



# STRATEGIC PLAN

2018 - 2021

We wish to acknowledge the exceptional leadership and contribution of OCHA's committed staff in the field and at headquarters in shaping the objectives of the OCHA Strategic Plan 2018-2021.

This reference document and its source materials are the outcome of a "whole of OCHA" approach.

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# OCHA

United Nations Office  
for the Coordination of  
Humanitarian Affairs

## STRATEGIC PLAN 2018-2021



### OCHA MISSION

OCHA *coordinates* the global emergency response to save lives and protect people in humanitarian crises. We *advocate* for *effective* and *principled* humanitarian action by all, for all.



### OCHA VISION

A world that comes *together* to help crisis-affected people rapidly get the *humanitarian assistance* and *protection* they need.

## STRATEGIC OBJECTIVES



1

**Transformed coordination** for a more efficient and tailored humanitarian response.



2

More credible, comprehensive and evidence-based **situational analysis**.



3

An effective, innovative **humanitarian financing** system that meets the needs of crisis-affected people.



4

International acceptance of the centrality of **international humanitarian** and **human rights law, access** and **protection** that results in meaningful action for affected people, especially internally displaced people.



5

**Leadership** to drive transformative change for a more responsive and adaptable humanitarian system.

## MANAGEMENT OBJECTIVES



1

Ensure that **OCHA is fit for the future**.



2

**Enhanced sustainability** of OCHA's financial resources.

# FOREWORD

OCHA's vision is of a world that comes together to help crisis-affected people rapidly get the humanitarian assistance they need.

Our mission is to coordinate the global emergency response to save lives and protect people in humanitarian crises. We advocate for effective and principled humanitarian action by all, for all.

The nature of humanitarian assistance is changing. Humanitarian partners are more diverse, bringing new perspectives, experiences and capacities to the international humanitarian system. Informed and connected communities are changing the way humanitarian organizations work, and development actors are increasingly investing in fragile and conflict-affected situations. Leading humanitarian organizations are committed to strengthening partnerships across sectors, improving humanitarian efficiency and effectiveness, and empowering local actors.

We in OCHA, too, recognize that we must change. We are inspired by our vision, and we believe in our mission.

As the humanitarian arm of the United Nations Secretariat, our role is to support, coordinate and facilitate the humanitarian system as it adapts to a shifting landscape. We are committed to becoming a more accountable, agile, decentralized, effective, transparent and, crucially, collaborative organization. We are also committed to putting gender equality at the core of our work.

In a changing world and evolving sector, it is more important than ever to build strong partnerships based on mutual respect, trust and confidence. By working together to strengthen humanitarian effectiveness, we will collectively be able to do more for the people we serve.

We are streamlining our activities and refocusing on our core mandate, embracing our role as a coordinator. We understand that to be effective, we must be, and be perceived by others to be, collaborative.

We will phase out areas that are beyond our mandate and reduce duplication at headquarters and in the field. We will consolidate our regional presence and modernize our administrative services. At the same time, we will support and contribute to the Secretary-General's reform processes, and to other improvements in humanitarian effectiveness and meeting humanitarian needs.

These changes will allow OCHA to become a stronger voice for affected people, a more effective coordinator of humanitarian action, and a more inclusive facilitator of change in the humanitarian system.

In 2018, OCHA will implement the decisions outlined in the "Creating a Better OCHA" document (June 2017). The new operating model and organization changes will be further strengthened in subsequent years, with continuous improvements as we integrate lessons learned and feedback from partners. By 2021, OCHA will be a more effective organization.

I am personally committed to managing the change process in a fair and transparent manner. We will fully adhere to the UN's rules and regulations related to change management and downsizing, and we will treat all staff fairly and with respect. And we will always ensure that we can live within our means.

Our goals are ambitious, and we will only be successful with the support of our partners and donors. I would like to thank everyone involved for their support to our change process and our Strategic Plan.



**Mark Lowcock**

Under-Secretary-General for Humanitarian Affairs and  
Emergency Relief Coordinator

# PRINCIPLED ACTION FOR AFFECTED PEOPLE: COORDINATING HUMANITARIAN RESPONSE IN A VOLATILE WORLD



A displaced woman drags water back to her tent in  
Khamir IDP settlement. Credit: OCHA/Giles Clarke

# INTRODUCTION

The purpose of the 2018-2021 Strategic Plan is to present a clear vision for how OCHA will contribute to more effective and principled humanitarian action for affected people.

The Strategic Plan was prepared in response to shifting global and humanitarian contexts. Today, protracted conflict and violence drive 80 per cent of humanitarian needs, and the average inter-agency appeal lasts seven years. Violations of international humanitarian and human rights law are increasing, affecting civilians and humanitarian workers. At the same time, several global initiatives and change agendas are shaping the future of humanitarian assistance, including the Agenda for Humanity, the 2030 Agenda for Sustainable Development, and the Secretary-General's reform agenda.

Over the next four years, OCHA will support the humanitarian system as it adapts to this changing global context. OCHA will work with partners to ensure a more effective and efficient humanitarian sector, while building on current strengths, norms, values and principles. OCHA will also undertake reforms to become a more effective, transparent and accountable organization, fit to address current and future humanitarian challenges. The 2018-2021 Strategic Plan incorporates lessons learned from OCHA's 2014-2017 Strategic Plan and is aligned with the vision set out in the "Creating a Better OCHA" document, issued in June 2017. It represents the strategic choices that OCHA has decided to prioritize over the next four years.

This plan presents five strategic objectives and two management objectives for OCHA from 2018-2021. The five strategic objectives are broadly organized around OCHA's five core functions, which contribute to the major outcomes and outputs in OCHA's Results Framework. For example, Strategic Objective 1 is linked to the Results Framework outputs on Coordination, and Strategic Objective 2 is linked to the Results Framework outputs on Information Management. The two management objectives are aligned with the Results Framework

outputs on Management and Enabling Functions, and the "Creating a Better OCHA" document.

The strategic objectives promote synergies across OCHA's core functions and reflect the interdependent nature of humanitarian coordination. To realize its vision and fulfil its mandate, OCHA must make progress against all five strategic objectives and both management objectives. All of OCHA, at headquarters and in the field, is responsible for contributing to each of the strategic and management objectives through a cross-functional approach. In the field, OCHA's country and regional offices are responsible for ensuring the delivery of the core functions in support of the strategic objectives.

# VISION AND MISSION



**Vision** A world that comes together to help crisis-affected people rapidly get the humanitarian assistance and protection they need.



**Mission** OCHA coordinates the global emergency response to save lives and protect people in humanitarian crises. We advocate for effective and principled humanitarian action by all, for all.



# MANDATE AND ROLE

## OCHA is the humanitarian arm of the United Nations Secretariat.

OCHA's mandate stems from General Assembly (GA) resolution 46/182 of December 1991, which states: "The leadership role of the Secretary-General is critical and must be strengthened to ensure better preparation for, as well as rapid and coherent response to, natural disasters and other emergencies." To this end, it also establishes the role of the Emergency Relief Coordinator (ERC), who works with the Secretary-General and the Inter-Agency Standing Committee (IASC) in leading, coordinating and facilitating humanitarian assistance. OCHA is the office that provides support to the ERC and the Secretary-General to meet the leadership and coordination responsibilities charted in GA resolution 46/182.<sup>1</sup>

GA resolution 46/182 assigns a clear leadership and coordination role to the ERC for international humanitarian assistance to respond to the needs of affected people. This mandate extends to affected people in internally displaced persons (IDPs) situations and was reinforced by related GA resolutions (including GA resolution 70/165). This was also formally recognized in the Secretary-General's 1997 reform agenda, which assigned the ERC with responsibility for the overall coordination of assistance to IDPs. The GA expressed support for the reform agenda, and in subsequent resolutions it has emphasized 'the central role of the ERC' for coordinating the protection of and assistance to IDPs.

The ERC is the global champion for people affected by emergencies and the principal adviser to the Secretary-General on all humanitarian issues. Through the ERC, OCHA amplifies the voices of affected people, champions humanitarian principles and action, and promotes solutions to reduce humanitarian need, risk and vulnerability. At the global, regional and country levels, OCHA convenes

humanitarian partners for the coordinated, strategic and accountable delivery of humanitarian action. At the country level, the ERC maintains close contact with and provides leadership to United Nations Resident Coordinators/Humanitarian Coordinators (RCs/HCs) on matters related to humanitarian assistance.

OCHA coordinates humanitarian action to ensure crisis-affected people receive the assistance and protection they need. It works to overcome obstacles that impede humanitarian assistance from reaching people affected by crises, and it provides leadership in mobilizing assistance and resources on behalf of the humanitarian system. OCHA is not an operational agency directly engaged in the delivery of humanitarian programmes, and its added value is as an honest broker, facilitator, thought leader and global advocate, providing support to the humanitarian system. In fulfilling its coordination mandate, OCHA is guided by the humanitarian principles of humanity, neutrality, impartiality and independence. OCHA is also guided by the principles of:

**Diversity** OCHA believes that the diversity of humanitarian actors is a key asset, and that all stakeholders have a role in saving and protecting lives and alleviating human suffering. OCHA promotes coordination mechanisms and processes that are open for participation to all relevant local and global humanitarian actors. OCHA also respects the distinct mandates and operational independence of a diverse set of humanitarian organizations, while encouraging them to work together through coordination mechanisms.

**Trust** In a humanitarian system based on voluntary coordination, OCHA believes that mutual trust is the foundation for successful partnerships. OCHA's non-programmatic coordination role enables it to fulfil its unique function as an honest broker in the humanitarian sector, and to promote trust among all humanitarian actors.

<sup>1</sup> General Assembly resolution of 19 December 1991 on "Strengthening of the coordination of humanitarian emergency assistance of the United Nations" A/Res/46/182.

**National and local ownership** OCHA works in full recognition that Member States retain the primary responsibility for the provision and coordination of humanitarian aid to affected populations. OCHA's role is to augment national and local coordination capacities, and to promote coordination structures that are complementary to established national mechanisms and capacities.

**Accountability to affected people** OCHA's primary partners include affected people, Member States, IASC organizations, and national and international NGOs. However, it is guided foremost by the interests of people who need humanitarian assistance. OCHA promotes humanitarian

action that is accountable to affected people, and it facilitates coordination approaches that integrate gender, age, disability and other vulnerability considerations into all aspects of humanitarian response.

**Gender equality** Gender equality and the full participation of women and girls are fundamental to effective humanitarian action. Recognizing and addressing the differing needs, priorities and capacities of women, girls, boys and men of different ages and abilities are critical to ensuring gender equality in humanitarian action.

 Kutupalong refugee camp.  
Credit: OCHA/Anthony Burke



# CORE FUNCTIONS

## Coordinated humanitarian action multiplies the impact and efficiency of individual responders.

With its partners, OCHA contributes to principled and effective humanitarian response through coordination, advocacy, policy, information management and humanitarian financing tools and services. OCHA's country and regional offices are responsible for delivering the core functions in the field by leveraging functional expertise throughout the organization.

**Coordination** OCHA coordinates humanitarian response to expand the reach of humanitarian action, improve prioritization and reduce duplication, ensuring that assistance and protection reach the people who need it most. Through critical situational and gender-responsive analysis, OCHA provides a comprehensive picture of overall needs and helps a diverse set of actors achieve a common understanding of the humanitarian context and a collective plan for the response. By doing so, OCHA influences timely decision-making to support more effective humanitarian response and emergency preparedness. OCHA's key role in other functional areas, such as humanitarian financing, helps to enhance its coordination role.

**Advocacy** OCHA's public and private advocacy raises awareness of forgotten crises, promotes respect for international humanitarian law (IHL), brings the voices of crisis-affected people to the forefront, and helps people obtain access to humanitarian assistance. OCHA uses its unique role and responsibilities when briefing the Security Council to bring attention to action to uphold IHL, facilitate humanitarian access and promote the protection of civilians.

**Policy** Through leadership in developing humanitarian policy, OCHA helps set the agenda for humanitarian sector reform and effectiveness in response to a shifting global landscape, new global frameworks, and increased capacities of national Governments and local actors. OCHA also promotes

and advances the normative framework for international humanitarian action while developing, strengthening and advancing this framework.

**Humanitarian financing** OCHA aims to mobilize and engage the full range of financing instruments, mechanisms and partners to ensure that growing humanitarian needs are met, humanitarian leadership and coordination mechanisms are promoted at the country level, and the large array of global humanitarian financing mechanisms are complementary among themselves and coherent with development funding. OCHA also ensures more responsive, predictable and strategic humanitarian financing through its leadership of the Central Emergency Response Fund (CERF) and country-based pooled funds (CBPFs) for the humanitarian system. OCHA helps drive humanitarian action by encouraging new, more effective funding and financing mechanisms that respond to and reflect the changing nature of humanitarian crises.

**Information management** OCHA provides information management services to the humanitarian community to inform a rapid, effective and principled response. It gathers, shares and uses data and information, underpinning coordination, decision-making and advocacy. OCHA also adapts tools and methodologies for monitoring humanitarian response, including developing joint analysis with local communities, and with development, peacebuilding, environment and other actors.

# OCHA'S ROLE IN A CHANGING WORLD

Twenty-seven years since the passing of General Assembly resolution 46/182, the scale of human suffering is greater than at any time since the Second World War.

The growing scale, complexity and impact of humanitarian crises around the world threaten decades of peacebuilding and development efforts. In mid-2017, some 140 million people required humanitarian assistance – a figure that is 200 per cent higher than it was a decade ago. Today, more than 65 million people have been forcibly displaced by conflict, violence and persecution, with the majority of them displaced in their own country. An increasing number of these IDPs remain displaced for years, or even decades. Meanwhile, climate change is already a driver of displacement and acts as a risk multiplier, increasing humanitarian stresses by exacerbating water and food insecurity, conflict, competition over natural resources, and other risks. In most contexts, women and girls are disproportionately affected by protracted emergencies and sudden-onset disasters, and acts of sexual and gender-based violence (SGBV) are often perpetrated with complete impunity.

Funding for humanitarian action is higher than it has ever been, but growing humanitarian needs are outpacing available funding and current capacity for humanitarian response. Despite efforts to make the system more effective, the overall funding for humanitarian appeals as a percentage of total requirements has been declining over the past 20 years, significantly limiting the humanitarian system's ability to meet intensifying needs. In 2017, humanitarian appeals totalled over US\$24.2 billion – the highest ever. But even with the generosity of donors, the funding gap remained wide. Not only are overall needs outpacing available funding, but the drivers of need and the average length of time that humanitarian assistance is needed are also changing. The average length of an inter-agency

appeal is now more than seven years, and response to humanitarian needs in complex emergencies requires the lion's share of humanitarian resources.

Alongside these challenges are positive trends: local, national, regional and international capacity to prepare for and manage crises continues to grow. Humanitarian partners are more diverse, bringing new perspectives, experiences and capacities to the international humanitarian system. OCHA has made important strides in recent years in bringing many of these actors into the fold through its work in humanitarian financing. Developments in technology and communications give more people the means to meet their own needs, provide feedback and engage with multiple partners. An increased use of cash-based transfers in humanitarian response puts power and choice in the hands of affected people, supports local markets and economic recovery, and enables assistance to be delivered more quickly and efficiently in a way that meets multiple needs. These informed, empowered and connected communities are changing the way humanitarian organizations do business, and new analytical tools allow crises to be more accurately predicted, risks better assessed, and needs analysed more rapidly and holistically.

Carrying out OCHA's mandate and core functions in this changing context requires changing the way OCHA conducts its work. At the organizational level, it is important to set clear priorities that focus on areas of comparative advantage in helping to meet needs most effectively, and that have the potential for impact. In its field offices, OCHA needs to focus on increasing operational efficiency, promoting greater interoperability with other actors, and adapting its operating model to specific contexts. OCHA aims to also respond to

changes in the humanitarian sector by fostering a spirit of innovation and supporting new and emerging forms of assistance. It must anticipate changes and provide thought leadership to the humanitarian sector on how to adapt working practices to the evolving global context. The promotion of gender equality and strengthening the participation of affected people in the humanitarian programme cycle (HPC) is at the heart of OCHA's approach. Communicating the impact of OCHA's work and the value of coordination in this changing landscape is vital.

As the complexity and cost of meeting humanitarian needs increase, so does the need for stronger advocacy, better information flows and analysis, and tailored approaches to coordination sustained by strengthened humanitarian financing initiatives and instruments. Humanitarian responses must be better adapted to the specific contexts in which they take place, and engage the capacities and actors on the ground. In a world where the fast-paced growth of social media and new technologies offers greater opportunities for communication and information, the humanitarian system must address the systemic shortage of comprehensive information typical to most humanitarian crises. This means OCHA must continue to strengthen joint humanitarian programming, comprehensive needs assessments and inter-agency coordination, expand its capacities to gather and analyse large quantities of data, and ensure humanitarian financing is able to reach those best placed to respond on the ground—often local responders who have intimate knowledge of the culture and language.

The gap between humanitarian needs and available funding requires enhanced effort to secure new sources of funding, and to develop innovative financing systems and tools while ensuring the most efficient use of existing ones. The quality and timeliness of information to citizens and Governments of donor countries—who contribute funding for humanitarian emergencies through their taxes and national budgets—should continue to improve, strengthening accountability for the use of funding. OCHA, including in its role as manager of CERF and CBPFs, will play a key role in this regard.

Given the increasing number of conflict-related humanitarian emergencies and associated violations of humanitarian and human rights law, OCHA's role as an advocate for people's protection is more important than ever. This is

particularly important in forgotten crises. Civilians, including humanitarian workers, and humanitarian infrastructure, such as hospitals and convoys, have become regular targets of attacks and violence, limiting access to assistance for affected people and making the work of humanitarians extremely hazardous. The ERC is relied upon more than ever by the Secretary-General, Member States and affected people to advocate for promoting compliance with humanitarian norms, laws and principles on behalf of all humanitarian partners.

The Agenda for Humanity sets a roadmap that will improve the lives of millions of people in humanitarian crises today and reduce suffering in the future, if taken forward. The ERC and OCHA will continue to lead and coordinate changes in line with the outcomes of the World Humanitarian Summit<sup>2</sup> (WHS) (for example the New Way of Working, Grand Bargain, and work relating to IDPs, IHL, protection, the Charter on Inclusion of Persons with Disabilities in Humanitarian Action,<sup>3</sup> and gender equality), and to drive forward the changes in the Agenda for Humanity that align with OCHA's mandate and comparative advantage.<sup>4</sup> OCHA will promote these efforts by working with other actors to facilitate more coherent coordination, planning and financing processes, and by sharing data and analysis to inform greater development investment that will ultimately contribute to a reduction in humanitarian need and associated risks and vulnerability. OCHA will continue to encourage development actors to scale up flexible and more risk-tolerant interventions in protracted crises and conflict-affected areas, and to foster synergies in humanitarian and development action.

2 Taking note of the Secretary-General's report on the outcomes of the WHS (A/71/357), OCHA intends to follow up on individual commitments and initiatives through leadership and coordination. These activities are intended to be conducted with extrabudgetary resources.

3 <http://humanitariandisabilitycharter.org/>

4 OCHA has prioritized the following transformations in the Secretary-General's Agenda for Humanity based on its commitments made at the WHS: Core Responsibility 2, Core Responsibility 3 (Transformation 3A, 3D), Core Responsibility 4 (Transformation 4A-4C) and Core Responsibility 5 (Transformation 5A, 5D, 5E).

# UN REFORMS

## OCHA supports the Secretary-General's vision for a more robust, results-oriented, efficient and cohesive UN Development System.

OCHA supports the Secretary-General's vision for a more robust, results-oriented, efficient and cohesive UN Development System (UNDS), which is repositioned to better support achieving the 2030 Agenda, particularly the commitment to "leave no one behind" and to "reach the furthest behind first." Achieving the Sustainable Development Goals will make the biggest difference over the longer term in mitigating humanitarian crises and reducing suffering. This includes progress through gender equality and women's empowerment, and eliminating violence against women and girls. OCHA also supports financing and funding reforms within the development system that would unlock greater development investment in protracted emergencies and conflict-affected contexts, as this will help reduce future crises and humanitarian suffering.

The UNDS reform is an opportunity to reaffirm the ERC's leadership role as a strategic advocate for people affected by humanitarian crisis, and a catalyst for solutions that will reduce and prevent humanitarian crises and suffering that are frequently better addressed through development action. OCHA will position itself throughout the reform discussions to influence and strengthen partnerships that will benefit humanitarian action, including with key external players who can make a critical difference to the lives of affected people: the World Bank, International financing institutions, regional banks, traditional and emerging donors, and the private sector (insurance, financial partners, etc.). OCHA will actively help to bring a principles-based humanitarian perspective into the UN reform processes, and proactively engage with IASC partners (UN agencies, IFRC, ICRC and NGOs) to inform options that reflect the role of the humanitarian system in ensuring that a strengthened UNDS helps deliver the reductions in risk and vulnerability that can mitigate the impacts of shocks, and make international humanitarian action less necessary, less costly and of shorter duration.

OCHA sees opportunities to align itself with the Secretary-General's efforts to decentralize management authority closer to the point of delivery, and to empower leadership by removing bureaucratic controls. OCHA also supports reform proposals aimed at a) empowering RCs, vis-à-vis the UN Country Team, to help unlock greater development investment in fragile contexts, b) enhancing accountability and building trust with Member States and affected people, c) ensuring more coherent and innovative financing, d) strengthening partnerships for delivering solutions across the humanitarian-development-peace nexus and e) achieving gender parity.

# STRATEGIC OBJECTIVES AND PRIORITIZED RESULTS

Between 2018 and 2021, OCHA will focus on five strategic objectives that are aligned with its mandate and core functions. Under each strategic objective, OCHA will focus on achieving a set of priority results.

Underpinning OCHA's work will be the promotion of gender- and age-responsive programming in humanitarian action to meet the distinct needs and priorities of women, girls, boys and men. Effective humanitarian programming must be based on the principles of gender equality and include deliberate actions to prevent and respond to SGBV, exploitation and abuse. Working towards inclusive humanitarian action that engages women and girls in humanitarian decision-making will lead to a more effective humanitarian response. OCHA is committed to working with partners for the collection and analysis of real-time gender- and age-disaggregated information on humanitarian needs, and on working towards inclusive humanitarian action that engages women, girls and other vulnerable people in humanitarian decision-making.

## Strategic Objective 1: Transformed coordination for a more efficient and tailored humanitarian response

Strategic Objective 1 is linked to the Results Framework outcome on Coordination: Timely, coherent and efficient humanitarian action meets the needs of affected people. It aims to help ensure that global emergency response saves lives and protects people in crisis. It also seeks to enhance the connectivity and coherence between humanitarian and development work, based on the comparative advantage of diverse actors and in support of national and local capacity, towards collective outcomes that reduce risks, needs and

vulnerability.<sup>5</sup> Under Strategic Objective 1, OCHA will work to achieve the following results:

- 1a Coordination mechanisms that are lighter, context-specific and flexible:** This result includes improvements to the HPC, a cluster system that is fit for purpose, and support to other coordination mechanisms that are essential for effective decision-making and delivery of timely assistance. It aims to ensure coordination mechanisms meet the needs of diverse response actors, adapt to new contexts and challenges, and support national and local coordination systems and capacity. OCHA will work towards supporting the integration of gender into existing coordination mechanisms.
- 1b Improved coordination between humanitarian and development actors:** To reduce the risk of countries relapsing into humanitarian crises, OCHA is working with partners to develop new approaches and coordination models that link principled humanitarian assistance and development programming into coherent action that can better meet humanitarian needs, help address the root causes of vulnerabilities at their early stage, and reinforce local capacities supported by appropriate financing streams. OCHA will ensure that pooled data and analysis, humanitarian financing tools, as well as a more gender-responsive HPC, inform joined-up planning and programming to achieve collective outcomes.

<sup>5</sup> Agenda for Humanity, Core Responsibility Four: "Work differently to end need" (Transformation 4A, 4B and 4C).

**1c Better-supported emergency response preparedness:** OCHA will support the readiness of response actors to rapidly respond to new humanitarian emergencies or changing circumstances in protracted crises. In partnership with key actors and specialist networks, OCHA will strengthen innovative approaches to emergency preparedness and response, and ensure that national and regional counterparts can access and coordinate effectively with international responders when necessary. Through implementation of a lighter Emergency Response Preparedness model, OCHA will support the preparedness of the humanitarian system in the field, including HCTs and national and regional authorities.

**1d Increased accountability of the humanitarian system to meet humanitarian needs:** OCHA will continue to strengthen accountability for humanitarian responses through improved monitoring and joint evaluations, as well as the development of accountability frameworks.

## Strategic Objective 2: More credible, comprehensive and evidence-based situational analysis

Strategic Objective 2 is linked to the Results Framework outcome on Information Management: Evidence-based and collective situational awareness informs decisions on humanitarian action. It seeks to ensure that OCHA and the humanitarian system benefit from streamlined data and analysis to inform a rapid, effective and principled response. Under Strategic Objective 2, OCHA will work to achieve the following results:

**2a Better-informed humanitarian decision-making by global and field leadership:** OCHA will cultivate a cadre of trained analysts to bolster its capacity to provide rigorous, comprehensive and forward-looking analysis of humanitarian needs and priorities, including needs assessments, making the best use of information and communication technologies. This information will be provided to global and field leadership, as well as to the broader humanitarian community, to improve decision-making. Engaging women and girls in humanitarian decision-making

is an equally important goal that will lead to more effective humanitarian response.

**2b Authoritative, comprehensive information and analysis on humanitarian needs and response:** OCHA will continue to invest in tools to access, share and utilize data and information underpinning coordination, decision-making and advocacy. OCHA will utilize open platforms and business intelligence dashboards, promote common data standards and adopt emerging technologies where relevant. OCHA will encourage all partners to undertake meaningful gender analysis as part of the overall analysis of needs and response, including the collection and use of sex- and age-disaggregated data.

**2c Enhanced tools that better support the analysis and monitoring of the humanitarian situation, needs and response, including joined-up analysis:** OCHA will adapt tools and methodologies for intersectoral analysis of the humanitarian situation and its severity, including risk, vulnerability and needs. It will also adapt tools and methodologies for monitoring the situation and response, including joint analysis with humanitarian, development, peacebuilding, environment and other actors, as well as with local communities.

## Strategic Objective 3: An effective, innovative humanitarian financing system that meets the needs of crisis-affected people

Strategic Objective 3 is linked to the Results Framework outcome on Humanitarian Financing: Sufficient, timely, substantial, predictable and flexible financing that meets the needs of crisis-affected people. It aims to reduce the funding gap by enhancing OCHA's advocacy for system-wide resource mobilization, and by adapting its financing instruments, services and capabilities to increase the effectiveness of humanitarian response. OCHA will make it easier for funding to reach the best-placed responders at the right time, and it will facilitate collaboration among a broad spectrum of financing actors to achieve collective outcomes that improve the lives of crisis-affected people. OCHA will work to achieve the following results:

### 3a Sufficient, timely and coordinated financing that meets the needs of crisis-affected people:

Through strengthening its role as thought leader and coordinator on financing for humanitarian action, OCHA will be a leader in the development of system-wide solutions to the three principal issues identified by the High-Level Panel on Humanitarian Financing (ending need, closing the gap and reaching higher efficiency). To achieve this, OCHA will develop knowledge management and partnerships; influence system-wide policymaking; connect key humanitarian and development financing initiatives; explore innovative financing; and develop partnerships with public and private partners. To accelerate positive change, OCHA will identify, document and replicate best practices, and offer evidence-based solutions to partners on key policy issues related to financing for humanitarian action.

### 3b Improved efficiency, effectiveness and transparency of humanitarian pooled funds:

Through the innovative use of CERF and CBPFs, OCHA will meet the challenge of defining solutions to complex problems, bringing together actors at the front line of humanitarian action to collaborate in the prioritization and allocation of funding. Collective decision-making in funding allocations strengthens the leadership of HCs and their ability to convene and leverage knowledge, comparative advantages and operational experience towards the most appropriate response. As a result, pooled funds will continue to ensure value for money (efficiency) and money with value (effectiveness), minimizing duplications and maximizing the accuracy, accountability and quality of humanitarian assistance. OCHA's pooled funds will continue to evolve, becoming increasingly more flexible, accessible, timely, accountable and transparent. New improvements and innovation will ensure that pooled funds remain adapted to the changing system, and aim at scaling up the proportion of funding that is channelled through them to increase the impact and coverage of principled, coordinated, needs-driven financing for humanitarian action.

### 3c Global and country-level advocacy for system-wide resource mobilization that is supported by the Grand Bargain dividends:

With the aim of reaching a critical mass for pooled funds (CERF: \$1 billion; CBPFs: 15 per cent of HRP requirements), OCHA will undertake activities to expand the donor base by targeting existing and new donors including the private sector, exploring innovative financing opportunities, and using the full breadth of OCHA's advocacy methods and means. These advocacy efforts will be supported by the Grand Bargain dividends, particularly as they relate to the financial efficiency of the system (transparency, reduction of transaction costs and less earmarking).

### 3d Coherent inter-agency financing strategies support collective outcomes in the field:

Country-level financing strategies will show how humanitarian and development funds are blended and sequenced with the overall objective of effectively meeting the immediate humanitarian needs of crisis-affected people in a principled manner, while reducing their future need for humanitarian assistance. OCHA will develop its capacity to support and advise on the definition of humanitarian financing strategies at the global, country and regional levels.

## Strategic Objective 4: International acceptance of the centrality of international humanitarian and human rights law, access and protection that results in meaningful action for affected people, especially internally displaced people

Strategic Objective 4 is linked to the Results Framework outcome on Advocacy: In accordance with its mandate, OCHA will undertake powerful advocacy on behalf of crisis-affected people to ensure effective and principled humanitarian action. This advocacy contributes to action that enhances the protection of affected people, including the enhanced compliance of parties to armed conflict with IHL; more effective response that respects human rights in those contexts, and increased accountability for violations; the number of IDPs

halved by 2030 through international, national and regional efforts to end the causes of displacement and find durable solutions; unimpeded and unfettered access to humanitarian and medical assistance; an increase in the number of people at the centre of preparedness, response and recovery efforts, with their agency, capacity and dignity fully respected; and an increase in the number of women and girls empowered to participate in and benefit from all elements of humanitarian response.<sup>6</sup> OCHA will work to achieve the following results:

**4a Respect for humanitarian principles, IHL and international human rights laws, and increased accountability for violations against them:**

OCHA will intensify public and private advocacy work for the respect for humanitarian principles, IHL and international human rights laws. It will also increase accountability for violations against them, including direct or indiscriminate attacks against civilians and civilian objects, medical personnel, facilities and their means of transport, humanitarian workers and assets, and the wilful deprivation of items necessary for survival. OCHA will continue to place protection at the centre of humanitarian action throughout its five core functions by ensuring that protection is effectively integrated throughout the HPC; promoting the integration of protection within the Security Council and the General Assembly's normative frameworks; supporting the ERC in advocating for the rights of conflict-affected people; ensuring that protection concerns are reflected in humanitarian information products; and ensuring pooled funds support programmatic protection response.

**4b Protection of and assistance to IDPs, and new strategies for assistance to IDPs:** The rights of IDPs are often violated, neglected or denied, and IDPs remain exposed to a multitude of risks. The ERC has a central role for the inter-agency coordination of the protection of and assistance to IDPs, including on “the policy development and coordinating functions”, and ensuring “that all humanitarian issues, including those which fall between the gaps in existing mandates of agencies

such as protection and assistance for IDPs are addressed.” OCHA will continue to work in this regard, prioritizing the development of focused, gender-responsive and highly context-appropriate strategies for assisting IDPs and host communities in humanitarian emergencies.

**4c A humanitarian system that is accountable to affected people and advocates for their empowerment and engagement:**

OCHA's first and foremost objective is to protect the dignity and improve the lives of crisis-affected people. Ultimately, all of its work aims to achieve this. OCHA will continue to advocate for affected people to be at the centre of the humanitarian response; for their increased engagement and empowerment in making decisions on how best to address their differentiated needs, including on the basis of age, disability and gender; and to ensure that international response remains accountable to them. In a world where conflict is a major cause of humanitarian need, famine and displacement, the ERC, in coordination with the IASC Principals and HCs, will work relentlessly to make the voices of all crisis-affected people heard to ensure that the world's forgotten crises are not overlooked, and to improve accountability to affected populations.

**4d Mobilized international attention and action through strategic, coherent public and private advocacy for access to people affected by crisis:**

This includes the dissemination of public information, campaigns, events and briefings, for example to the Security Council, regarding people who are internally displaced, trapped in besieged areas and cannot get to humanitarian assistance points, or where access for humanitarians to reach an affected group is being denied. It also includes private advocacy and negotiation with Governments, conflict parties, militaries and disaster management authorities in keeping with humanitarian principles. OCHA will strengthen and implement existing protection frameworks, increase efforts for the safe, rapid, full and unimpeded access of humanitarian relief to affected people, and ensure that SGBV prevention and response are prioritized as immediate life-saving priorities across all sectors.

<sup>6</sup> Agenda for Humanity, Core Responsibility 2; Core Responsibility 3 “Leave no one behind” (Transformation 3A, 3D); and Core Responsibility 4 “Work differently to end need” (Transformation 4A).

## Strategic Objective 5: Leadership to drive transformative change for a more responsive and adaptable humanitarian system

Strategic Objective 5 is linked to the Results Framework outcome on Policy: Adaptive, effective and principled humanitarian action. It works to contribute to action resulting in an international humanitarian response system that is flexible and adaptable to an evolving global landscape, and to increased capacity of national Governments and local actors, and which acts as an accelerator for people in crisis contexts to benefit from new global agendas and frameworks. Under this priority, OCHA will work to achieve the following results:

**5a Strengthened momentum to implement the outcomes of the World Humanitarian Summit and the Secretary-General's Agenda for Humanity:** The ERC and OCHA will continue to implement light and pragmatic processes to help new and existing stakeholders in delivering on their commitments and initiatives made in support of advancing the Agenda for Humanity. This will include a platform

(the Platform for Actions, Commitments and Transformations) to report on the implementation of commitments and initiatives; an annual synthesis report; and a stock-taking meeting in 2020 (or 2021) to assess progress, identify new and ongoing challenges, and focus areas of future reform efforts.

**5b A humanitarian system that evolves and adapts to change:** OCHA will continue to act as a convener and catalyst of change in the humanitarian system through the analysis of trends and emerging issues, bringing them to the attention of Member States, humanitarian partners and other stakeholders, and offering policy and programmatic solutions to ensure the system remains adapted and relevant to changes. OCHA will act as a neutral broker to ensure that innovation and change in the system maximize the benefits to crisis-affected people. OCHA will also continue to coordinate with key UN reform processes, including engagement with key stakeholders in the ongoing UN system reforms, to influence relevant outcomes that will ensure the best results for people affected by humanitarian crises.



 Aal Okab school, Saada, Yemen.  
Credit: OCHA/Giles Clarke

# FIELD OPERATIONS

Effective operations in countries in crisis are critical to the achievement of OCHA's strategic objectives.

Through its country and regional offices, OCHA will deliver and oversee the implementation of its core functions in the field. To strengthen and adapt the coordination of field operations, OCHA will work with humanitarian partners, including civil society and local actors in the field, to support coordination mechanisms.

In crisis-affected countries, OCHA will ensure the smooth functioning of humanitarian coordination at the strategic and operational levels through direct support and advice to the HC and HCT on humanitarian and coordination issues, including protection, access, cash and civil-military coordination. OCHA will continue to lead the HPC to achieve comprehensive and holistic analysis of needs, the development of the prioritized response plans that ensure effective response, targeted allocation of funding, and the monitoring of the response. OCHA supports strengthening the coherence and complementarity between humanitarian, development and peacebuilding activities in full respect for the distinction and integrity of humanitarian action and humanitarian principles. OCHA will promote comprehensive shared analysis of needs across the pillars of international intervention. OCHA will also promote addressing root causes of vulnerabilities and the reinforcing of local capacities. In the immediate aftermath of natural disasters or eruptions of violence and conflict, OCHA, through its five regional offices, will continue to provide the first line of experienced disaster response surge capacity to coordinate assessments of and response to urgent humanitarian needs.

Effective leadership is fundamental to a field response that is timely, predictable and effective. HCs operationalize the coordination tools in-country, lead the advocacy for the system and provide the authoritative source of information to inform the

ERC's advocacy efforts on operational matters. OCHA will provide continuous comprehensive support to HCs in the field, and ensure the critical linkage between the ERC and HCs in day-to-day operational matters to ultimately support the effectiveness of humanitarian field leadership to deliver on the wider humanitarian agenda. By ensuring the necessary flow between the field, headquarters and the ERC, OCHA will also ensure that timely and comprehensive information about humanitarian crises and operations supports global advocacy efforts, including ERC statements to the Security Council. This will ensure that authoritative perspectives, insights, situational awareness and facts are informed by field-based leadership.

The scale and configuration of OCHA's presence in the field will continue to be adapted in accordance with the regular and systematic analysis of the humanitarian context in countries in crisis against the demand for OCHA's coordination services. This analysis will be informed by the scope of the crisis and the scale and severity of need; the number, presence and capacity of humanitarian partners and the level of funding for humanitarian response; the complexity of the crisis, including the nature of the engagement with State and non-State actors; and the geographic size of the area of the emergency and the access of affected people to assistance. These factors dictate the size and scope of OCHA's presence, and they allow OCHA's tools and services to be tailored to best support country operations, build right-sizing into the annual planning and budget cycle, and guide the allocation and prioritization of OCHA's resources across its field operations.

OCHA will continue to strengthen the effectiveness of its response planning model to ensure the predictable and evidence-triggered establishment, scale-up or downsizing of OCHA's field presence.

This will include additional risk analysis as part of the regular assessment of the life cycle of workstreams and operations of each country office to ensure the efficient use of budget resources, and to guide the configuration of OCHA's optimal field presence.

To ensure efficient resource mobilization and enhance field effectiveness, it is essential to reaffirm the need for accountability and confidence in the humanitarian system's ability to generate a wide range of solutions tailored to each specific operational context, while still effectively delivering on Grand Bargain commitments in humanitarian crises. The transformation of these commitments into concrete benefits for field assistance requires supporting their implementation at the field level – for example, as they relate to joint and impartial needs assessments, improving the appeal system, localization and promoting effective participation of people affected by crisis in humanitarian decisions, the strengthening and coordination of cash-based programming, and multi-year planning. It will also require meeting commitments at headquarters and in capitals that enable the field to work more effectively in areas such as donor earmarking, reporting and multi-year funding. OCHA will also promote the New Way of Working in the field by supporting RC/HC teams to ensure better joined-up analysis and linked-up programming to support the achievement of collective outcomes.

In line with Grand Bargain commitments to increase the use and coordination of cash-based assistance, OCHA will support the effective and principled scale-up of cash. It will support partners to ensure that cash is the preferred and default modality of assistance where markets and operational contexts permit, and that cash, including multipurpose cash, is systematically considered alongside other response modalities. OCHA will ensure that coordination mechanisms support the effective use of cash to meet needs across sectors, and that cash and markets are integrated throughout the HPC.

To effectively address the needs of all affected people, humanitarian actors must include women in decision-making at all levels, promote and support women's leadership and engagement as first responders, and increase support for local women's groups. Through its field offices, OCHA will promote gender equality, strengthen the participation of women and men in the HPC, and promote the enhanced protection of women and girls from SGBV.

In countries with an integrated UN presence and an OCHA country office, OCHA will continue to participate in integrated UN coordination mechanisms and integrated assessment and planning processes at headquarters and field levels to ensure appropriate attention to humanitarian issues and concerns.



 IDPs living in Rann, Borno State, Nigeria.  
Credit: OCHA/Yasmina Guerda

# STRATEGIC PARTNERSHIPS, POLITICAL ENGAGEMENT AND FINANCIAL SUPPORT NEEDED

## Strategic partnerships

Establishing and maintaining strategic partnerships and galvanizing political support are key factors for the effective implementation of the ERC's and OCHA's mandate. These two areas of work are multifaceted and therefore carried out through diverse actions. To ensure that humanitarian needs are addressed in a timely manner, OCHA will deepen and broaden its engagement with humanitarian partners; Member States, including parliamentarians; civil-society organizations; non-State actors; local authorities; the private sector; and development, peacekeeping, political and other actors. The strengthening of strategic partnerships at the global, regional, national and local levels lies at the centre of OCHA's coordination role and is crucial to implement its mandate.

While OCHA continues to provide leadership and support to the IASC to ensure a coordinated international humanitarian response, it is also increasing its engagement with non-IASC networks and organizations. To better respond to the specific coordination needs in different contexts, OCHA employs the full spectrum of coordination models, rather than trying to replicate the global IASC arrangements in every context. More adaptable coordination mechanisms will help humanitarian actors to work towards reduced risk and vulnerability and reduce the overall number of people who need assistance. OCHA will also ensure robust and well-defined relationships with other actors working on gender equality, as well as strengthen relationships through targeted projects and support the roll-out of IASC guidelines on gender and GBV.

From the onset of crises, OCHA will prioritize coordination arrangements that augment, rather than replace or replicate, regional or national capacities. This requires the organization to deepen its understanding of the roles, perspectives, gaps and capacities of a broader range of national and regional organizations and networks. It also requires OCHA to engage collective strengths and mobilize new partnerships. OCHA understands the importance of engaging organizations, affected people and Governments at the local and regional levels. To this end, OCHA is working to bring coordination mechanisms—including for joint needs assessments—to regional, national and local levels, and to facilitate greater access of local NGOs to pooled funds (already their greatest source of direct funding) and to the overall coordination system.

Improved coordination between humanitarian and development actors in those contexts, where relevant, requires greater engagement with and coordination among funding sources, including traditional development financing mechanisms and international financial institutions, such as the World Bank. It also implies broadening the sources of financing for programmes that address the needs of the most vulnerable people.

Effective humanitarian engagement with UN peace operations, where they are deployed, and in line with UN integration policy, can facilitate principled humanitarian action and support peace consolidation. This requires OCHA to systematically participate in integrated coordination mechanisms and integrated assessment and planning processes at all levels.

As the funding gap to respond to humanitarian needs is growing, every dollar must work harder

than before. The Grand Bargain offers a unique framework to address the financial efficiency of our system and the effectiveness of the humanitarian response. One of its key elements is strengthening strategic partnerships between humanitarian organizations and donors in order to improve the effectiveness and efficiency of humanitarian action. Donors and partners must work together, based on complementarity and comparative advantage, to achieve efficiency gains in the humanitarian system so that more means can be passed on to people in need. Over the next four years, OCHA will dedicate specific resources to maintain its engagement in the Grand Bargain process, contribute to transformations of the system and its own work organization, co-convene the Grand Bargain Needs Assessments workstream with ECHO, provide strategic contributions to the Facilitation Group, and ensure effective corporate involvement in the different workstreams. OCHA will also engage in ensuring stronger coherence, coordination and synergy with development action to reduce need, vulnerability and risk, and advance commitments made at the WHS on this issue.

### Securing the necessary political engagement and financial support

Timely and coherent humanitarian response requires key political support. In working with Governments of affected and fragile countries,

OCHA works to supplement national humanitarian efforts, strengthen national response capacities, and advocate for affected people and the respect for humanitarian principles and law. In working with donor and host Governments, OCHA seeks the necessary support for effective humanitarian action, including political, financial and principled support. By briefing the Security Council on the most pressing humanitarian threats to people around the world, the ERC continues to secure the world's support for preventing and ending crises and the human suffering they cause.

OCHA itself needs sufficient funding to implement its mandate and deliver on its strategic objectives. OCHA's financial resources are drawn from voluntary contributions (95 per cent) and core United Nations Secretariat funding (5 per cent). Continued generosity, engagement and support from its donors, as well as broadening its donor base, is critical. To help secure political engagement and financial support, OCHA will develop and implement a comprehensive organization-wide strategy to clearly communicate the Strategic Plan, the value of coordination and the impact of OCHA's work to Member States and humanitarian partners.

Two management objectives, aligned with the Results Framework outputs on Management and Enabling Functions, as well as the "Creating a Better OCHA" document are aimed at developing a more focused, agile, transparent and collaborative organization.

 IDPs in Haramat neighborhood in western Mosul, Iraq.  
Photo: OCHA/Themba Linden



# AN EFFECTIVE, EFFICIENT AND ADAPTABLE ORGANIZATION

## Management Objective 1: Ensure that OCHA is fit for the future

- 1a A new structure and operating model that optimize the efficient delivery of mandated functions and ensure accountability across the organization:** OCHA has carried out a management reform process to ensure a leaner, more flexible, accountable and adaptable organization. This internal realignment, based on the prioritization of activities according to OCHA's five core functions and comparative advantage, will be critical to enable the elimination of duplicative activities, both at headquarters and in the field, and more effective allocation of resources in line with priorities. The reform process, led by the Under-Secretary-General, is aimed at reforming OCHA's internal management processes to drive a more focused and transparent agenda, and to ensure effective decision-making, a clearer division of responsibilities, gender parity and greater internal engagement. The reform streamlines OCHA's headquarters structure across Geneva and New York, and it envisions continuous adaptations of the size and scope of OCHA's field presence in line with the priorities above. These decisions will be implemented in 2018 and beyond.
- 1b A more focused, leaner organization that aligns itself with the Secretary-General's management reforms:** OCHA will reorganize and streamline support services to enable efficient, effective, expeditious and flexible administrative, human resource and logistic support services that meet the needs of all OCHA, particularly in the field, including all duty-of-care obligations.
- 1c A flexible, skilled, mobile and diverse OCHA workforce:** In support of the new operating model and aspirations of the organization,

and to ensure a flexible, mobile and diverse workforce, OCHA will implement a fit-for-purpose and integrated People Strategy. The strategy specifies how the organization will adapt staffing to changes in the demand for its services or the availability of financial resources. It includes measures to implement and monitor the revised surge concept, and to promote effective use of secondments and roster mechanisms as a rapid staff-deployment tool. It also establishes a career management model with appropriate training, learning and development tools, and it envisions a shift from a compliance-driven performance management to one that rewards exceptional performance and ensures accountability for underperformance. OCHA will work towards enhancing women's leadership in the humanitarian sector and implementing measures to achieve gender parity. Given the increasingly demanding and dangerous settings in which OCHA staff work, the People Strategy also places a particular emphasis on the safety, health and well-being of its people.

## Management Objective 2: Enhanced sustainability of OCHA's financial resources

- 2a Broader donor base for extrabudgetary resources:** OCHA's financial resources are drawn from voluntary contributions (95 per cent) and core United Nations Secretariat funding (5 per cent). To ensure OCHA is able to implement its mandate, maintaining a constant focus on the sustainability of the organization's resources is critical. OCHA is working to achieve this through fundraising and relationship management with all Member States and select private and public institutions

and organizations. OCHA seeks to stabilize its income by creating long-term political and financial commitments from its donors through the OCHA Donor Support Group.

**2b Multi-year funding commitments from existing donors:** These agreements allow for increased predictability of income, which is an even more important feature for OCHA as its expenditure primarily consists of staff costs, which often carry liabilities for more than one year. By the end of 2017, OCHA had 21 multi-year agreements (two years or more) with 14 donors, worth over \$70 million. In light of the Grand Bargain commitments, OCHA will continue to engage donors and seek to renew and further expand the number of its multi-year commitments.

**2c Stronger fiscal discipline and matching of income with expenditures:** The alignment of planned income and expenditure levels is not only a pre-requisite for sound financial

management, but also a necessity given OCHA's unique cost structure and level of reserves. In developing a sustainable budget approach, OCHA will prioritize activities in alignment with its strategic vision, rather than budgeting on the basis of operational need. Based on historical trends and income projections, the budget envelope for 2018 has been set at \$240 million, representing a significant decrease from current budget levels. Income projections constitute the best estimate at any given point, but they are not an assurance regarding the amount or timing of income to be received during the year. As a result, OCHA will need to continue to manage its financial risk exposure by adopting a prudent budget strategy throughout the four years of the Strategic Plan.



Galina, 65, walks along the main street in Nikishino village, in eastern Ukraine. Credit: UNHCR/McConnell





View of Rann, Borno State, Nigeria.  
Credit: OCHA/Yasmina Guerda

# ANNEX: MONITORING AND EVALUATION PLAN



# PURPOSE, STRUCTURE AND RESPONSIBILITIES

The purpose of the **Monitoring and Evaluation Plan** is to systematically track OCHA's performance against its 2018-2021 Strategic Plan and support evidence-based decision-making in the organization. More specifically, the plan explains how OCHA will do the following over the next four years:

- Monitor its performance, track progress against its strategic objectives, report on its achievements and demonstrate value for money.
- Collect timely, credible and reliable data and reports on progress across its entire portfolio of activities to provide a sound evidence base for decision-making.
- Learn from the findings of internal reviews and independent evaluations to continually improve its effectiveness.
- Strengthen its commitment to greater transparency and accountability to its main stakeholders.

**OCHA's 2018-2021 planning Framework** forms the basis on which OCHA's Monitoring and Evaluation Plan is anchored. The framework comprises the following key documents:

- **Results Framework**, which reflects all the work of OCHA according to its mandate.
- **Strategic Plan**, which presents OCHA's vision, strategic and management objectives and how OCHA will strengthen its operations for the next four years to achieve the objectives.
- **Monitoring and Evaluation Plan**, which describes how OCHA will track progress at strategic and operational levels to inform decision-making and enhance accountability, transparency and learning.
- **Implementation Plans**, which explain how OCHA will operationalize its Strategic Plan. The Strategic Plan describes what OCHA will do, but the Implementation Plans indicate how OCHA will translate the objectives into concrete results.

- **Risk Register**, which outlines the top risks that require close monitoring and mitigation to minimize possible obstacles to the achievement of OCHA's objectives.

The implementation and monitoring of the 2018-2021 Strategic Plan will be overseen by OCHA's Under-Secretary-General (USG) and Assistant Secretary-General (ASG), and led by OCHA's Functional Leads. Each Functional Lead is responsible for the implementation, cross-functional coordination, monitoring and reporting of the Strategic Plan objectives within the functional area they lead. The Strategic Planning, Evaluation and Guidance Section (SPEGS) is the custodian of OCHA's planning framework and provides guidance to Functional Leads on corporate-level planning, monitoring, reporting and evaluation activities. All OCHA operations are guided by the Strategic Plan. Managers are responsible for ensuring that OCHA's activities are in line with strategic priorities and senior management's guidance, as well as for collecting, monitoring and reporting data on results and activities.

# MONITORING SYSTEM

Monitoring activities in OCHA are undertaken at strategic and operational levels. This ensures coherence between high-level strategic progress, focusing on medium- to long-term results, and operational progress focusing on short-term results and activities (see Table 1 for a summary of OCHA's monitoring and reporting cycle).

## Strategic level monitoring

At the strategic level, monitoring will focus on tracking progress towards achieving the Strategic Plan objectives through periodic follow up of Key Performance Indicators (KPIs) as well as the Implementation Plans' benchmarks.

Monitoring will also include the oversight and tracking of recommendations issued to OCHA by the external oversight bodies that periodically review OCHA's work, namely the UN Board of Auditors (BoA), the Joint Inspection Unit (JIU) and the UN Office of Internal Oversight Services (OIOS). These entities conduct evaluations, reviews and audits of OCHA's offices and their activities as an additional source of independent analysis and evidence on the organization's performance.

## Key performance indicators monitoring

KPIs represent a high-level measure of OCHA's work, as defined by the Results Framework outputs and the 2018-2021 strategic objectives. Each KPI has baselines and benchmarks, which provide a yardstick to compare changes from the first year of plan implementation to the following, and help assess progress towards the four-year targets. The annual KPI milestones or targets serve as indicative interim results for tracking progress towards the four-year targets. This will be done through annual reviews, and verification and analysis of data reported by Functional Leads to SPEGS. SPEGS maintains a detailed list and schedule of KPIs monitoring, including frequency and responsibility.

## Implementation plans monitoring

Implementation Plans are developed for each strategic objective. They provide a detailed description of how OCHA will reach its strategic

objectives between 2018 and 2021. These internal documents will be regularly updated based on operational progress and changes in OCHA's budgetary situation. The Implementation Plans provide key benchmarks that will facilitate the monitoring of progress towards set four-year results. The plans are developed under the leadership of each OCHA Functional Lead, but SPEGS will be the custodian of the detailed Implementation Plans, indicating schedules and reporting responsibilities. These plans cover 2018 to 2021 and provide the framework for all headquarters and field-level annual planning.

## Strategic use of feedback from external oversight activities

External oversight activities are conducted regularly by BoA, JIU and OIOS. To ensure OCHA continues to improve its performance, processes and work on the basis of feedback provided by oversight activities, it will:

- Track the implementation of all assigned recommendations from evaluations, reviews and audits through its online Recommendations Tracking System (RTS). This is accessible to all staff and managers, and it provides real-time data on the implementation status of such recommendations.
- Maintain an internal online management dashboard that provides an overview of the implementation status of recommendations, thus enhancing accountability. For example, with just a few clicks, the Head of a country office or section at headquarters can access a complete overview of open recommendations that still need to be implemented. The dashboard will be fed with real-time data from the RTS.
- Prepare periodic analytical reports for OCHA's senior management on the areas that need improvement, as identified by external oversight activities. This will contribute to OCHA's identification of weaknesses and implementation of remedial action and ensure learning from oversight.

### Operational level monitoring

Operational monitoring refers to how OCHA's headquarters entities and field operations are implementing the activities defined in their annual workplans. This will be carried out through quarterly, midyear and annual reviews of activities, and through the identification of key results in the annual workplans, as follows:

**Quarterly reviews** – A narrative report by all Functional Leads to the Executive Management Committee (EMC) on progress made against major activities and deliverables in the Functional Leads' workplans. The report is followed by EMC discussions on progress, challenges and required interventions.

**Mid-year review:** An OCHA-wide light internal review of progress made in the first six months of the year against planned outputs. At the same time as the midyear budget review, managers are expected to organize full team reviews of progress made, identify challenges, and make corrections and adjustments to the annual workplans and cost

plans as necessary. At the corporate level, the Functional Leads and the Head of the Operations and Advocacy Division will prepare short progress updates for the EMC, which will be followed by the EMC and Functional Leads' discussion on progress and challenges.

**End of the Annual Cycle review:** Narrative reporting by all organization entities on progress made towards OCHA's strategic objectives. It also includes annual reporting against KPIs by the responsible organization entities. At the corporate level, the Functional Leads and the Head of the Operations and Advocacy Division will prepare short progress updates for the EMC's review. A dedicated discussion by the EMC will then be held to review annual results and make the necessary corrections to the Implementation Plans and OCHA's overall strategy.

**Risk monitoring:** This is mainstreamed into all workplanning at the field and HQ levels. OCHA's top corporate risks are defined in its Risk Register, which will be monitored throughout the year to review and update risk mitigation strategies.

#### Office of Internal Oversight Services:

- Audit of OCHA operations in Iraq
- Audit of OCHA operations in DRC
- Audit of the Regional Office for West and Central Africa

#### Board of Auditors:

- BoA Report on UN Volume I Financial Statements

#### Joint Inspection Unit:

- Oversight committees in the UN system
- UN cost-sharing arrangements in integrated missions and in standard UN country operations
- Use of differentiated approaches to national capacity development
- Workload and reimbursement standards and practices
- Multiple reviews
- ICT governance in the UN system
- Organization change management in the UN system
- Strengthening the Policy Research Uptake in service of the 2030 Agenda
- Managing cloud-computing services in the UN system

#### Office of Internal Oversight Services:

- Coordinated audit of OCHA operations in Nigeria (UNRIAS)
- Audit of OCHA operations in Yemen
- Audit of the OCHA Emergency Services Branch
- Audit of the management of OCHA and Disaster Relief Trust

#### Board of Auditors:

- BoA Report on UN Volume I Financial Statements

#### Joint Inspection Unit:

- TBD

2018

2019

MONITORING LEVEL	PROCESS	PRODUCTS	FREQUENCY	PROCESS OWNER(S)
Strategic	Annual review of KPIs	KPI progress report	Annually	ASG/FLs/SPEGS
	Annual review of Implementation Plans	Implementation Plan progress report	Annually	ASG/FLs/SPEGS
	Periodic oversight activities	Analytical reports on areas that need improvement	Annually	ASG/SPEGS
Operational	Quarterly progress reviews and updates	Quarterly progress reports	Quarterly	FLs
	Midyear review of workplans	Midyear review report Updated workplans	Midyear (May/June)	ASG/FLs
	End of the Annual Cycle review	OCHA's Annual Report	Annually	ASG/SPEGS
	Risk monitoring	Risk Register	Annually	ASG/FLs/SPEGS

**Table 1 - Summary of OCHA's monitoring and reporting cycle.**

**Figure 1**  
**Provisional schedule of external oversight activities**



# EVALUATION

The Evaluation Plan aims to provide a coherent framework for delivering relevant, credible and timely analysis and assessment of OCHA's performance against the 2018-2021 Strategic Plan.

## Types of evaluation in OCHA

OCHA undertakes the following types of evaluations:

- Thematic evaluations assess OCHA's performance in specific areas of strategic importance, such as core functions, individual strategic objectives, cross-cutting themes, or new areas and initiatives.
- Humanitarian financing evaluations assess humanitarian financing instruments under OCHA's management (CERF and CBPFs).
- Emergency response evaluations examine OCHA's performance in emergency response(s).

## Evaluation schedule and selection of evaluation topics

The Evaluation Plan was developed under the assumption that resources will be made available in 2019 and the following years for the evaluation of outlined activities. For 2018, OCHA has not allocated resources for evaluation activities. Between 2018 and 2021 (subject to the availability of resources), OCHA will initiate:

- Two thematic evaluations, one of which could be a humanitarian financing evaluation.
- One emergency response evaluation, focusing on OCHA's performance in emergency settings.

- A Strategic Plan Midterm Review, focusing on progress on the strategic and management objectives. The review will inform planning for the next strategic period.

The evaluation topics will be selected annually (in the third quarter of the preceding year) by OCHA's USG, in consultation with the EMC, in consideration of:

- Relevance of the proposed topics for OCHA's mandate, core functions and strategic objectives
- Stakeholder interest and potential for management's effective use of the evaluation results
- Evaluability and feasibility of proposed topics
- The potential to fill knowledge gaps
- Risks of non-achievement of results
- The need to avoid duplication with activities of the external oversight bodies (BoA, JIU, OIOS).

Given the budgetary constraints, the evaluations conducted during the period will not allow for comprehensive evaluative coverage of OCHA's strategic and management objectives.

## Evaluation quality control procedures

All evaluation products and processes will be assessed through the OCHA Evaluation Quality Assurance System (EQAS). EQAS is based on standards set by the United Nations Evaluation

Figure 2 - OCHA's evaluation schedule.



Group, relevant tools from the Active Learning Network for Accountability and Performance, and the wider practice of the UN system.

### Evaluation follow-up and disclosure

Management Response Plans will be developed for all OCHA evaluations. They include management's overall view of the evaluation and an operational plan for implementation of the accepted recommendations. An online RTS, accessible to all staff and managers, will provide real-time data on the implementation status of evaluation recommendations.

Terms of Reference, Inception Reports, Final Evaluation Reports and Management Response Plans are generally published on the evaluation page of OCHA's website.

### Implementation of the evaluation plan

OCHA's ability to deliver the planned evaluation activities will depend on the level of resources made available to the function. The implementation rate of the 2014-2017 Evaluation Plan was under 25 per cent. This was due to a decrease in resources devoted to the function, organization change processes, the loss of the automatic trigger for inter-agency humanitarian evaluations (IAHEs) of the IASC Level-3 emergency responses, and various operational challenges that made launching IAHEs in Iraq and Yemen difficult.

The 2018-2021 Evaluation Plan was developed with the assumption that the resources will increase over the four years. If financial resources for evaluations are not available, OCHA will carry out a reduced number of evaluations using OCHA evaluation staff.

 Looking out over the Kutupalong Refugee Camp, Bangladesh.  
Credit: OCHA/Anthony Burke





OCHA

United Nations  
Office for the Coordination  
of Humanitarian Affairs