

## OCHA HQ WORK PLAN

Entity Name:

**ESS**

### PART I Narrative:

OCHA's Evaluation and Studies Section (ESS) was created in 2002 to provide increased accountability to its constituency as well as to promote organizational learning (for OCHA and the wider humanitarian system).

The Evaluation and Studies Section (ESS) is responsible for planning and implementing evaluations. It ensures that OCHA's evaluations meet professional quality standards and are carried out in a transparent, professional and independent manner. The main role of ESS is to manage external evaluations, ensure the quality control and professional rigour of evaluations commissioned by the section, and act as an in-house technical support office of evaluative exercises undertaken by OCHA branches and field offices. ESS, with the support of senior management, is also responsible for monitoring the use and implementation of evaluation recommendations. The section is the guardian of the prioritized and coordinated PDSB Studies agenda. It seeks to support the wide dissemination of high quality research for the maximum impact on policy. As a strategic priority, ESS seeks to increase the use of M&E within all organisational units of OCHA and OCHA-managed Planning, Coordination and Financing mechanisms.

The 5 key Strategic Priorities of ESS are:

1) To contribute to creating a predictable and needs-based humanitarian financing system:

The external evaluations of the CERF and Pooled Funds will review the funds and make strategic recommendations to donors and the UN system at strategic and operational levels as to whether these funds should be continued in their current form and, if so, how they should be improved.

2) To improve coordination structures at country, regional and international level:

ESS will complete an external evaluation of the Implementation of the Cluster Approach (phase II), and in line with the humanitarian reform goal of strengthening the capacity of the Humanitarian Coordinator, provide HCs with M&E and/or policy and analysis support. ESS will also conduct Inter-Agency Real Time Evaluations which will serve as important learning tools to improve coordination structures.

3) To promote greater incorporation of risk reduction approaches and strengthened preparedness in humanitarian response:

In line with prioritizing greater incorporation of risk reduction approaches and strengthened preparedness in humanitarian response, ESS will complete an evaluation of "Strengthening of Early Warning Systems in Tsunami Affected Countries."

4) To facilitate a common approach to needs assessments and impact evaluation:

ESS will develop and promote a strategy for system-wide impact assessments and evaluations (including cluster leads, etc) and complete at least one case study on the effectiveness of the CAP as a strategic coordination mechanism.

5) To create a competent management cadre that effectively leads teams and is accountable for its results:

ESS will ensure that Results Based Management (RBM) Policy instruction for OCHA is endorsed by the USG, will track Management Response Matrixes, and improve and implement the communication strategy.

*The below items in the ESS workplan have been classified either as mandatory/high priority (highlighted in yellow), or secondary priority (not highlighted in yellow). Items which appear in the PDSB workplan are written in orange font. Items which appear in italics reflect outputs where ESS is not in the lead, but rather acts in a support capacity.*

Resource Requirements: Full-staffing (P and G only) expected (NYC and GVA) as per approved revised costplans mid-2007 is 2 P/L5s (P5 and L5 under recruitment) , 3 P/L4 (currently 2P and 1 L), 1 G4 in NY and 1 G4 in GVA to be shared with the Needs Assessment Project (currently 1 G4, one additional to be recruited) ok for prioritized workplan (tbd for extended workplan); Evaluation Budget to be increased by 200'000 (as compared to 2007) to cover 3-4 additional IA-RTE's per year and related staff travel costs.

OBJECTIVE	OUTPUTS	INDICATOR	Indicator TARGET	Lead/Support	Cost Plan Requirements
<b>GOAL 1</b>					
<b>A better coordinated, more equitably supported international humanitarian response system</b>					
1.1 Predictable and needs-based humanitarian financing system	<b>1.1.1</b> External Review of the CERF phase 2 finalized (corresponds to PDSB 1.1.2)	Evaluation/study completed  Communication/dissemination to stakeholders (ERC, HC, SMT, agencies/IASC)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	FP (CH)	funded by CERF (\$300,000) [staff travel \$2,800]
	<b>1.1.2</b> Pooled Fund Review (follow-up on current CHF evaluation) finalized (corresponds to PDSB 1.1.2)	Evaluation/study completed  Communication/dissemination to stakeholders (ERC, HC, SMT, agencies/IASC)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	FP (JP)	funded by donors ? (\$ 120,000) [staff travel \$2,800]
1.2 Improved coordination structures at country, regional, and international level	<b>1.2.1</b> External Evaluation of the Implementation of Cluster Approach in Pilot Countries phase 2 finalized (corresponds to PDSB 1.2.3)	Evaluation/study completed  Communication/dissemination to stakeholders (ERC, HC, SMT, agencies/IASC)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	CH (KG)	\$ 50,000; majority of funds from donors (estimate total \$300,000) [staff travel \$5,600]
	<b>1.2.2</b> Support to M&E of HC strengthening and/or Policy and Analysis support to the HC (e.g. Iraq) provided	Timely support upon request	100% client satisfaction	FP (JP)	[staff travel paid by field]

	<b>1.2.3</b> Inter-Agency RTEs (3-4 tbd) implemented (corresponds to PDSB 1.2.3)	Evaluation/study completed  Communication/dissemination to stakeholders (ERC, HC, SMT, agencies/IASC)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	L5 GVA / various	\$200,000 from ESS remainder from agencies (estimate \$450,000), + some donor funding expected [staff travel \$40,000]
	<b>1.2.4</b> Evaluations of the effectiveness of the CAP at least one case study implemented and potentially a broader view on CAP outcomes/impact as strategic coordination mechanism (corresponds to PDSB 1.2.3)	Evaluation/study completed  Communication/dissemination to stakeholders (ERC, HC, SMT, agencies/IASC)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	KG (CH)	60000 [staff travel \$2,500]
1.3 Strengthened OCHA emergency response capacity	<b>1.3.1</b> Development of a systematic review agenda for OCHA internal evaluations (including review of OCHA's emergency services and management structures) (corresponds to PDSB 1.3.2)	Evaluation/study completed  Communication/dissemination to stakeholders (SMT)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	KG (CH)	\$100,000 [staff travel \$2,800]
1.4 Greater incorporation of risk reduction approaches and strengthened preparedness in humanitarian response	<b>1.4.1</b> Evaluation of "Strengthening of Early Warning Systems in Tsunami Affected Countries" finalized (corresponds to PDSB 1.4.2)	Evaluation/study completed  Communication/dissemination to stakeholders (SMT)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	KG (CH)	funded by ISDR (\$80,000) [staff travel \$2,500]

	1.4.2 Tsunami Evaluation Coalition (TEC) recommendations continue to be implemented - external partners (international/agency responses) (corresponds to PDSB 1.4.3)	Input into 2008 ECOSOC Report on TEC utilization (i.e. collection and reflection on implementation status of recommendations)	Status established and communicated for 100% of TEC recommendations	KG (JP)	[staff travel \$2,500]
wording to be provided by KG/FP	1.4.2 Tsunami Evaluation Coalition (TEC) recommendations continue to be implemented - OCHA internal (corresponds to PDSB 1.4.3)	Input into 2008 ECOSOC Report on TEC utilization (i.e. collection and reflection on implementation status of recommendations)	Implementation of MRM monitored twice/year	KG (JP)	
1.5 A strategy enabling seamless transition and early recovery					
<b>GOAL 2</b>					
<b>Recognized OCHA leading role in humanitarian policy, advocacy and information management</b>					
2.1 Action-oriented analysis of humanitarian trends and emerging policy issues	<i>2.1.1 A prioritized policy research agenda (in consultation with OCHA field and PDSB): two thematic Reviews and Studies on selected topics and new / ongoing OCHA "operations" (corresponds to PDSB 2.1.4)</i>	<i>Agenda developed (and # of studies supported)</i>	<i>Report and recommendations on research agenda</i>  <i>two thematic studies supported by 4Q</i>	<i>FP / KG (JP)</i>	<i>(\$200,000 funded by PDSB)</i>
2007!	2.1.2 Evaluation of <u>Private Sector</u> arrangements (Ericsson in Sudan), beginning in 2007	Evaluation/study completed  Communication/dissemination to stakeholders (SMT)  Implementation matrix/monitoring of implementation	100% of recommendations presented for follow-up by SMT	KG (FP)	(25,000 from DERS budget 2007)

2.2 More strategic advocacy of humanitarian principles and issues	<i>2.2.1 Monitoring and Evaluation support to Gender Stand-by-Capacity (GenCap) (corresponds to PDSB 1.2.4)</i>	<i>Timely support upon request</i>	<i>Client satisfaction at 75% (3 out of 4)</i>	<i>FP (JP)</i>	<i>staff time</i>
2.3 A common approach to needs assessments and impact evaluation	<b>2.3.1</b> Development and promotion of a strategy for system-wide impact assessments and evaluations (including cluster leads, etc.) (corresponds to PDSB 2.3.2)	Mapping process defined and agreed approach to impact assessments	By 3 Q	CH/FP	
	2.3.2 Participation in <u>Evaluation Fora</u> (ALNAP, UNEG, ...)	3 meetings (2 ALNAP, 1 UNEG) plus steering committee / WG		Section Chief (CH / FP)	[staff travel \$5,000]
2.3.8 on Needs Assessments was deleted - also - I have a note about substituting w/ ANAP - UNEG - but not sure what to add - as also appears in 2.2.2 - should it be added to 2.5.1? Also - not sure about where the \$15,000 contributions to ALNAP/UNEG fit into ESS workplan	<b>2.3.3</b> Strengthening M&E capacity of CAPs (tbd with CAP-S / CAP SWG); M&E component defined and introduced in CAP guidelines and trainings provided	Guidelines and Training modules estd.	by April 2008	CH (KG/FP)	\$30,000 [staff travel 11'500]
2.4 Protection advanced at global, regional and national level					
2.5 Strengthened information management based on common standards and best practices	<b>2.5.1</b> <i>Establishment of a research and policy forum including key academic/think tank partners to develop and coordinate research agendas, identify emerging trends, and facilitate the integration of academic analysis into operational decision-making processes (corresponds to PDSB 2.1.7)</i>	<i>2 symposiums and periodic brown bags organised (ESS for setting agenda only)</i>	<i>100%</i>	<i>FP/KG</i>	<i>[\$10,000 participant travel from OBC]</i> <i>There was indicated \$30,000 from ESS budget for this which has been incorporated into 3.1.1 below)</i>
<b>GOAL 3</b>					
<b>An effectively managed and responsive organisation</b>					
3.1 Improved management practices for "one OCHA"	<b>3.1.1</b> Meta Evaluation: analysis of outcomes / shortfalls of OCHA evaluations finalized	Lessons learned integrated in ESS MYR 2008	Jun-08	FP (KG)	\$60,000

	3.1.2 Joint work planning and monitoring across OCHA entities.	# of common outputs and indicators used in work plans			
	3.1.3. Strategies underlying OCHA's strategic framework developed with broad consensus	Engagement in the development of at least one of OCHA corporate strategies.			
3.2 Application of better financial management tools	3.2.1 Realistic and properly prepared cost plan	Frequency of cost plan revisions			
3.3 Accountable and transparent human resource planning and management	3.3.1 Consultant Selection mode / roster established	Consultant selection process possible in 1 week	mid-2008	JP (FP)	staff time
	3.3.2 Qualified staff recruited to ensure gender balance and regional representation	Geographical distribution/Female staff by grade (GAP & within OCHA)			
	Programme manager review of staff members' training needs	Reflection of staff members' training needs/interest in 2008/09 PAS			
	Human resources planning put in place	Staffing requirements reviewed quarterly			
3.4 Competent management cadre effectively leading teams and accountable for results	3.4.1 Finalization of draft Policy Instruction for Evaluation and Monitoring	Evaluation and Monitoring Policy Instruction for OCHA endorsed by USG	1st Q	CH (FP)	staff time
	3.4.2 RBM (P, M&E) Policy Instruction established and rolled-out	RBM Policy Instruction for OCHA endorsed by USG	established by end 2008, rolled-out by mid 2009	CH (FP)	staff time
	3.4.3 Keeping track / bi-annual update of <u>MRM</u>	Statistics communicated to SMT at mid-year and end of cycle	bi-annually	JP (FP-all)	staff time
	3.4.4 Work plan monitoring tools improved and implemented.	# and % of indicators used in work plan reported on in MYR and ECR (End of Cycle Review)			
	3.4.5 Timely compliance with PAS requirements	# and % of staff members with completed PAS by end June			

	3.4.6 Communication Strategy: improve and implement	Integrated Communication Strategy (based on existing) plan and implementation	Update ready by February 2008	JP (FP-all)	staff time
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**PRIORITY / MANDATORY WORKPLAN ITEMS HIGHLIGHTED IN YELLOW**

**WORPLAN ITEMS REFLECTED IN THE PDSB WORKPLAN ARE IN ORANGE**

*ITEMS IN ITALICS REFLECT OUTPUTS WHERE ESS IS NOT IN LEAD (SUPPORT FUNCTION)*