. Efficiency gains**

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

It is difficult to assess efficiency gains, so far UNHCR has not seen reduction of reporting among donors.

### **5. Good practices and lessons learned**

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

Aid organisations and donors commit to:

1. *Use existing resources and capabilities better to shrink humanitarian needs over the long term with the view of contributing to the outcomes of the Sustainable Development Goals. Significantly increase prevention, mitigation and preparedness for early action to anticipate and secure resources for recovery. This will need to be the focus not only of aid organisations and donors but also of national governments at all levels, civil society, and the private sector.*
2. *Invest in durable solutions for refugees, internally displaced people and sustainable support to migrants, returnees and host/receiving communities, as well as for other situations of recurring vulnerabilities.*
3. *Increase social protection programmes and strengthen national and local systems and coping mechanisms in order to build resilience in fragile contexts.*
4. *Perform joint multi-hazard risk and vulnerability analysis, and multi-year planning where feasible and relevant, with national, regional and local coordination in order to achieve a shared vision for outcomes. Such a shared vision for outcomes will be developed on the basis of shared risk analysis between humanitarian, development, stabilisation and peacebuilding communities.*
5. *Galvanise new partnerships that bring additional capabilities and resources to crisis affected states through Multilateral Development Banks within their mandate and foster innovative partnerships with the private sector.*

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### Humanitarian-Development engagement work stream co-conveners reporting request:

What has your organisation done to operationalise the humanitarian-development nexus at country level?"

Please see narrative below, much of UNHCR's operationalization of humanitarian development nexus is around field operations.

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

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

UNHCR's partnership with the World Bank strengthened building an evidence-base on the economic impact of refugees on host economies. In 2015, three regional studies in Africa (Sahel, Great Lakes Region and the Horn of Africa) were completed and in early 2016 four studies in the Middle East were finalized. UNHCR is leading the work of the United Nations Chief Executives Board for Coordination High-Level Committee on Management on efforts to bridge the humanitarian and development data gap. This initiative brings together UN agencies to make recommendations for an

integrated approach to data collection and the usage of humanitarian and development data, helping ensure more coherent and collaborative assessments at the programmatic and implementation stages. [the text from last year]

## **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?

The main focus of the partnership with the World Bank during 2017 has been the program preparation of the International Development Association (IDA) 18 refugee and host community sub-window and continuing cooperation on the Global Concessional Financing Facility (GCFF) for refugee emergencies in Middle Income Countries (MICs). Following a review by the World Bank's Board of Executive Directors in September 2017, 8 countries are now eligible to access financing. To support the programme formulation under the IDA, UNHCR and the World Bank have undertaken 11 joint field missions in 2017.

The ILO-UNHCR biannual action plan was formulated in early 2017 to operationalize the 2016 MOU. This action plan paves the way for joint action to promote sustainable livelihoods of refugees and host communities. It aims at progressively achieving greater protection and opportunities for UNHCR persons of concern through improved governance of the ILO's fundamental principles and rights at work, labour and social protection. These efforts build on the technical cooperation between the two organizations since 2013 to conduct market assessments and value-chain analyses, which has facilitated the development of context-specific, holistic, and market-based livelihoods strategies for refugee and host communities.

In order to address the particular challenges refugees face in accessing business start-up capital, UNHCR concluded a credit guarantee facility agreement with the Swedish International Development Cooperation Agency (SIDA), which has made US\$ 15 million available to support refugees and host communities. This will reduce risks for FSP and enable refugees and host community members to access loans for small and micro-enterprises.

In 2017, UNHCR and UNDP have taken steps to strengthen their partnership, particularly in the area of rule of law (ROL). Within the context of the CRRF, some of the ROL projects that UNDP and UNHCR are currently preparing or in the initial stages of implementing, with other partners, projects in 7 countries that focus on access to justice and support to local governance systems. In the context of the comprehensive refugee response framework (CRRF), UNHCR is also seeking to work more closely with development partners.

## **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)?

With regard to the World Bank, collaboration in 2018 will continue to consolidate progress to date, particularly underlining strong and expanded cooperation at field level, in advance of the Mid Term Review of IDA 18 refugee and host community sub-window. Both the World Bank and UNHCR are committed to encouraging the replenishment of the refugee and host community sub-window for a further three-year period (2020-22). This will be achieved

principally through widening management cooperation between Country Offices, establishing field coordination mechanisms, and investing in human resource development.

UNHCR's growing partnerships and ongoing work with United Nations Capital Development Fund (UNCDF), Financial Sector Development Africa, Grameen Credit Agricole Foundation and the Swedish International Development Cooperation Agency (SIDA) seeks to continue building resilience through financial inclusion by allowing increased access of financial services to refugees.

Work to further the 2017 ILO-UNHCR biannual action plan will continue in 2018, particularly joint work to conduct assessments and value chain analyses in order to develop market-based livelihoods strategies for refugees and host communities. Likewise with UNDP, cooperation on ROL activities will continue to be expanded in 2018.

#### **4. Efficiency gains**

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

While UNHCR is increasingly conducting joint planning with development agencies, it is too early to see budget reduction or cost saving gains due to these programmings. For example, IDA 18 programmes are still under development and we do not yet have the Programme Appraisal Documents (PAD) which provide final technical and financial details of each programme. These may only be forthcoming in the second half of 2018 following agreement with the concerned governments.

#### **5. Good practices and lessons learned**

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?