

## 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.

## 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?

Over the past three years, UNICEF has significantly scaled up the quality and depth of programme and operational level data released to the public, making its publication more timely, comprehensive, forward-looking and accessible. These efforts are reflected in UNICEF's scores in the annual Aid Transparency Index, in which we are now ranked as the third most transparent out of 46 major donor organizations worldwide – up from 67th out of 72 organizations in 2012. UNICEF was also recognized as the organization that made the most significant progress, and was one of only 10 organizations that have fulfilled their commitments to make information about their finances, programmes and results public by the end of 2015.

### 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?

Transparency and public disclosure practices are gaining global attention and UNICEF has been pursuing a series of measures to support its commitment to greater transparency and accountability with regards to reporting in public domain, on progress towards development and humanitarian results and on expenditures. Efforts in the past 4 years have allowed the

organization to scale up the quality and depth of programme and operational level data released to the public, firmly positioning UNICEF as one of a handful of global standard-setters in transparency. The focus in 2017 was on consolidating the technical infrastructure for transparency and external reach including through IATI Governing Board; improving data quality assurance mechanisms internally; increase the depth of programme level and financial data reach of UNICEF's programme level data (as published in the IATI registry and UNICEF's Transparency Portal - [open.unicef.org](http://open.unicef.org)); and, supporting other UNICEF offices to adequately address emergent conditionalities that tie funding to IATI compliance.

In 2017, all of country appeals' humanitarian funding contributions were reported in FTS – a 100% compliance.

### **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)?

Transparency is one of the Enablers in UNICEF's Strategic Plan 2018-2021, and presents UNICEF with an opportunity to reflect on the policies and practices required for more transparency and accountability in the delivery of programmes at all levels. This will include institutionalizing the infrastructure and data processes, with the aim of adequately meeting the organization's reporting obligations; improving results measurement and data quality assurance mechanisms internally; and further extending the reach of UNICEF's programme level data that is made available through UNICEF's Transparency Portal – [open.unicef.org](http://open.unicef.org)).

Our shared vision is that by 2021, an organizational culture of transparency will be enabling UNICEF staff at all levels to work smarter, maximize the value of our collective contribution and deliver even better results for children; the UN system will be using IATI for results monitoring and reporting against the SDGs; and UNICEF's reporting burden – to both donors and partner countries, will have been significantly reduced through the availability of timely, good quality and comprehensive results reports online.

### **4. Efficiency gains**

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

No update.

### **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?

New initiative to strengthen country-level use of IATI data: Governments in many of the countries UNICEF works in, have Aid Information Systems (AIMS – also referred to as Aid Management Platforms, AMPs). AIMS are meant to improve aid coordination by providing governments with information on the activities of various development partners in the country. Development partners (including UNICEF) are usually requested to periodically either upload the data to an AIMS website or provide a spreadsheet with the required data. However, in the last two-to-three years, this same data has become available in public domain through transparency initiatives such as IATI, to which most donors and some governments have signed up to – making the AIMS data collection process inefficient.

UNICEF's global engagement in this area has included collaborative work with a number of external partners and governments on how to simplify the process and introduce efficiencies in the IATI-AIMS linkage. In 2017, UNICEF (Field Results Group) jointly with UNDP and Development Gateway – an organization that provides AIMS support to governments, undertook a pilot exercise with two countries - Senegal and Madagascar, and respective Regional Offices to:

- Establish a common understanding between UN country teams (initially starting with UNICEF staff) and government officials on financial/programme reporting data requirements, sources and IATI/AIMS dimensions;
- Demonstrate the value of IATI data in reducing the burden on partner country governments and UNICEF country offices for reporting and collecting data;
- Identify areas for improvement of UNICEF's IATI data to better serve partner country needs;
- Co-create knowledge products and guidance on IATI data for use in advocating for global use of IATI data by partner country governments.

The initiative, which focused on UNICEF's IATI data (as made available through [open.unicef.org](http://open.unicef.org) and underlying datasets) has provided lessons that are now being used to take the IATI-AIMS linkages to scale e.g. USAID is replicating this initiative starting with Malawi in 2018. This initiative supports UNICEF's Grand Bargain commitment to 'full utilization of the IATI data model for government reporting on humanitarian funding in at least two COs by the end of 2017.'

#### *Madagascar Case Study:*

- The Government has reported that it now has a broader sense of what UNICEF is contributing on-and-off the budget and has now extended IATI-AIM integration to UNDP and USAID, and will progressively extend this to other development partners.
- There's reduced duplication in reporting since the Ministry of Finance is now able to distinguish between UNICEF's 'core' funds and funding channelled through UNICEF by a donor and also reported on by that donor (double counting) e.g UNICEF's RR versus OR received from UK, which is also reported by UK as resources spent in Madagascar.
- A recent World Bank mission learnt about the initiative and agreed to provide funding for similar data linkages to be created for all development funding at line Ministry-level.

## 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>

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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?

- UNICEF has a strong track record already with 23% of CERF funds allocated to national partners.
- To reduce barriers to partnering with community based and local CSOs, simplified agreements put in place in 2015.

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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.

## 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?

UNICEF confirmed its commitment to localisation by including a specific target in its Strategic Plan, 2018-2021, and remaining engaged throughout the year in the workstream consultations related to the definition and measurement of this commitment. Over the last several years, UNICEF's expenditure on humanitarian programmes has steadily increased, from \$1.2B in 2014, to \$1.6B in 2015, to \$1.7B in 2016, and \$1.9B in 2017. During this same period of time, the proportion of funding going to local and national responders has steadily increased, from 20% in 2014 to 31% in 2017. The increase in funding to local and national actors in both absolute and relative terms can be attributed, in part, to the introduction of simplified agreements in 2015, which served to reduce barriers to partnering with community-based organizations and local/national civil society organizations.

In 2017, UNICEF, UNHCR and WFP conducted requirements gathering/analysis and signed an MOU to support the development of UN Partner Portal, an online platform for civil society organizations to create organizational profiles, view opportunities for partnership with the UN, and submit both solicited and unsolicited proposals. UNICEF engaged a software development firm to develop a "Minimum Viable Product" or basic version of the UN Partner Portal. It is anticipated that the Portal, once rolled out, will increase opportunities for all civil society organizations, but especially local and national responders, to make themselves known to and interact with the UN on partnership opportunities.

In 2017, UNICEF transferred 31% of its emergency funds through national and local actors an increase from 29% in 2016 as shown in the table below.

A	B	C	D
Year	OR-E Cash Transfers to National and Local Actors (USD)	Total Actual OR-E Expenditure (USD)	(Column B) / (Column C)
2016	491,921,950	1,678,498,739	29%
2017	583,724,745	1,908,988,854	31%

Through its cluster and Area of Responsibility (AoR), UNICEF is also integrating localization through a series of measures namely:

- i. On understanding better and working to remove or reduce barriers, the UNICEF-led Child Protection Area of Responsibility (CP AoR), on behalf of the Global Protection Cluster, and in cooperation with the Education Cluster, have developed a conceptual framework and associated dashboard to track progress against key localization objectives.
- ii. In addition, a short module has been developed to facilitate coordination groups to develop action plans on improving partnership mechanisms including increased focus on institutional capacity building and direct secondment of internationals to national partners. South Sudan, Somalia and Nigeria country coordination groups have already progressed on localization plans.

- iii. On supporting and complementing national coordination mechanisms on behalf of the Global Protection cluster, the UNICEF-led CP AoR is leading the development of guidance on how to work best with national authorities when coordinating protection responses (including child protection) in situations of armed conflict and civil unrest, to be completed mid- 2018.
- iv. A number of countries have been supported by the CP AoR to develop strategic advisory groups for their child protection coordination groups, which provide a forum for national partners to engage in strategic decision making processes.
- v. At a global level the CP AoR has undertaken a reform of its governance structure to reflect country-level participation of local actors, such that a majority of global strategic advisory group members are national child protection organizations.

### **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)?

System strengthening is a core strategy under each goal area of UNICEF Strategic Plan 2018 - 2021. UNICEF will support child-sensitive national and local risk management planning addressing risks related to disasters, climate change, conflict, public health emergencies or other crises, as a key input to informing systems strengthening. UNICEF will build on its long-standing role in supporting policy and national and subnational systems strengthening to improve the delivery of essential services to the most disadvantaged children, bringing a specific focus on national and local strategies and capacities for rapid scale-up of life-saving and protection services in humanitarian situations. UNICEF will also, wherever possible, engage and support national and local first responders. UNICEF-led clusters, in line with agreed cluster functions, will undertake to support capacity development in preparedness and contingency planning. For example:

- In Eritrea, UNICEF will support the Government's efforts to provide safe water for drought affect populations, mainly through the rehabilitation and construction of water points. UNICEF will support efforts to strengthen the national health system and health service delivery, emphasizing building community capacities to manage acute malnutrition and common childhood illness (e.g. diarrhoea, pneumonia and malaria), reinforcing health seeking behaviour, and promoting safe and appropriate sanitation and hygiene practices.
- In Ethiopia, the early detection of acute malnutrition will be improved through community mobilization. UNICEF will strengthen the capacities of local health personnel to promote infant and young child feeding in emergencies through related training, including on integrated community based management of acute malnutrition. To facilitate better response to disease outbreaks, UNICEF will strengthen related prevention, preparedness and response mechanisms through training, supplies and emergency operations.
- In Afghanistan, UNICEF will promote the use of small-scale solar pumping networks and gravity-fed water systems to cater to the long-term needs of internally displaced



persons, returnees and host communities. UNICEF will work with the NGO Ground Truth to assess its support to national and local NGOs. UNICEF will enhance the number and quality of its partnerships with local actors.

With the completion of development and quality assurance testing of a basic version of the UN Partner Portal in late 2017/early 2018, UNICEF will, in 2018, collaborate with UNHCR and WFP to support the piloting and roll-out of the Portal. Also in 2018, UNICEF will develop and disseminate an updated manual on UNICEF's policies and processes for civil society partnership, as well as a list of training resources for civil society organizations. It is expected that these resources will be useful to all civil society organizations, and support further outreach to local and national actors.

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

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

No update.

#### **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?

No update.

## 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?

UNICEF has been working in partnerships with national governments and stakeholders to facilitate delivery of cash assistance in emergencies since 2013. At the signing of the Grand Bargain, 39 UNICEF country offices had used cash based transfer modality as part of their programming in the Middle East and Northern Africa region, as well as the East and Southern Africa region.

### **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, UNICEF continued implementing its scale up plan for humanitarian cash transfers. A cash technical team has been set up in UNICEF Office of Emergency Programmes, which includes a coordination function, a dedicated field technical support function (as part of the emergency response team) and a knowledge management function. A full-time position of a Programme Specialist on Social Protection in Humanitarian, Fragile and Risk prone context has been embedded in the Programme division to help bridge the humanitarian and development response. The Cash team has developed an organization-wide technical guidance on cash based transfers in humanitarian settings. The guidance will be rolled out in 2018, including a comprehensive field review. A scoping exercise for the development of a

cash specific Management Information System has also been completed, with the aim to strengthen cash-based programming management and data protection.

UNICEF has continued to provide both in-country and remote technical support for the design and implementation of humanitarian cash transfer programming at field level. In 2017, thirteen country offices have been using humanitarian cash transfers as part of their response (Lebanon, Jordan, Iraq, Yemen, Syria, Myanmar, Dominica, Somalia, Madagascar, Turkey, DRC, Malawi, Lesotho). In addition, UNICEF implemented its largest humanitarian cash transfers to date covering 1,5 million households in Yemen with World Bank funds.

UNICEF's interagency collaboration on cash has also been strengthened this year. Regular exchange has taken place with UNHCR and WFP to coordinate our responses. Consultations are ongoing with both agencies respectively to clarify global parameters for our collaboration and operating standards on humanitarian cash programming. UNICEF has also significantly contributed to inter agency discussions with donors. In these interactions and in various cash inter-agency fora UNICEF has clarified its specific comparative advantage and specific approach to cash based programming. UNICEF cash programming seeks to enhance linkages between humanitarian cash transfers and access to services wherever feasible to more comprehensively support children 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)?

Under the broader strategy of system strengthening, UNICEF Strategic Plan 2018 – 2021 focuses on strengthening social protection systems to be ready to scale up cash transfers in emergencies. This preparedness work enables the expanded use of coordinated cash-transfer programmes in humanitarian situations; at the same time, UNICEF seeks to use humanitarian response to leverage longer term readiness of social protection systems in future humanitarian crises.

In 2018 and 2019, UNICEF will:

- Undertake and finalize the development of its own internal data management system that will allow all UNICEF country offices to strengthen the safety of beneficiaries' data, and streamline data exchange with other agencies. It will also allow a real time live tracking and reporting of all UNICEF cash programmes
- Develop humanitarian cash transfers training package for all regional and country offices management, programme and operational staffs to be trained on the use of humanitarian cash transfers;
- An internal community of practice will be set up to allow better exchange of experience between the country offices;
- Reach agreement with UNHCR and WFP on parameters to further improve collaboration and coordination with UNHCR and WFP on humanitarian cash programming at country office level;
- Roll out UNICEF humanitarian cash transfer guidance, and further develop specific guidance on how to strengthen shock-responsive national social protection systems, and use them disburse humanitarian cash transfers;
- Invest and contribute to the measurement of effectiveness of "cash-plus" programmatic approaches (combining cash transfers and services), to the extent possible from a multi-agency perspective.

- The Global Education Cluster (GEC) will undertake a study on Education in Emergencies and Cash, with ECHO financial support. This exercise will be led by a NORCAP Cash Adviser seconded to the GEC and in cooperation with CALP and OCHA. The GEC is also providing remote support to country-based education clusters on queries related to the role of clusters in engaging/contributing to cash and education in emergencies.
- The Global Nutrition cluster will develop a position paper that will outline the role of cash in Nutrition and the engagement of the Nutrition cluster at global and country levels in the cash discussions.
- In partnership with Innocenti research group, evaluate the need for financial inclusion in UNICEF programming - especially within Social Inclusion and Adolescence programmes with the objective of conducting a comprehensive assessment of existing Country Office financial inclusion programmes - focusing on digital (micro)payments, remittances, checking/savings) to identify gaps for adolescents, women and specific outcome to children such as education and health.

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

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

UNICEF has been able to make some efficiency gains while using at scale multi agency joint payment mechanism in Jordan, Lebanon and Somalia. These mechanisms have allowed to simplify the way beneficiaries access their cash grants and brought more clarity and predictability from a process perspective. It has also allowed financial gains through multi agency negotiations with financial service providers.

#### **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?

- Multi-agency requests for proposal for financial service provider and/or opportunities to piggy back on other agencies' contract have proven successful to obtain better fees from financial service providers and streamline the distribution of cash from a beneficiary perspective (only one card/one payment mechanism);
- Joint UNHCR-UNICEF monitoring of the humanitarian cash programme in Jordan, has allowed to develop high quality analysis and comparison of data to inform the future of programmes and identify best practices;
- Development of UNICEF programme specific Management Information System (MIS) at country level (Yemen, Jordan, Lebanon, tailored use of SCOPE in Somalia) has allowed to strengthen the management of data around the operational cycles of the programmes. This has contributed to informing the conceptualisation of a suitable UNICEF global Management Information System for humanitarian cash transfers.;
- Development in Jordan and Lebanon of a Cash-plus approach, where humanitarian cash transfers have been linked to school attendance for Syrian refugees and have successfully increased the level of school attendance;
- Remote programming of a large-scale humanitarian cash transfers in a complex and high threat emergency environment such as Yemen has proven successful thanks to the right level of segregation of duties between various partners implementing a clear division of tasks between the facilitation, verification of beneficiaries, payment, grievance management and process monitoring functions.

## 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?

UNICEF has adopted the UNDG's harmonized approach to assessments (termed "micro-assessments" under the HACT framework) and accepts OCHA capacity assessment results in place of undertaking a new micro-assessment.

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

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

UNICEF had issued new agreements and guidance for working with civil society organizations (CSOs) in 2015 which materially reduced administrative burden on both partners and UNICEF staff. Key elements of these simplifications include:

- Five year legal framework agreements to better enable to multi-year funding for CSOs.
- Enhanced simplified agreements (Small scale funding agreement – two-page letter plus one page terms of reference) to enable quick finalization of agreements in humanitarian response. These agreements can be used to transfer US\$50,000 and unlimited value of supplies to CSOs until longer term agreements are put in place.
- Introduction of Simplified Humanitarian Programme Document which has no restriction on the amount of funding provided and simplifies budgeting and programme documentation requirements.
- Adoption of the UNDG harmonized approach to assessments, assurance activities and financial reporting (harmonized with UNDP and UNFPA).
- Clarified that only basic due diligence assessments (core values assessment) is required prior to finalizing agreements and transferring funds to partners.
- Simplified progress reporting focused on progress towards indicator targets and discouraged heavy narrative reporting.
- Acceptance of OCHA capacity assessment results in place of undertaking a micro assessment (HACT).
- Introduction of performance indicators for offices related to finalization of partner agreements and timely transfer of resources.

During 2016, UNICEF undertook a round of consultations with CSO partners to hear feedback on experiences to date with the new agreements and guidance. Overall feedback was positive. Opportunities for continuous improvement identified are being incorporated in 2017.

## **7. 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, UNICEF continued to implement the Harmonized Approach to Cash Transfers framework, which establishes a common set of principles and processes for managing cash transfers among UN agencies. The framework has the objective of reducing transaction costs while ensuring joint operationalization with respect to assessments and audits of shared

implementing partners. In 2017, UNICEF and UNFPA revised the terms of reference for audit, combined the requirements of internal control and financial audit, and further harmonized with UNHCR's audit terms of reference. This allows country offices to conduct shared audits of implementing partners and therefore reduce time and costs to UN Agencies and implementing partners.

UNICEF, in cooperation with Norwegian Refugee Council, conducted a review of the financial reporting requirements by major donors and UN Agencies to identify options to align with common requirements, simplification and cost savings as well as implications on existing systems, procedures and change management. The report has been submitted to UNICEF's Donor Reporting group for further consideration.

As mentioned in the localisation workstream, in 2017, UNICEF, UNHCR and WFP conducted requirements gathering/analysis and signed an MOU to support the development of UN Partner Portal, an online platform for civil society organizations to create organizational profiles, view opportunities for partnership with the UN, and submit both solicited and unsolicited proposals. UNICEF engaged a software development firm to develop a "Minimum Viable Product" or basic version of the UN Partner Portal. It is anticipated that the Portal, once rolled out, will support the reduction of management costs for both civil society organizations and UN agencies. For civil society organizations, the UN Partner Portal will offer a single platform on which partnership opportunities from all participating UN agencies will be posted, obviating the need to consult multiple, fragmented sites. The Portal will also offer a platform on which a civil society organization will be able to create a profile and share information about its organization with all participating UN agencies, obviating the need to repeatedly compile and submit information and documents to different UN agencies. On the UN side, the Portal will offer a platform on which participating UN agencies will be able to obtain and share information about partnership portfolios with other UN agencies.

## **8. 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 the completion of development and quality assurance testing of a basic version of the UN Partner Portal in late 2017/early 2018, UNICEF will, in 2018, collaborate with UNHCR and WFP to support the piloting and roll-out of the Portal. Additionally, UNICEF will be launching other IT platforms, notably the eTools Partner Reporting Portal and other collaboration tools in order to introduce innovation, reduce management costs, and share data easily with partners.

## **9. Efficiency gains**

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

[No update at this time](#)

## **10. 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?

[No update at this time](#)



## 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?

UNICEF existing guidance and training to Country Offices emphasizes that needs assessment must be undertaken as a coordinated and streamlined data collection process under Humanitarian Country Teams and clusters, including underlining UNICEF and Cluster Lead Agency contributing roles.

### **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?

Note: UNICEF data on 2017 country-specific information, based on indicators relevant to the Grand Bargain work streams, will only be issued end of March and is therefore not included in this report.

UNICEF has actively participated in interagency working groups with the specific aim to develop approaches to strengthen comprehensive, cross-sectoral, methodologically sound and impartial overall assessment of needs. Through iteration of a collaborative framework aimed at addressing the Grand Bargain commitments, UNICEF has sought to prioritize and streamline a set of outputs and activities, that includes:

- Establishing a common inter-sectoral analysis for sudden onset and protracted emergencies elaborated in an ECHO ERC grant that commenced in 2017.
- Establishing structures and Standard Operating Procedures (SOPs) to reinforce good practice in coordinated Need Assessment planning, implementation and use by Humanitarian Coordinator / Humanitarian Country team, Inter Cluster Coordination Group, Clusters and Cluster Lead Agencies.
- The Nutrition cluster led the development of an inter-cluster training package in 2017 and facilitated high level advocacy on famine prevention in four countries threatened by the risk of famine through the use of integrated data to show case linkages between integrated analysis and the need to integrated response to prevent famine.
- UNICEF-led clusters engaged with the International Organisation on Migration (IOM) and worked on their Displacement Tracking Matric (DTM) to revise its Data Dictionary to strengthen both the relevance of indicators that are collected as well as their inter-sectorial analysis framework.
- Supporting links across humanitarian and development networks around data, whether as inter Agency preparedness for needs assessment or in ongoing needs assessment in protracted emergencies, bridging Needs Assessment Working Group with leads on key secondary data feeding into humanitarian needs analysis and Common Country Assessment (through United Nations Development Group) – implementation could focus on same Country Offices and a list of priority high risk countries.
- Continuous training, advocating etc. to decision-makers on assessments: Engaged with Assessment Capacity Project (ACAPS) to support the development of assessment training initiatives that are well tailored to the needs of both target audiences, i.e. decision makers and analysts themselves.

### **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 2018 and 2019, UNICEF humanitarian response will support coordinated needs assessments and interagency humanitarian response strategies and planning, including through cluster coordination mechanisms. It will strengthen coherence and complementarity between humanitarian and development programming not only to better respond to immediate needs, but also contribute to collective outcomes with the aim of reducing needs, vulnerabilities and risks over multiple years. More specifically:

- UNICEF will continue to focus on consolidating the Grand Bargain work stream document that articulates the priorities of the collective, including the key associated activities, stakeholders and expected real impact on the ground of that the work of the needs assessment work stream on developing a Theory of Change document.
- Towards development of a common practical working approach for identifying information needs of decision makers and translating them into data collection and analysis, UNICEF Global Cluster Coordination Unit has engaged with IOM and REACH for the organization of a workshop to identify key steps to be taken to reduce unnecessary data collection and make sure data producers and users engage more closely throughout the assessment process.
- Led by the Global Food Security Cluster, UNICEF will collaborate through the Global Cluster Coordination Group (GCCG – chaired by OCHA) to implement an ECHO ERC funded project to develop an integrated inter-sectoral situation and needs analysis framework to deliver efficient and effective joint response planning.
- UNICEF will provide support to strengthen further the IASC Indicator Registry (spanning both needs assessment and programme monitoring indicators) including refinement of indicators and guidance.
- The Global Education Cluster will develop a new training programme for cluster coordinators on joint education needs assessments in the second half of 2018, and link this training to the current efforts in the humanitarian sector to enhance joint needs assessments.
- UNICEF will continue to support UNICEF-led Clusters and Area of Responsibilities (AoRs) to promote further engagement in common country assessments and actions based on needs.

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

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

No Update.

#### **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?

No Update.

## 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?

UNICEF has provided technical assistance and support on quality and accountability to UNICEF-led and co-led global clusters and Areas of Responsibility (AoRs) and to national clusters (WASH, Nutrition, and Education clusters and Child Protection AoR) in Jordan/MENARO and the Democratic Republic of the Congo (DRC). Initiatives were also taken to promote collective quality and accountability within UNICEF, at the inter-cluster level as well as to engage with other accountability initiatives in the humanitarian system, such as the Core Humanitarian Standards (CHS) and the IASC Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse.

### **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?

Note: UNICEF data on 2017 country-specific information, based on indicators relevant to the Grand Bargain work streams, will only be issued end of March and is therefore not included in this report.

- UNICEF in close cooperation with OCHA, the IFRC, and other stakeholders is supporting a multi-agency “Communication and Community Engagement Initiative” to develop collective services for more timely, systematic and predictable communication and community engagement mechanisms across humanitarian actors and clusters/sectors.
- UNICEF Country Offices are drawing on ongoing efforts to strengthen humanitarian Communication for Development (C4D) preparedness and response capacities, including efforts to expand U-Report to give people, including children, a direct link to their governments to report on services and help connect at-risk and affected communities. For example, in Bangladesh, UNICEF engaged up to 1,000 community volunteers on promotion of preventive and protective behaviours.
- Providing lifesaving care to survivors is a priority for UNICEF's Gender Based Violence in Emergencies (GBViE) programmes. Significant investment was made in community awareness and mobilization on GBViE and training service providers across thematic areas as GBV response requires multi sector interventions.

### **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)?

UNICEF’s 2018-2021 Strategic Plan provides strategic guidance and an accountability framework for strengthen putting people at the centre in humanitarian action through advocating for social accountability, building demand for services and social norms that contribute to the realization of child rights is increasing.

Over 2018-2019, UNICEF will:

- Provide technical support and capacity development to UNICEF staff as well as local and national partners, including national governments, to support effective participation, including two-way communication.
- Ensure UNICEF Country Offices’ mandatory preparedness plans include adequate activities to ensure timely and predictable participation approaches in situations of humanitarian crisis by ensuring that systems for promoting participation of affected population is adequately reflected in UNICEF preparedness plans.
- Support UNICEF – led sectors/clusters/Area of Responsibility and partners to ensure that multi-sector needs assessment include questions to ascertain how communities wish to receive and provide feedback on the quality of the response and on issues which affect them personally such as corruption and sexual exploitation and abuse (SEA).
- In coordination with other humanitarian actors, put in place strategies for effective participation of people affected by crises in Humanitarian Needs Overviews (HNO) feeding into more people-oriented Humanitarian Response Plans (HRP) or other inter-agency Humanitarian Plans as well as UNICEF Humanitarian Action for Children (HAC) appeals and planning.
- Strengthen monitoring and reporting on how humanitarian response has been adapted to reflect the views and feedback from affected people through the systematic integration of feedback into our monitoring processes.

- Document and share good practices emerging from the communication and community engagement initiative, through a series of regional learning workshops as well as operational research in target countries

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

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

No Update.

#### **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 establishment of the Communication and Community Engagement Initiative in January 2017, is a key vehicle for operationalizing the Grand Bargain participation revolution commitments, as well as documenting and sharing lessons and good practices. Engagement with a number of target countries such as Haiti, Yemen, CAR, Chad and Bangladesh has started to show positive results in terms of moving towards collective approaches with good cooperation amongst partners.

## 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>2</sup> you have provided (as a donor) or received and provided to humanitarian partners (as an agency) in 2017, and any earmarking conditions.<sup>3</sup> When reporting on efficiency gains, please try to provide quantitative examples.

Total value of Multi-year agreements received <sup>4</sup>	Total value of Multi-year agreements received <sup>5</sup> that were <u>unearmarked</u>	Total value of Multi-year agreements received <sup>6</sup> that were <u>Softly earmarked</u>	Total value of Multi-year agreements received <sup>7</sup> that were <u>Country earmarked</u>	Total value of Multi-year agreements received <sup>8</sup> that were <u>Tightly earmarked</u>
\$1,308,056,518	\$1,193,140,780	\$114,915,738		

Total value of funds provided to humanitarian partners in 2017 was **\$295,954,434**, based on multi-year funding received<sup>9</sup> in 2017.

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<sup>2</sup> Multiyear funding is funding provided for two or more years based on a firm commitment at the outset

<sup>3</sup> For the Grand Bargain definitions of earmarking, please see Annex I. Earmarking modalities, as contained with the final agreement, available [here](#).

<sup>4</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>5</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>6</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>7</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>8</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>9</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

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

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

- No guidelines on multi-year planning for UNICEF Humanitarian Action for Children (HAC)
- Humanitarian planning guidance integrated in UNICEF mainstream Programme Policy and Procedure Manual and RBM learning materials to foster connections with longer term perspectives.
- Longstanding advocacy for flexible, multiyear funding with donors and existence of global, regional and country thematic humanitarian funds that allow allocations that allow us to respond equitably to children affected by crisis and longer-term perspectives.
- Multi-year funding mostly ad-hoc. In 2015, multi-year grants represented 28% of the total UNICEF Other resources (OR), which include humanitarian and development revenue. Average duration of these grants was 2.2 years.

## **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, UNICEF developed guidelines for multi-year Humanitarian Action for Children appeals and in 2018, 4 multi-year UNICEF appeals were launched -- Syrian refugees (Egypt, Iraq, Jordan, Lebanon, Turkey - aligned with HRP), Afghanistan (aligned with HRP), Refugee and Migrant Crisis (Greece, Italy, Serbia, Bulgaria, Germany) and Mali – all with a multi-year analysis of needs and strategy.
- UNICEF is working on several Results and Resource Planning/Results Based Management improvement projects, which will provide a solid base for results planning and will satisfy the pre-requisites for the multiyear flexible funding.
- UNICEF will focus discussions in 2018 with Regional Offices on how to increase and improve multi-year plans for 2019.
- For the workstream, UNICEF commissioned a consultant to conduct a broader synthesis of the literature in the areas of multi-year planning and multi-year funding to gather lessons learned and recommendations. Two recent studies were useful background to inform the synthesis and the workplan of the workstream: the evaluation of Multi-Year Humanitarian Planning undertaken by OCHA and the Humanitarian Financing Task Team's review of Multi-Year Humanitarian Financing.
- UNICEF and Canada, with the support of OCHA and NRC held a workshop in September 2017 on Multi-year humanitarian planning and financing. The workshop brought participants from several humanitarian country teams, as well as donor, NGO and UN representatives together to discuss the challenges and opportunities arising from current and past experiences in MYHPF.
- Based on these discussions, Canada, UNICEF, OCHA and NRC, identified 2 priorities and 5 main items for follow-up in 2018 as a basis for the workstream's workplan:
  - Key priority #1: Provide guidance for multi-year planning on gaps identified from pilot MYHP exercises: a) Guidance on the humanitarian-development nexus in

- multi-year humanitarian response planning; b) Integration of the specific requirements for MYHP into the needs assessment framework; c) Support in RBM and M&E
- Key priority #2: Outline a framework for multi-year funding from top-line donor to first-line responders: d) Mapping of existing donor practices in multi-year humanitarian funding; e) Facilitation of pass-through MYF to implementing partners
- Canada, UNICEF, NRC and OCHA are following-up on these different items for 2018-2019.

### **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 2018 and 2019, UNICEF will leverage its position in both UN Country Teams and Humanitarian Country Teams and as Cluster Lead Agency to support multi-year inter-agency humanitarian response strategies and plans which contribute to collective outcomes, shared with development plans, towards reducing people's needs, risks and vulnerabilities and increasing their resilience.

### **4. Efficiency gains**

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

No Update.

### **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?

No Update.



## 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>10</sup>.

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

Total value of agreements received <sup>11</sup> in 2017	Total value of agreements received <sup>12</sup> that were <u>unearmarked</u>	Total value of agreements received <sup>13</sup> that were <u>Softly earmarked</u>	Total value of agreements received <sup>14</sup> that were <u>Country earmarked</u>	Total value of agreements received <sup>15</sup> that were <u>Tightly earmarked</u>
<b>\$2,100,936,745</b>	<b>\$119,673,418</b>	<b>\$1,981,263,328</b>		

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<sup>10</sup> For the Grand Bargain definitions of earmarking, please see Annex I. Earmarking modalities, as contained with the final agreement, available [here](#).

<sup>11</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>12</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>13</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>14</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

<sup>15</sup> Funds received in 2017 based on revenue (new agreement and amendment concluded in 2017), DFAM Vision Report

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

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

Total UNICEF 2016 Regular Resources (unearmarked funds) expenses for humanitarian response amounted to \$168 million. In addition to Regular Resources, below is the breakdown of provisional other resources contribution figures.

## **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?

UNICEF has continued to improve reporting on unearmarked and softly earmarked (thematic) funding, in line with feedback from partners. In 2017, UNICEF produced a high quality report on the use of Regular Resources (RR) in 2016 ([https://www.unicef.org/publications/index\\_96414.html](https://www.unicef.org/publications/index_96414.html)), as well as a quality Annual Results Report on Humanitarian Action (2016), which highlights results achieved with thematic funds. ([https://www.unicef.org/publicpartnerships/files/2016arr\\_humanitarianaction\(1\).pdf](https://www.unicef.org/publicpartnerships/files/2016arr_humanitarianaction(1).pdf)). Results in humanitarian action – including those achieved with thematic funds- were also included in Annual Results Reports for Health, HIV and AIDS, Water, Sanitation & Hygiene, Nutrition, Education, Child Protection and Social Inclusion and Gender Equality ([https://www.unicef.org/publications/index\\_96427.html](https://www.unicef.org/publications/index_96427.html)). All reports contain financial analysis, highlighting revenue trends, including for thematic funds. The 2016 UNICEF Compendium on Resource Partner Contributions also contains information on contributions from public and private sector Resource Partners to UNICEF, including RR and thematic funds.

UNICEF continued to make progress on partner visibility. UNICEF has developed and is implementing new procedures to improve recognition of these partners, particularly those who contribute to RR and thematic funding pools. These procedures complement the organization's recognition guidelines. Institutional reports produced in 2017 such as the annual Compendium of Resource Partner Contributions, the annual Report on Regular Resources, the UNICEF Annual Report, and the UNICEF Annual Results Reports made reference to key resource partners. For example, the UNICEF Annual Report highlights in "call out" boxes the contributions of key resource partners, including the top contributors to RR. Resource partner testimonials and statements were included in the Annual Results Reports to recognize the top resource partners to thematic funding. Throughout 2017, more than 30 new visibility initiatives were undertaken for top public sector resource partners for flexible funding contributions, including regular results briefs, for example those produced by country offices that resource partners can share with their constituents; social media announcements; press releases; and presentations for parliamentarians.

UNICEF has also been transparent about allocation of flexible resources. In line with the Executive Board decision 2013/20 to approve the Integrated Budget 2014-17, UNICEF reviewed its resource allocation system, including the RR formula, during the midterm review of the Strategic Plan 2014-17, and presented this to the Executive Board at the first regular session in 2017, [https://www.unicef.org/about/execboard/files/2017-EB4-Results-based\\_budgeting-13Jan2017-EN.pdf](https://www.unicef.org/about/execboard/files/2017-EB4-Results-based_budgeting-13Jan2017-EN.pdf). It is also noteworthy that the MOPAN Assessment of UNICEF (2015-2016) highlighted that UNICEF has a clear and explicit decision making structure

for the allocation of resources, reflected partly in the Integrated Results and Resources Framework for the period 2014-2017, and in the allocation of RR to country programmes. In September 2017, informal and formal sessions of the UNICEF Executive Board on the Structured Dialogue on Financing the Results in the UNICEF Strategic Plan, 2018-2021, highlighted the importance of flexible funding and laid out key elements of UNICEF's fundraising strategy for the new Strategic Plan, including for humanitarian action.

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

Additional efforts will be made in 2018 to increase flexible funding from public sector partners, including through annual consultations, strategic dialogues, technical consultations, and improved resource partner recognition and visibility for RR and thematic contributions.

UNICEF will continue to implement the new procedures to improve recognition of partners, particularly those who contribute to RR and thematic funding pools, and will implement visibility initiatives for these partners more systematically. This will include regular results briefs; social media announcements; press releases; and presentations for parliamentarians. UNICEF will continue to produce quality reports on use of flexible funds, including the UNICEF Report on Regular Resources, UNICEF Annual Report, UNICEF Annual Results Reports, and Compendium of Resource Partner Contributions, and will continue to recognize top resource partners for flexible funds in these reports.

The informal and formal sessions of the UNICEF Executive Board on the Structured Dialogue on Financing the Results in the UNICEF Strategic Plan, 2018-2021 will continue to highlight the importance of more predictable and flexible funds to achieve results for children, including in humanitarian action.

### **4. Efficiency gains**

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

No Update.

### **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?

No Update.

## 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?

- Discrepancies between external donor expectations and internal UNICEF UNDG standards compliant guidance and systems for reporting.
- Several un-integrated technology solution used for results tracking and reporting
- Reports prepared manually, with limited automation from systems integration.
- Over 3,500 public sector donor reports prepared annually, for earmarked grants, including both development and humanitarian.

### 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?

- UNICEF has simplified performance reporting requirements for CSOs.
- Financial reporting for gov't and CSOs are harmonized as per the HACT Framework.
- UNICEF is collaborating with WFP and UNHCR to look for ways to harmonize reporting further.
- UNICEF is investing in online reporting capacities vis-à-vis donor reports.
- Piloting the GPPi 8+3 common donor reporting template (narrative) in Iraq and Somalia.
- Facilitating restructuring and automation of donor reporting processes and formats, drawing from UNICEF's RAM, COARs, eTools, etc.
- Introduction of enhanced quality assurance mechanisms in RAM reporting.
- Online posting of COARs and Consolidated Emergency Reports, including Annual Results Report for global Humanitarian Action thematic pool, posted on UNICEF's Transparency Portal, [open.unicef.org](http://open.unicef.org)

### 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)?

Review/revised of the Annual Results Report to reflect the results achieved with thematic funding (flexible, unearmarked funding). These pooled funds (thematic humanitarian) are more efficiently managed and reported on than other forms of humanitarian financing, and

their limited earmarking against the appeal makes them more flexible to better respond to humanitarian needs.

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

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

No Update.

#### **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?"

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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?

UNICEF Strategic Plan 2014–2017 emphasized humanitarian planning as a core element of development programmes, and identified Humanitarian and Development linkage as a key component to reduce risks and strengthen resilience. With programming that spans humanitarian, development and human rights, UNICEF is well positioned to play a significant role in addressing fragility and the causes and consequences of violent conflict and natural disasters.

UNICEF priorities are the most vulnerable children, most of which increasingly live in fragile, conflict-affected and disaster prone contexts.

## 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?

Note: UNICEF data on 2017 country-specific information, based on indicators relevant to the Grand Bargain work streams, will only be issued end of March and is therefore not included in this report.

This work has been part of UNICEF's dual mandate, as both a humanitarian and development agency. UNICEF Humanitarian-Development Nexus programming contributes both to reducing risks to children in the medium and longer term by working towards more effective ways to deliver on 2030 Sustainable Development Goals for children left furthest behind and to better address humanitarian needs, vulnerabilities and risks of children affected by crises in the short and longer term. This has been strengthened further through the organization-wide approach reflected in UNICEF new Strategic Plan 2018-2021 and interagency engagement to leave no-one behind in fragile and crisis-affected countries, in line with the SDGs and WHS commitments.

- Field experience has fed into the development of the Guidance on Risk-Informed Programming (GRIP), which will be launched early 2018. The methodology brings together multiple stakeholders (including government and UN agencies) to analyse risk and to design or adapt programmes to further risk reduction, resilience and peace. Four UNICEF country offices in collaboration with partners went through a Risk-Informed Programming process (Malawi, India (4 States), Bosnia and Herzegovina, Vietnam).
- UNICEF finalized the 'Programme Framework for Fragile Contexts', which captures key actions for UNICEF country offices to prioritize in fragile contexts.
- Strategic partnerships are also being developed to foster the nexus. For example, a UNICEF framework of cooperation with the World Bank, including in crisis-affected situations, has been developed and will be rolled out. UNICEF partnership with UNHCR is being strengthened to deliver better results for refugees and in line with the Comprehensive Refugee Response Framework. In 2017 the partnership in Yemen focused on nutrition and maternal and child health, later expanding to Water, Sanitation and Hygiene (WASH) and includes an Emergency Cash Transfer project.

## 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)?

As per UNICEF new Strategic Plan 2018-2021, UNICEF will implement a combination of change strategies to systematically strengthen the humanitarian and development nexus to deliver better for children affected by crises. In 2018 and 2019, UNICEF will:

- Focus on System strengthening connecting humanitarian and development programming which will include support to national coordination, effective strategies and capacities for rapid scale-up of life-saving and protection services in humanitarian situations. UNICEF will support policy, capacity development and systems strengthening at national and subnational levels to improve the delivery of essential services to the most disadvantaged children, including coordination and rapid scale up of life-saving and protection services in humanitarian situations, and strengthening social protection systems to be ready to scale up cash transfers in emergencies.

- Using its Guidance on Risk-Informed Programming a number of country offices will carry out a risk analysis and be trained on risk-informed programming in 2018 including Pakistan and Timor-Leste.
- A Cost-benefit analysis study to strengthen the evidence base on risk informed programming is planned for 2018/2019.
- Together with UN Women and the IFRC, UNICEF is commissioning a study on the impact of disasters on children and women to strengthen evidence advocating for increased prevention and risk reduction measures
- Establish a coherent way forward in terms of tools and guidance on risk assessment in support of United Nations Country Teams.
- Strengthen Preparedness and contingency planning processes by ensuring that Country Offices define shorter-term activities to get ready to support national authorities and civil society in responding to a crisis. This is a scaled-up focus on preparedness, beyond the established regular procedures for Country Offices' 6-monthly contextual risk analysis and annual emergency preparedness planning.
- Advance humanitarian preparedness funding and budgeting strategy by asking country offices to allocate some percentage of their total Country Programme Development (CPD) budget toward preparedness investments, per their context risk level as informed by the InFoRM system rating, the IASC Early Warning, Early Action and Readiness Report, their UNICEF EPP risk profile and analysis from EMOPS's new OPSCEN risk monitoring capacity.
- Launch programme Framework for Fragile Contexts and conflict analysis/sensitivity and mainstream it in UNICEF processes.
- UNICEF will review its Humanitarian Action for Children (HAC) process to ensure that humanitarian-development nexus programming is well articulated with clear results, and required funding. In addition, multi-year HACs, where possible will serve to bridge the humanitarian-development nexus.

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

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

In Cameroon, for example, UNICEF's integrated programme will be based on four pillars: building a protective environment and supporting community peacebuilding; preventing and responding to the violent exploitation of children; increasing access to basic services; and strengthening emergency preparedness and response systems. All four pillars bridge the humanitarian-development nexus and foster community resilience to outside pressures, such as conflict or population displacement, while supporting the State to anticipate shocks.

#### **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 UNICEF-World Bank projects in Yemen reinforced the synergy between humanitarian and development programmes, contributed to building resilience while meeting immediate needs and since delivered through national structures and services supported a systems approach.



- In South Sudan, a key achievement was UNICEF's engagement with WFP, FAO and UNDP in Northern Bahr el Ghazal to deliver a large-scale 'joint programme' to meet emergency food security and nutrition needs, ensuring joint targeting and implementation of complementary activities.
- Despite evidence showing the Return of Investment on preparedness as a strategy in humanitarian action, it has proven difficult to identify donors to fund the preparedness measures.